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ESTUDOS GERMÂNICOS

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Para:

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Pelo convívio, pelas lições, fazemos nossas as palavras do
bardo:

"And all in War with Time for love of you,
As he takes from you, I engraft you new."

William Shakespeare.

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APRESENTAÇÃO

Entregamos aos estudiosos em geral e aos interessados nas línguas inglesa e alemã e nas culturas dos países que por elas se expressam, o sexto número da Revista Estudos Germânicos.

Nele temos a satisfação de divulgar os trabalhos, não só dos professores do Departamento de Letras Germânicas e de alunos do Curso de Pós-Graduação em Letras da UFMG, mas também de docentes de outras universidades brasileiras.

Cumpre-nos ressaltar que esta publicação se tornou possível tão-somente com os recursos do Departamento de Germânicas, dado seu empenho em continuar a divulgação de trabalhos de pesquisa inerentes à sua área.

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O Conselho Editorial

THE SAVAGERY OF WORDS: LINGUISTIC DOMINATION AND
IDENTITY IN CHRISTOPHER HAMPTON'S SAVAGES.

Ana Lúcia Almeida Gazolla

- UFMG -

"Literature that is not naive passes through
the refusal to write under the dedication of History."¹

The concern with the relationship between history and literature, between language and "reality," is not new. In fact, this has been a long tradition in Criticism, from Plato and Horace to Trotsky and Marx, or to Sartre, Adorno and Brecht, who, among countless others, have approached the concepts of truth, realism, engagement, the social function of literature, and the role of the writer, from every conceivable angle of analysis. And yet they remain surprisingly recurrent questions, still generating debate and opposing statements by a long list of writers and critics.

Britain from the late 50's on has been a fertile ground for an increasing concern with the relationship between politics and drama. The revival of social realism after Osborne's Look Back in Anger coincides with - or rather responds to - a growing sense of uneasiness and dislocation due to the collapse of the old order. Socialist theatre saw the word as weapon, and its aim was, according to John McGrath, "to gain support for a particular party, a position inside the working class, and among its potential allies ..., its ultimate purpose (being) agitational. It uses theatrical devices to explain, elucidate, remind, and eventually persuade its audience to think or act

differently."² It thus favored the realistic mode, and aimed at the transparency of language, at a denial of ambiguity, and at total communication with the audience. The refusal of the opacity of language and the attempt to reach, in the clearest and most direct form possible, the social reality whose description or indictment was the target of the writer constituted the basis of the work of "committed" British playwrights of the 60's and 70's. In this refusal lies the most serious flaw in these plays, which ended up by masquerading rather than revealing the ideological contradictions of the social system they intended to put under attack.

Such extremely naive view of the role of art accounts for the failure of socialist theatre. Trotsky once remarked that "one cannot approach art in the same way one approaches politics... because [artistic creation] has its rules and methods, its own laws of development."³ Blind to this distinction, British socialist playwrights gave their plays an explicit didactic purpose resulting from their beliefs that it is possible to subject reality to rational analysis and that literature may lead to effective action and social change. Curious position for a theatre largely subsidized by the government, to believe itself autonomous within the system! By defending the transparency of language and the possibility of attaining truth, these playwrights ended up by reduplicating the ideology they meant to oppose. To deny the ambiguities of language is to ignore the fact that ideology works exactly by presenting it as transparent, as pointing to a referent which is "natural" and "obvious." To operate on those premises is to deny the essential ideological question — that language is a social construct, a convention in which ideology is inscribed. A drama that refuses to examine itself as a linguistic construct, that refuses to foreground the ambiguities of the

several discourses contained in it, that does not set itself to reveal the contradictions of its languages and the mechanisms of production of discourse, and that presents itself as "truth," reasserts the authority of ideology and the restraining power of language. It criticizes the system but reproduces its languages, because it shows no self-awareness, thus operating uncritically within the system it apparently denies.

Jacques Ehrmann's essay "On articulation: The Language of History and the Terror of Language" presents some views on this question that very clearly point to the core of the problem: "Are words weapons? They are insofar as revolutionary rhetoric stirs up crowds and insofar as they inform us of certain political situations. But what we expect to find in these cases is not art. No, words are not weapons, since we continue to read authors independently of their ideology. Lenin read Pushkin. Furthermore, when used by "true" artists, words reveal to us precisely the other side of political ideologies ... After all, what good would literary language be if it only recapitulated political language?"⁴ In his discussion of didacticism, Ehrmann states that to try to educate through literature, is to return to the myth of education inherited from the Enlightenment. The belief that literature (socialist drama, in our case) can subject reality to rational analysis and reflect it as through a transparent crystal is to confuse matters, and to substitute sociology for the literary mode of operation. Also, the myth of education through literature presupposes a direct, logical relation between text and action. And, as Ehrmann correctly states, "there is no example of a work of literature (poem, novel, play) which has had a direct and immediate influence on the course of history."⁵

Rather than being a form of action in the immediate sense, poetic language is "suspension of action."⁶ It is self-referent,

it is necessarily metalinguistic, and in its opaqueness it remains open, as it examines its own reversal, as opposed to the closing and closed character of political language. As Ehrmann concludes, "what literature says originates in language and the possibilities of language. What politics says originates in the world and its possibilities. World and language thus limit each other reciprocally."⁷

The most revolutionary art is not necessarily that which talks of a meaningless, chaotic, oppressive world, but the one that recognizes and lays bare the collapse of meaning through and within the language or languages used. In Ehrmann's words, "it embodies the presence of meaninglessness in meaning."⁸ It empties the word of any absolute value, it subverts its apparent original stability, it exposes its emptiness, the gap that separates it from the real and from action. But, by so doing, by exposing "the several languages which articulate the game of history,"⁹ what is laid bare is the structure of that history.

The question is, then, unlike what those who advocate a "revolutionary", iconoclastic drama looked for, not outside language, but within language itself. This is a point that many socialist British playwrights finally ended up perceiving: to be a revolutionary writer is rather a question of language than of subject matter. Thus Stoppard, so many times accused of being a dangerous reactionary, is one of the most revolutionary dramatists in Britain, due to his awareness of the relationship between language, power, and morality. He referred to Savages in an interview as follows:

"The plain truth is that if you are angered or disgusted by a particular injustice or immorality, and you want to do something about it, now, at once, than you can hardly do worse than write a play about it. That's what art is bad at. But the less plain truth is that without that play and plays like it,

without artists, the injustice will never be eradicated. That's why it's good and right that Savages has a long run in the West End. All kinds of people have said to me, how ridiculous to sit in the theatre and watch this, how pointless, how useless – what they were saying in effect was that Hampton's play wasn't going to save a single Indian, but that is to misunderstand what art means in the world. It's a terrible reason for not writing Savages.”¹⁰

The question in Savages is thus not, as Stoppard so correctly perceived, whether the play will or will not prevent the extermination of the Indians. However, one cannot deny that the impact of the subject matter – the genocide – on readers and spectators is so intense that it has led to a misunderstanding of the nature of the play. Students of mine, asked to write a final exam on Cultural Interaction and Linguistic Domination in the play, developed long and emotional defenses of the Indians and, not setting aside nationalistic bias, related several instances in Western History in which similar events occurred. What could be argued as constituting an instance of unsophisticated reading is nonetheless very similar to the reactions of critics and spectators of the first production of the play in London, who concentrated almost solely on the Indian question, as Martin Esslin points out in his “The Critic in the Theatre No. 3: In Search of Savages.” Or what is even worse, they directed their attentions to finding fault with the characterization of the Indians, disregarding the real issue: “Robert Brustein complained of the ‘ochre-painted Equity Indians... ‘Catherine Itzin suggested they were ‘uncomfortably’ close to looking like frauds! Martin Esslin found they ‘demanded a certain degree of willing suspension of disbelief.”¹¹ It seems to me that this is to miss the point altogether, since the question here is not the Indian genocide

in itself, but the relationship of language and manipulation, individual responsibility and omission, art and morality, aesthetics and ethics.

As a matter of fact, what seems at first glance to underscore the importance of the event itself (the bombing of the Cintas Largas tribe during the Quarup ceremony) aims at the opposite effect. The periphery of the play (Introduction, Notes on the First Production, A Note on the Quarup, and the note included in the list of characters) presents the subject matter as "real" in the sense of being historical, since it is stated that the idea of the play resulted from a newspaper article by Norman Lewis published in the Sunday Times Colour Magazine in 1969. In addition, the author states he has travelled to Brazil where he researched, saw films, and visited slums and Indian reservations. And, furthermore, help was received from a Brazilian anthropologist as the play was being written and rehearsed; this anthropologist also "worked with the director during rehearsal of the play to give the scenes with the Indians a richness and authenticity we could otherwise never have achieved."¹² Also, the author states in the list of characters: "The bombing of the Cintas Largas tribe during the performance of their funeral ritual took place in 1963; and the confession of Ataíde Pereira was recorded shortly after this by Padre Edgar Smith, S. J. The rest of the play is set in Brazil in 1970-1. Most of the characters in this play are fictitious: most of the events are not" (p. 19).

The play is thus presented almost as a documentary, which would then apparently justify all the questions of relevance, effect, and the responses it elicited. However, had it been the intention of the text to cause impact in terms of the Genocide itself, the killing might not have been announced and expected from the start. There is total elimination of suspense,

and the emotional impact and horror of the genocide is thus minimized as the questions of linguistic interaction and of the relationship between morality, language, and art come into focus. Manipulation through language, moral evasion, destruction of personal and cultural identity by language imposition, the role of art in the symbolization (and thus appropriation) of experience through restraining and limiting words, this is what constitutes the core and real issue of the play. The critic Christopher Bigsby points out that its "truth derives less from its portrait of Indians rendered inarticulate by the enormities of progress, than from the deforming power of language, the coercive fact of appropriation implicit in the act of writing."¹³

Indeed this statement does strike the right cord, but it seems to me that it is the whole fact of linguistic appropriation, including writing but going beyond it (as it is only one of the forms presented), that is questioned in the play. The killing of the Indians functions more as a silent commentary on the emptiness of the several discourses used, and points to the inevitable incapacity of language to reach the real, to capture the essence of human experience, to grasp that which only silence can convey and which we can perceive but not completely symbolize – pain. And yet, man can only operate within language, which is among the several symbolic codes at our disposal not only the most complex, but the one which shapes our perception of reality. To lay bare the ideological marks of this social construct, its limitations on the one hand and its coercive and destructive power on the other, is the aim of this play much more than to present an indictment of society – Brazilian, British, American, or any other, for the genocide. In fact, Hampton has one of his characters remark that more babies die in the Brazilian slums

every year than all the Indians in the country. Thus one could be led to ask why would Hampton write a play about the Indian genocide if other things are, at least quantitatively, more horrible? The only answer is that all of the "real" events of recent Brazilian history mentioned – genocide, starvation, torture, guerrillas, kidnappings, killing of foreign officials – are only the raw material out of which the main questions (or rather the conducting thread that unites all of them) are unwound: language, its power and its limits.

The structure of the play and the several types of discourse and other semiotic codes used all serve the main purpose of the text, which is the foregrounding of the language question. It is an episodic play, composed of twenty two scenes whose linear succession does not correspond to a chronological sequence. There is rather a succession of interrupted dialogues or broken images of the Quarup ceremony or other scenes which operate as a juxtaposition of non-sequential and non-simultaneous events. There is no linearity, but the breaks in sequence do not interfere with the internal coherence of the main threads of the action. This discontinuity serves the purpose of creating the A-effect, thus preventing emotional involvement with some of the shocking events depicted. Detachment is achieved by the quick pace of the play, the alterations in mood and tone, the alternation between scenes which are predominantly visual and/or poetic and those in which dialogue prevails or in which storytelling (a device frequently used by Hampton in his plays) dominates the discourse of the characters. Epic, dramatic, and lyric modes are thus fused in the overall structure of the text, and one serves to reinforce the other by contrast. Likewise, in the several discourses voiced by the characters, the degree of self-awareness varies from total blindness in the use of ideological clichés to anxiety and even anguish due to a

sense of personal impotence. Exposure of that sense of impotence or uneasiness, as well as omission, moral evasion, or total lack of concern for the immorality of one's acts or for non-action, is not achieved in most cases by verbal or explicit analysis of the subtext of each speech, but rather, in a very effective manner, by a process of opposition of discourses among themselves and between discourse and action.

The play presents a tripartite structure, each part constituting a network of similar scenes:

1 - Scenes of the Quarup ceremony, in which the silence of the Indians and the visual images of their rituals are juxtaposed to West's delivering of his versions, in poetic form, of the Indian legends (1, 4, 9, 12, 15, 20);

2 - Scenes between West and Carlos Esquerdo during the kidnap scenes that take place in a closed room (3, 6, 10, 13, 16, 19);

3 - Scenes between West and other characters: his wife, the British anthropologist Miles Crawshaw, the American missionary Reverend Elmer Penn, Major Brigg (2, 8, 5, 11, 18).

In all of these scenes, West constitutes a link, an element of connection, a pervading conscience in the play. West is absent exclusively from four scenes: scenes 7 and 14, in which the statement of the killer Ataíde Pereira is taken down by the American investigator; scene 17, in which a recorded American voice is heard, advertising the profits to be made in the new Brazilian Eldorado, in a juxtaposition to the image of decadent Indians, "integrados,"^{ff} drinking in a bar; and scene 22, after West's murder, with a final image of the end of the genocide after the Quarup ceremony and the setting fire to the bodies. The dialogue of the General and the Attorney General in scene five, from which West is absent, was not included in the above category, because it is framed by the conversation

between him and Crawshaw. He is present, then, although his presence is backgrounded.

The too literal symbology of West's name and his presence in most of the scenes contribute to his unifying presence as constituting a synthesis of the thoughts of the decadent, amoral Western world in relation to the atrocities. Contained in these scenes that could be considered almost as flashbacks since they obviously occur before the kidnap, are a multiplicity of discourses by either American or British subjects, as well as by Brazilian officials and military men, that amount to the same constitutive elements: a sense of hierarchy and superiority of the white race, the attempt to caricature the Indians as grotesque imitations or as animals – inhuman and inferior, in other words, – as well as the denial of personal responsibility, and the use of the Indians to attain personal interests (investment, profit, religious catechisation, subject matter for scientific research, to write books and be promoted or to publish poems). In other words, all of these discourses are "contained" in West's (Western) focus or are narrated to him by different people. The Indian reality is thus always mediated by a western voice. They become subject matter for narrations of funny or ridiculous stories or are viewed by West's eye in grotesque situations as in the piano scene in Reverend Penn's house: it is either someone telling West a story or West as spectator of a fact. The same pattern is repeated in the West-Carlos scenes, in which both "compete" to tell more horrifying stories about the atrocities in Brazil. There is always a filter. If this does not put West into the function of narrator in the manner of epic theatre, it does confer to the different scenes a type of unity I would call narrative, as if they were all perceived by the same eye/I. This unity is reinforced by the fact that on several occasions, after the

dialogues, West is seen reflecting about the events, or revealing his reactions to them, as at the end of scenes 3, 6 and 8.

The unity is broken by the Quarup scenes, although even there West takes part. But the visual code here is used as an element of disruption, as it reveals the distance between the Indian reality and West's view of it. And, in fact, the legends he made into poems are not even part of the Quarup ceremony. In other words, what is reinforced is the distance and contrast, both the impossibility of conveying reality by means of words and the incapacity of the western eye to apprehend the culture it is faced with. The two scenes in which Pereira's testimony is taken down, the crudest part of the text, present the only dialogue in the play in which there is no attempt at hiding or masking the brutality of the facts by discourse. In all of the other discourses, different reasons for moral evasion and for not taking responsibility in the events are given - from West's statement that he could not act because interests of British investors had not been harmed to Miles's critical attitude of West's writing of legends. (and yet he continues his research which ethically amounts to the same) - to Brigg's and Penn's remarks, to Carlos' "broader" concern with the overwhelming poverty of the Brazilian people. Only Ataíde speaks plainly, and it is exactly his discourse that is presented in poetic form, a device which serves different purposes in the text, as will be seen below. One other recurring element - a thematic one - is also projected by all the "White" discourses about the Indians: the interaction between the two cultures is destructive to the one which is most vulnerable. Or, if we want to put this in a different way, no real communication is possible between the dominating and the dominated cultures. Appropriation, absorption, and thus

destruction, whatever name or form it takes, will inevitably occur. West's poetic writings and Miles's anthropological research, religious work and land appropriation, Brigg's advocacy of euthanasia and Penn's barbed wire around the mission all amount to the same thing: the Indian either becomes a grotesque mirror image of the white model – cultural destruction – or is physically exterminated. Language repeats the two possibilities here mentioned: either the Indian reproduces the languages of his master or he is reduced to silence. In both cases the destruction of cultural identity is carried out and symbolized by abdication of language.

As a correlative of the several "white" discourses presented in the play, there are then three different types of Indian discourse, all of them foregrounding the relationship between language, culture, and identity:

1 – visual codes of two types:

a) the Quarup ceremonies, in which silent figures perform the rituals and represent the still integrity of a culture inaccessible to the Western eye.

b) the visual images, conveyed mainly through the code of clothes, in which the Indians, grotesquely dressed in civilized clothes become caricatures of the alien culture. These images are also translated into a verbal code when Kumai tries to speak English (scene 1) or when he and his friends join the Reverend to sing religious hymns. Here the two codes, the verbal and the non-verbal, indicate the abdication of culture, the grotesque assimilation to the white culture and the consequent loss of identity, which restates the content of the discourses about the Indians. Here the contact, however apparently direct, either in the "dialogue" West/Kumai or in the visual images of the integrated Indian, has a mediator revealed in the visual codes or in the caricatures: the alien culture imposed on them.

In the same way, the discourses about the Indians are all voiced by representatives of a culture alien to theirs.

c) the myths: because of their "mixed" status, I have included them in the two categories, as Indian discourse (since the myths are theirs) and discourses about the Indians, for here there is also the presence of a mediator. West, who functions in most other scenes as enunciator of narratives and sometimes as enunciator here functions as a mediator for the narration of the myths. Thus the Indian only reaches the white mediated by a foreign voice. Or, in other words, they never reach each other, as the gap is insurmountable. The only possible relationship is one of destruction. No coexistence is possible, since there will always be a mediation from a point of view of a culture that sees itself as superior.

Even Miles' reflections about the organization of the tribes as compared to European culture, his anthropological discourse, point to the same motif of destruction (scene 5, pp. 34-35). But at least this type of discourse reveals its awareness of the falseness of the notion of cultural superiority.

Silviano Santiago, in a very lucid statement in his essay "Apesar de dependente, universal," touches on the heart of the question:

"Relevante papel, dentro deste contexto, passou a ter a Antropologia, ciência criada pela consciência ferida européia. Dentro da cultura dos conquistadores, criou-se um lugar especial e sacrossanto de onde se pode avaliar a violência cometida por ocasião da colonização, lugar onde se tenta preservar — sob a forma de discurso científico, não tenhamos ilusões — o que ainda é passível de ser preservado. Esta adição às disciplinas propriamente européias não é tão sem importância como parecia dizer o diminuto lugar inicialmente reservado à Antropologia.

Acaba ela por operar um "descentramento" importante no pensamento ocidental, pois deixa a cultura européia de ser detentora da verdade, de manter-se como a cultura de referência, estabelecadora por excelência das hierarquias."¹⁴

However, it is through irony that the decentering of European culture is effected in Savages. The "Nobistai" scene constitutes a privileged instance of reversal of cultural prejudice: it seems to constitute, through the grotesque presentation of the "integrated" Indian, an indictment of the notion of integration and a statement about loss of cultural identity by assimilation. However, it serves another very ironic function, as it constitutes an even more grotesque representation of foreign cultures which, in their narcissistic enterprise of conquest, aim at making of the "inferior" culture a mirror image of themselves. Here, however, the image of the "superior" assimilated by the "inferior" is that of a football player. Are we reenacting, in inverted form, what a student of mine, Marie-Anne Kremer, in a final exam on the play has called "the same kind of cultural interaction Brazilians are used to undergoing abroad: "Ah! Brasileño! Pelé!"?

To pursue the irony even further, it occurs to me that the corruption of the signifier may open up a range of interesting associations: Nobly Stiles/Noble Styles/Nobistai. Very noble indeed and very superior is the culture of the dominators who — the same as Americans whose culture is symbolized in the play by Coke and T-Shirts — have looked for assertion in the New World through assimilation. Is there a hint here of the fact that the caricature is necessarily a subversion of the model and that it reveals, in its grotesque imitation, the even more grotesque cultural blindness of notions of purity and superiority? To reinforce this line of interpretation, one other extremely ironic scene occurs, and

again the word becomes the vehicle to foreground through irony the notion of cultural superiority. In scene 8, Major Brigg tells West that the strangest thing he had ever seen was a body he had found in the jungle, "obviously ... English or at any rate English-speaking," who had carved this message on a huge "jatobá" trunk, before he died. It said IMAGINE US, all one word, IMAGINEUS. And underneath, a sort of a map." Deciding he "was't going to take any notice of the map " because "that's always the first step to disaster," Brigg was, however, intrigued by the message: " _ But the message was so intriguing, don't you think, imagine us. What could he possibly have meant, it haunted me for years.

_ Did you ever think of a likely explanation?

_ Well, I did, yes. In the end I decided his spelling wasn't very hot, and that what he'd actually been trying to say, in a spirit of bitter irony, was, 'I'm a genius."

In this same scene, when West asks what the name of the silent Indian servant is, Brigg answers:

_ "Oh, I don't know, he has some endless unpronounceable name, but I call him Bert, after my late brother. The rest of the tribe all died of a flu epidemic, you know. Caught it off me. One of our many failures."

The scene ends with West, in a pensive mood, repeating: "Imagine us" (pp. 49-50).

This seems to me to constitute the most important scene of the play in terms of a symbolization of the relationship of language, identity, and cultural appropriation, and the destructive relationship between two cultures through language. Silviano Santiago, in his essay mentioned above, points out that the Indian is an European fiction and lives as a mere actor, a mere "recitador," a history that is not his, as he is doubly dislocated from his culture and his land. Colonization is a

teaching activity and it is a narcissistic operation performed from an ethnocentric perspective by means of which the Indian "loses his true otherness (to be the other, different) and receives a fictitious otherness (to be the image of the European)."¹⁵ The ethnocentric viewpoint has as its constitutive elements the notions of superiority, hierarchy, and purity, and as its form of operation the conquest by naming; to name is to conquer, to assimilate to what one already knows, to submit the new reality to the constitutive (and coercive) power of our language. In this sense, by giving to the Indian the name of his late brother, the Major denies him his own name, his identity, and ironically presents him as a brother. The image of the map under the inscription points to the same idea — the first act of the colonizer is to draw a map — the "mapeamento geográfico" corresponds to the process of naming in terms of implementing the conquest of the land. The map introduces the notion of place — Imagine us there, in that map, in that situation, in their place? Or imagine us, believing we are geniuses — i. e., superior, conquerors —, trying to conquer their land, and in that very act of apparent superiority asserting our inferiority, our need to be reproduced, and thus being forced to see our culture subverted, undermined, grotesquely mirrored?

Interestingly enough, to be able to decodify IMAGINEUS as I'M A GENIUS Brigg conceives of a possible irony of the man who carved the inscription, but does not perceive the even greater irony — the genius' spelling is not very hot — he does not dominate his own language. Also, in order to transform IMAGINEUS into I'M A GENIUS, a phoneme dislocation must occur. Relating this to the map, it could also be said that the European has to dislocate himself from his place and come to the new world to try to assert himself as superior. The skeleton

remains as an ironic commentary on the notion of superiority and on neo-colonialism itself, which is destructive for both cultures.

One other interesting aspect is that to decodify the message, Brigg has to dislocate, to distort, the word, as neo-colonialism has dislocated the Indian, and distorted his culture. It would be a more immediate decodification, however, just to separate IMAGINE US. This gap between the two words indicates, I believe, the insurmountable gap between two cultures inexorably separated by the activity of colonization, whatever name it takes – integration, investment, genocide, catechization. It is also indicative of the gap between Man and his act, between thought and action, thought and the subject.

In addition, the distortion of the word indicates how one acts upon reality to interpret it, to read it, according to one's own interests, and how one uses language to mold reality so that it suits one's purposes.

The impossibility of communication between the white – be it European or Brazilian, as Carlos's attitude well indicates – and the Indian finds a counterpart in the relationship between the First World and the Third World. Carlos Esquerdo, the leftist guerrilla, and West, share a discourse rooted in Europe – it is as if they spoke the same language. And, in fact, they both write poetry. Their attempts at communication, however, are doomed to failure, since they speak from different points of history. It becomes a sort of power struggle, symbolized by the game of chess, as they compete to tell the most horrible stories, or as they try to persuade each other of their "truths." They only approach a level of communication, however, when they silently play chess. Not even their poetry works out: no bridge is possible, for history separates them. Again, silence occupies the space of the word as a recognition

of this impossibility of communication, and the metaphor of the game of chess indicates the political character of the use of language. It is also interesting to note that West is prevented from writing in English. The utmost concession Carlos makes is to allow him to write in English if he accepts to translate his texts into Portuguese and to destroy the English original. This is equivalent to reducing West to silence. And sure enough, he does not write. Again the relationship between language and identity, and between linguistic domination and power, are reinforced. This time, however, the dominator – the first world – is forced to use the language of the dominated. Decentering has once again occurred, as the power now shifts to the hands of the Brazilian guerrilla.

In this game, however, there is no winner – all voices are silenced at the end as the two final scenes present the murder of West by Carlos while the police surrounds the house, followed by the sound of a machine-gun which indicates he has also been killed, and the headlines of newspapers and a T.V. news bulletin on West's death. And, once again, the rapid succession of pictures and headlines reveals the distance between the code and the real experience.

All these instances of foregrounding of the language question will find the highest expression in Ataíde Pereira's testimony. In fact, the two scenes in which he describes the expedition to kill the Indians constitute the exposition of the central issue of the text, the relationship between language and reality. The ironic use of poetic rhythm and structure in the testimony given by the brutal killer creates an effect of strangement and this A-effect is used to call attention to what he is narrating. But more important than this is the irony contained in the use of the poetic form itself, since it points to the possibility of aestheticizing the most horrible

events. It thus constitutes a device by which there is an intratextual summary in terms of the process of the construction of the play, a "mise-en-abyme" of the technique employed. Christopher Bigsby has pointed out that Hampton, "fully aware of opposing temptations, not only in his own creative imagination but equally in the nature of writing itself, ... has, in Total Eclipse, to some degree in The Philanthropist, and most clearly in Savages, questioned the morality of art. For indeed, to give social experience linguistic form is already partially to appropriate the ethical to the aesthetic. The British diplomat in Savages, who turns the real experiences, the myths, the values, the lives of the Brazilian Indians into carefully sculptured poems, is committing an act of aggression not only against reality, forcing it to accommodate itself to the aesthetic and moral purposes of the writer, but against the living truth of people whose existence is in some way denied by decontextualizing them, by making entertainment out of pain. (...) Reality is reduced to allegory. Pain is aestheticized."¹⁶ This remark, although pertinent, remains on a superficial level, since it paraphrases Miles Crawshaw's reaction to West's poems. More important in terms of foregrounding the mechanisms of production of poetic language and its appropriation of the real is not West's poems but, on the contrary, Ataíde's testimony, which presents in poetic form what would seem the least poetic (or "poetizable") scene of the play. As a mirror of the technical process used by the author, this scene calls attention to the crucial issue of the play, that is, the problematic relation between literature and reality and between language and action. Presenting as a poetic statement within the play the narration of the genocide, Hampton thus reveals how poetic language – and literature (if we understand how the mise-en-abyme here aims not at the reproduction of

events but at the reproduction of the relationship between language and events) shapes the world, the real, in an imaginative form. This is the moment in which the text achieves an awareness of itself: the foregrounding of the process of composition, the foregrounding of technique, detaches the play both from the mere portrayal of events and also from the concern with exposing the ideological nature of each discourse. It is poetic language itself which is inspected. What is laid bare is the capacity of the imaginative writer to confer a different status, through poetry, on the most horrible aspects of reality. But in this laying bare, the play rescues itself from what would otherwise have constituted a level of semi-awareness of its own methods and thus would maintain it still too close to a reproduction of the ideological system. At this point, the text achieves what none of the several discourses had revealed - that articulacy leads to awareness only through a deconstruction of the discourse used. All the games are thus exposed, all the languages that "articulate the game of history," including poetic language. Thus West's poems and Carlos's "New Beatitudes," as well as all the other discourses, and the play itself, participate in the same game, but it is possible to recognize the forms of the operation of language. The obvious irony of the title, for which several readings are possible, is an echo of the key sentence in the play: Imagine us. In the game.

The end of the play presents the beginning of a TV Bulletin, West's photographs, headlines in several languages, and groans of pain, followed by the sound of machine guns as the killers of the Indians complete their mission of destruction, and then silence. Silence and Death. But the word has taken its place and has examined itself: isn't this a very good reason for having written Savages?

NOTES

¹ Ludovic Janvier, as quoted in Jacques Ehrmann, "On Articulation: the Language of History and the Terror of Language," in Literature and Revolution, ed. Jacques Ehrmann, Yale French Studies 39 (1967): 20.

² John McGrath, as quoted in C.W.E. Bigsby, "The Language of Crisis in British Theatre: The Drama of Cultural Pathology," Stratford-Upon-Avon Studies 19 (1981): 34.

³ Trotsky, as quoted in Ehrmann 15.

⁴ Ehrmann 18.

⁵ Ehrmann 18.

⁶ Ehrmann 22.

⁷ Ehrmann 23-24.

⁸ Ehrmann 27.

⁹ Ehrmann 26.

¹⁰ Tom Stoppard, "Ambushes for the Audience," New Theatre Voices of the Seventies, ed. Simon Trussler (London: Eyre Methuen, 1981): 67-68.

¹¹ Sebastian Black, "Makers of Real Shapes: Christopher Hampton and his story-tellers," Modern Drama 25.2 (June 1982): 212.

¹² Christopher Hampton, Savages (London: Faber and Faber, 1974) 12. All subsequent quotations from the play are taken from this edition and page numbers are indicated in the text.

¹³ Bigsby 27.

¹⁴ Silviano Santiago, "Apesar de dependente, universal," in Vale quanto peso (Rio de Janeiro, : Paz e Terra, 1982) 17.

¹⁵ Santiago 15-16.

¹⁶ Bigsby 27.

ALGUNS ELEMENTOS SOBRE A TRADUÇÃO DO "PAST PERFECT"
EM NARRATIVAS HISTÓRICAS
(LIVROS-TEXTO DE HISTÓRIA)

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Neste trabalho proponho-me a fazer um estudo piloto do uso do "Past Perfect" em textos narrativos, comparando as ocorrências deste tempo verbal com suas respectivas traduções em português. A escolha do tipo de texto "narrativas históricas" deve-se ao fato de que livros-texto de história (e não de geografia ou de economia, por exemplo) são os que mostraram uma maior porcentagem de "Past Perfects" em termos absolutos e em relação à ocorrência de "Present Perfects" (isto em um estudo de Feigenbaum (1978, p. 76): 862 Past Perfects e 121 Present Perfects no livro-texto de história analisado por ele). Trata-se, portanto, de um estudo de lingüística comparativa que tem um enfoque específico: o uso do "Past Perfect" em inglês comparado ao uso dos tempos verbais em português que lhe servem de tradução em um texto específico. Não pretendo fazer um estudo a partir da comparação de sentenças isoladas ou de sistemas lingüísticos (um estudo de "langue"), mas a partir da comparação do uso de formas verbais em um texto narrativo (um estudo de "parole"). Isto posto, permito-me dizer que, embora os resultados obtidos não prove-nham de uma pesquisa grande em termos numéricos, o fato de a obra escolhida para análise ser representativa de seu gênero (narrativas históricas), aliado ao fato de ter havido uma grande coerência interna nos resultados para esta obra, permite entrever a possibilidade de se poder generalizar tais resultados para a tradução do "Past Perfect" no tipo de texto em questão.

A obra estudada é The Making of the President (White, 1960) e sua tradução Como se faz um Presidente da República (1963). Uma vez que o dado de referência para a caracterização do tipo de texto "narrativa histórica" (quanto ao uso do "Past Perfect") é a elevada frequência desta forma verbal em relação à frequência do "Present Perfect" (Feigenbaum, 1978), principiei pela averiguação deste fato. Comecei a analisar o original em inglês a partir do 1º capítulo e anotei em fichas as primeiras 50 ocorrências do perfeito ("Present Perfect" e "Past Perfect") na medida em que apareciam no texto. Anotei também em cada ficha a tradução do tempo verbal (com o microtexto de uma sentença ou de um parágrafo). Em seguida o livro foi fechado e aberto ao acaso e uma nova contagem/anotação de 50 ocorrências do perfeito e de sua tradução foi feita (as traduções do "Present Perfect" foram guardadas para posterior estudo¹). Este processo foi repetido uma segunda vez. Ao final, eu tinha 150 ocorrências do perfeito e sua tradução, divididas em três grupos de 50 ocorrências (Tabela I). O Grupo I corresponde às páginas 3 a 13, o II às páginas 26 a 37 e o III às páginas 263 a 273 (do original).

TABELA I

	Grupo I	Grupo II	Grupo III	Totais (N=150)
Present Perfect	7	6	14	27 (18%)
Past Perfect	43	44	36	123 (82%)

Os três grupos apresentam um perfil semelhante (o Grupo III afasta-se um pouco dos dois primeiros). A porcentagem de "Past Perfects" aproxima-se da porcentagem obtida por Feigenbaum (1978) para seu estudo: 802 "Past Perfects" num total de 983 perfeitos, o que equivale a 87%.

A tradução em português dos tempos verbais da passiva inglesa apresenta alguns problemas específicos (alta ocorrência do "se" apassivador, por exemplo). Optei por separar o "Past Perfect" passivo e não considerá-lo em detalhe neste trabalho. A Tabela 2 apresenta as proporções entre formas ativas e passivas.

TABELA 2

	Grupo I	Grupo II	Grupo III	Totais (N=123)
Past Perfect, voz				
passiva	4	4	3	11 (9%)
Past Perfect, voz				
ativa	39	40	33	112 (91%)

Novamente os Grupos I e II apresentam-se quase idênticos, havendo alguma variação para o Grupo III. A frequência de passivas com o "Past Perfect" aproxima-se da frequência obtida por Dubois (1971, p. 95), embora Dubois tenha contado tanto as passivas com o "Present Perfect" quanto as com o "Past Perfect" (ela encontrou um pouco mais de 10% de perfeitos na voz passiva em textos escritos de inglês contemporâneo). Dubois trabalhou com dois grandes grupos de texto em sua pesquisa: Prosa Informativa e Prosa Imaginativa. Este último grupo caracteriza-se por uma porcentagem maior de "Past Perfects" em relação à de "Present Perfects" (p. 69): 782 "Past Perfects" num total de 879 perfeitos, o que equivale a 88%. Coincidentemente, a obra que estou analisando apresenta uma porcentagem semelhante de "Past Perfects": 82%.

As Tabelas 1 e 2 e sua comparação com os resultados de Feigenbaum (1978) e Dubois (1971) sugerem, portanto, no que diz respeito à frequência de "Past Perfects", que o livro The Making of the President é um bom representante do tipo "narrativa his-

tórica" estudado por Feigenbaum e tem um número de "Past Perfects" que o fazem aproximar-se do grupo de Prosa Imaginativa de Dubois embora, paradoxalmente, os fatos narrados sejam verídicos. As Tabelas 1 e 2 permitiram também que eu isolasse as formas verbais a serem estudadas; isto é, "Past Perfects" na voz ativa.

Procedi, em seguida, ao levantamento dos tempos verbais empregados na tradução do "Past Perfect". A Tabela 3 apresenta os resultados para os três grupos.

TABELA 3

	Grupo I	Grupo II	Grupo III	Totais (N = 112)
1. Mais-que-perfeito sintético (p. ex. <u>ele saíra</u>) na 3ª pessoa do singular.	10	13	14	37 (33%)
2. Mais-que-perfeito analítico: a) haviam -do (3ª pessoa do plural); b) havia -do (3ª pessoa do sing.)	4	4	2	10 (8,9%)
3. Mais-que-perfeito analítico: a) tinham -do (3ª pessoa do plural); b) tinha -do (3ª pessoa do sing.)	2	3	6	11 (9,8%)
	4	2	2	8 (7,1%)
	<u>3</u>	<u>0</u>	<u>1</u>	<u>4 (3,5%)</u>
Totais do Mais-que-perfeito (soma de 1, 2 e 3)	23	22	25	70 (62,5%)
4. Pretérito Perfeito (p. ex., <u>ele saiu</u>)				
a. 3ª pessoa do plural	0	2	5	7 (6,25%)
b. 3ª pessoa do singular	10	9	3	22 (19,6%)
Totais do Pretérito Perfeito (soma de 4a e 4b)	<u>10</u>	<u>11</u>	<u>8</u>	<u>29 (25,8%)</u>

Os três grupos apresentam-se bem semelhantes.

A soma dos totais não equivale a 100% porque optei por não estudar os casos onde o "Past Perfect" foi traduzido por outras formas verbais que não os pretéritos perfeito e mais-que-perfeito. Neste estudo estou interessado em observar as regularidades na tradução e os casos que delas se afastam (12 ocorrências) não serão analisados. As regularidades de tradução do "Past Perfect", observáveis na Tabela 3, se dividem entre tradução com o Mais-que-perfeito do Indicativo e com o Pretérito Perfeito do Indicativo. O Mais-que-perfeito em português tem as variedades sintética (p. ex., ele saíra) e analítica (p. ex., ele tinha/havia saído). Na Tabela 3 observa-se que a forma sintética ocorre em proporção ligeiramente superior à das duas formas analíticas juntas (33% a sintética, 29,3% a analítica). A explicação para o fato de a forma sintética só ser utilizada aqui na 3ª pessoa do singular está em que na 3ª pessoa do plural há uma neutralização entre o mais-que-perfeito e o pretérito perfeito do indicativo. Houve duas ocorrências dessa forma "neutralizada" e eu as computei como sendo do pretérito perfeito do indicativo. Quanto às outras pessoas, é de se esperar que em "narrativas históricas" (língua escrita, semiformal) a 3ª pessoa seja a mais utilizada. Com as formas compostas com tinha/havia, a 3ª pessoa do plural ocorre mais do que a 3ª pessoa do singular (exceto em havia -do para o Grupo III). Pode-se, portanto, levantar a hipótese de que a forma composta é usada, em alguns casos, para evitar a ambigüidade resultante da neutralização indicada acima. A forma composta com havia (21 ocorrências) aparece quase duas vezes mais do que a forma com tinha (12 ocorrências), o que confirma a observação de Thomas (1969, p. 133): "Esta forma do mais-que-perfeito (havia -do) é só um pouco menos literária do que a forma sintética"². Sobre a forma com tinha ele diz que "ela está se tornando de certa forma um pouco mais freqüente na

língua literária, mas não é comum aparecer aí" (idem). Na obra aqui estudada a forma com tinha aparece em 10,6% das traduções do "Past Perfect".

Os resultados obtidos até agora apresentam, de início, um dado interessante para elucidar o status dos tempos verbais nas narrativas (língua escrita, semiformal) em português. Weinrich (1970, p. 36 e seguintes), descrevendo duas situações de discurso fundamentalmente diferentes (narração e argumentação), estabelece para cada uma delas um tempo-zero, que não indica nem retrospecção, nem prospecção. O tempo-zero é a ausência de perspectiva. Para a narração, o tempo-zero é o "Simple Past", que não indica retrospecção, mas apenas atitude narrativa. Para a argumentação, o tempo-zero é o "Simple Present". A retrospecção, nas narrativas, é indicada pelo "Past Perfect" (Weinrich reconhece que o "Simple Past" acompanhado de sintagmas adverbiais também pode indicar retrospecção em narrativas). Em português, contudo, pelo menos para a obra que estamos estudando, 25,8% das ocorrências do "Past Perfect" são traduzidas pelo Pretérito Perfeito do Indicativo. Caso isto venha a ser observado em outras obras, como parece ser provável, teremos evidências para dizer que o esquema de Weinrich não se aplica bem ao português. Isto é, o Mais-que-perfeito não desempenha nas narrativas em português o mesmo papel desempenhado pelo "Past Perfect" nas narrativas em inglês. Dubois (1971, p. 98 e seguintes), comparando o uso do "Present Perfect" com o uso do "Past Perfect" também chega à conclusão de que este último é um "narrative tense". Ela exemplifica a necessidade do uso do "Past Perfect" mostrando uma narração inaceitável em inglês (em termos de língua escrita): "I went to the store, and I bought some cottage cheese and fruit, and I paid by check, and the paper came, and I read it" (idem). Segundo Dubois, uma série de ações em ordem linear e expressas em um só tempo verbal não constitui um estilo narra

tivo aceitável em inglês. Dentre os recursos de que dispõe a língua inglesa para quebrar esta série monótona de eventos existe justamente o uso do "Past Perfect" para provocar "flash-backs": "He pulled out his pistol and fired it. It made no sound. It had misfired. Reversing it, he smashed the butt down on Frederick Seward's head" (idem). Nesta seqüência há um exemplo de "Past Perfect" "single instance", na terminologia de Dubois. Quando mais dessas formas verbais ocorrem próximas umas das outras numa seqüência (sentença ou parágrafo), temos o "Past Perfect" "multiple instance". Basta observarmos um parágrafo onde haja exemplos "multiple instance" e os compararmos com sua tradução para fazer ressaltar a maior variedade de tempos verbais usada, nessa situação, em português: "had never been ... though some had become friends ... had met informally ... had said that ... Jacqueline Kennedy had begun ... had been ... had spent ..." (p. 6) "nunca tivera ... ainda que alguns se tivessem tornado amigos ... reuniu-se sem formalidades ... declarou ... Jacqueline Kennedy começou ... tinha sido ... passara" (p. 13). Neste esqueleto de parágrafo, as sete ocorrências do "Past Perfect" são traduzidas respectivamente por duas ocorrências dos mais-que-perfeito sintético, uma ocorrência do mais-que-perfeito com tinha, uma ocorrência do mais-que-perfeito do subjuntivo, três ocorrências do Pretérito Perfeito do Indicativo. O mesmo ocorre em outros parágrafos: "had taken as its partner ... had engaged social scientists ... had made ... had coded each ... had been cross-slotted ... had been fed" "tomara como auxiliares ... contratara o serviço ... realizou ... codificando cada ... haviam sido preparadas ... recebera" "had switched sides ... had raised ... had been right ... had been expected of them ..." "tinha trocado de lado ... tinha subido ... tivera razão ... se esperava dele" Diante disto, acho não ser necessário a apresentar mais argumentos para provar que o "Past Perfect" e o

Mais-que-perfeito funcionam de forma diferente em narrativas em inglês e português, respectivamente.

Passarei agora a um estudo mais detalhado de certas ocorrências do "Past Perfect" no texto em questão e de suas traduções. Tomei para isto as ocorrências do Grupo I (p. 3 a 13). Alguns parágrafos a mais tiveram de ser analisados para não quebrar a seqüência da narração. O Grupo I assim aumentado mostrou 67 ocorrências do "Past Perfect"³. Dessas ocorrências, 25 vêm acompanhadas de sintagma adverbial (37%). A análise das traduções acompanhadas de sintagmas adverbiais revelou o seguinte: — Com sintagmas adverbiais do tipo in 1956 o Mais-que-perfeito do Indicativo foi preferido na tradução quando o uso do Pretérito Perfeito do Indicativo poderia criar dúvidas quanto ao momento de referência do evento (em termos reichenbachianos): "at 6:30 the Kennedy control room had received the return of the first complete precinct from Cleveland: Kennedy, 158; Nixon, 121 (In 1956 the same precinct had read Eisenhower, 186, to Adlain Stevenson's 86). Good". "às 6h30 a sala de controle dos Kennedy recebeu os resultados da primeira seção que completara suas apurações em Cleveland: Kennedy, 158; Nixon, 121 (Em 1956, a mesma seção dera (# deu) a Eisenhower 186 e a Adlai Stevenson 86. Ótimo." Se usarmos o sistema de Reichenbach (1948) para a descrição dos tempos verbais, obteremos para o exemplo acima:

Mais-que-perfeito funcionam de forma diferente em narrativas em inglês e português, respectivamente.

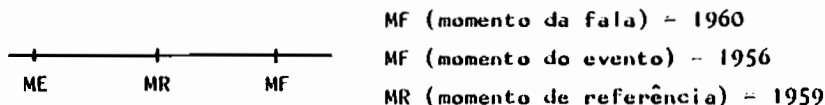
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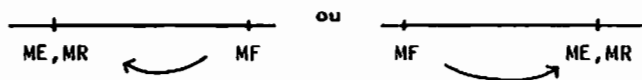
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Se usarmos o sistema de Reichenbach (1948) para a descrição dos tempos verbais, obteremos para o exemplo acima:



O "Past Perfect" (had given) e a tradução com o Mais-que-perfeito (dera) estabelecem a relação característica de situar um evento antes de outro evento no passado. Obviamente poderíamos

ter também havia dado ou tinha dado (menos provável). A tradução com o Pretérito Perfeito do Indicativo, porém, criaria uma situação ambígua, uma vez que o MR não é obvio neste parágrafo para o leitor (o que não aconteceria se tivéssemos, por exemplo; o sintagma adverbial "alguns anos antes" em lugar de "em 1956"):



(A convenção ortográfica ME, MR significa que o ME é simultâneo ao MR). A ambigüidade resulta do fato de que o Pretérito Perfeito do Indicativo funciona nas narrativas em português também como tempo-zero (isto é, não indica necessariamente retrospectão (Cfr. Weinrich 1970) mas apenas atitude narrativa). Ele pode servir, na narração, tanto para situar o evento no passado como no futuro.

Um outro exemplo com in 1956, também para evitar a ambigüidade mencionada acima, traz a forma analítica tinham levado, evitando assim a neutralização entre o Mais-que-perfeito do Indicativo e o Pretérito Perfeito do Indicativo na 3ª pessoa do plural:

"With half the returns in, Campbell County counted 56 per cent for Kennedy to Nixon's 44 per cent. In 1956, Republicans had carried Campbell County by 64 per cent to the Democrats' 36 per cent! Did this forecast a national switch?"

"Com a metade da apuração já feita, o condado de Campbell dava a Kennedy 56 por cento e a Nixon 44. Em 1956, os republicanos tinham levado (* levaram) Campbell de vencida, com 64 por cento dos votos, contra os 36 dos democratas! Poderia isto significar uma reviravolta de âmbito nacional?"

- Com sintagmas adverbiais do tipo by 7:35, at 6:30, o "Past Perfect" foi traduzido pelo Pretérito Perfeito do Indicativo quando ficava claro pelo contexto que havia interesse por saber quando o evento aconteceu e não em situá-lo no passado em relação a um outro evento passado:

"It stumbled over the first summary total of voting figures transmitted by the AP shortly after seven o'clock: 203,628 for Nixon and only 166,963 for Kennedy". Gloom last no more than twenty minutes, for by 7:35 Connecticut had begun to feed into the TV computers".

"O contragolpe veio quando a AP transmitiu a soma total dos votos apurados até então em todo o país: 203.628 para Nixon e apenas 166.963 para Kennedy. A tristeza não durou mais do que vinte minutos, pois às 7:35 Conneticut começou a mandar aos computadores de TV ...".

Podemos nos perguntar por que o "Past Perfect" é usado em inglês neste exemplo. A resposta talvez seja a de que ele apenas funciona como um "narrative tense", colocando o evento no passado, mas sem indicar um passado anterior a um outro passado. Em português, a forma composta (tinha/havia) seria possível, porém introduzindo uma outra nuance semântica, a de continuidade:

"pois às 7:35 Conneticut tinha começado a mandar aos computadores". Não é o caso. O interesse, nesta parte da narrativa, não é o de destacar a continuidade do envio de notícias de Conneticut. Um outro exemplo deste mesmo tipo:

"Quickly after this came a second item, at 6:30 the Kennedy control room had received the returns of the first complete precinct from Cleveland: Kennedy, 158; Nixon, 121".

"Imediatamente após veio uma nova notícia, às 6:30 a sala de controle dos Kennedy recebeu os resultados da primeira seção que completara suas apurações em Cleveland:"

Neste exemplo não há porque traduzir com o Mais-que-perfeito, u

ma vez que não há um momento de referência no passado antes do qual se queira situar o recebimento dos resultados de Cleveland. — Com sintagmas adverbiais do tipo by 7:35, at 6:30 o "Past Perfect" foi traduzido pelo Mais-que-perfeito quando havia um óbvio interesse em situar um evento como anterior a um outro evento no passado:

"By eight o'clock the IBM console at CBS had switched sides AND NOW predicted Kennedy by 51 per cent of the popular vote. By nine o'clock it had raised this forecast to 52-to-48 split".

"Às oito horas, o computador da IBM, na CBS, tinha trocado de lado e agora predizia a vitória de Kennedy com 51 por cento do voto popular. Às nove, essa previsão tinha subido para 52 por cento."

A ênfase neste parágrafo está colocada sobre o fato de agora o computador predizer a vitória de Kennedy. Se fosse usado o Pretérito Perfeito do Indicativo (trocou de lado), haveria um deslocamento da ênfase para quando o computador trocou de lado. O mesmo ocorre com tinha subido, que mantém o foco de interesse no fato de a diferença ter subido e não no momento em que ela subiu (há, nestes dois exemplos, o problema mais geral de ser difícil saber o que precisamente o sintagma adverbial está definindo, o momento do evento? o momento de referência?).

Os dados disponíveis não foram esgotados e poderão ser retomados num trabalho posterior. Os resultados obtidos estão resumidos a seguir:

Em termos metodológicos, este trabalho-piloto sugere que a forma aqui adotada (de tirar os tempos verbais de partes escolhidas ao acaso no livro, de comparar os resultados para cada uma das partes com o fim de averiguar se há semelhança, de escolher uma das partes para uma análise mais profunda, sempre trabalhando com o original em inglês e com a tradução) pode ser utilizado com proveito num trabalho de maior envergadura.

A utilização de uma categoria de Feigenbaum (narrativas históricas) e de categorias de Dubois (Prosa Informativa e Prosa Imaginativa) trouxe alguns subsídios para se pensar em uma tipologia de textos, mas também trouxe um problema (a narrativa histórica cabe dentro da Prosa Imaginativa). Deve-se, portanto, pesquisar mais para obter uma tipologia de textos adequada ao estudo de tradução.

O fato de eu procurar isolar no texto a forma verbal a ser estudada ("Past Perfect" na voz ativa) levou-me a obter algumas informações quanto à utilização do "Present Perfect" em narrativas históricas: ele é usado em enclaves onde a narrativa cede lugar à descrição. Nestes casos aparece também o "Simple Present". Onde há "narração" propriamente dita, estes dois tempos verbais praticamente não aparecem.

O "Past Perfect" na obra estudada foi traduzido geralmente pelo Mais-que-perfeito (sintético ou analítico) (62,5%) ou pelo Pretérito Perfeito do Indicativo (25,8%). Uma das condições que levam à tradução pela forma analítica é a neutralização que há, na 3ª pessoa do plural, entre o Mais-que-perfeito e o Pretérito Perfeito do Indicativo. A preferência, contudo, é pela forma sintética (33%) e não pelas duas formas analíticas (29,3%). A forma analítica com havia é usada quase duas vezes mais do que a forma com tinha, o que está de acordo com observações anteriores de outros autores sobre a língua escrita.

No texto corrido da narrativa, a língua portuguesa utiliza uma maior variedade de tempos verbais quando o texto inglês em que há "Past Perfects" é traduzido. Parece haver evidências para se dizer que o "Past Perfect" em inglês é um "narrative tense", usado com abundância para indicar retrospectão simples. O mesmo não ocorre em português, onde o Mais-que-perfeito indica retrospectão anterior a um outro evento no passado ou então a continuidade a partir de um evento no passado. Este pode ser

um dos motivos pelos quais em 25,8% das ocorrências do "Past Perfect" a tradução é dada pelo Pretérito Perfeito do Indicativo.

O estudo detalhado de algumas ocorrências do "Past Perfect" com sintagmas adverbiais mostrou alguns condicionamentos semânticos (o que é importante enfatizar em tal e tal parágrafo, de acordo com o texto anterior) e pragmáticos (o leitor pode não saber o momento de referência de determinado evento) que levaram à tradução com o Mais-que-perfeito ou com o Pretérito Perfeito do Indicativo.

NOTAS

¹ Uma análise ligeira e impressionística das ocorrências do "Present Perfect" mostrou que este tempo verbal aparece nas partes do texto onde há descrição (p. ex. do sistema eleitoral norte-americano) juntamente com outros tempos do presente. Onde há a narração propriamente dita dos eventos acontecidos no passado, predominam o "Past Perfect" e outros tempos do passado.

² As citações em português foram traduzidas por mim.

³ Uma contagem geral das formas verbais "finite" (261 ocorrências) desta seção mostrou: Simple Past ativo: 159 (60%); Past Perfect ativo: 58 (22%); Past Continuous ativo: 23 (8,7%); Past Perfect passivo: 8 (3%); Simple Past passivo: 5 (1,9%); Simple Present ativo: 6 (2,2%); Simple Present passivo: 1 (0,3%); Past Perfect continuous: 1 (0,3%).

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THE CLOSED ROOM AS METAPHOR IN
"A ROSE FOR EMILY" AND O QUARTO FECHADO

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You do not do, you do not do
Any more, black shoe
In which I have lived like a foot
For thirty years, poor and white,
Barely daring to breathe or Achoo.

Daddy, I have had to kill you.
You died before I had time -
. . .
If I've killed one man, I've killed two -
The vampire who said he was you
. . .
They always knew it was you
Daddy, daddy, you bastard, I'm through.

Sylvia Plath, "Daddy"

These words, among others written by Sylvia Plath a few months before her suicide, have led critics to focus on biographical/historical accounts of the young poet's work. Undoubtedly Plath's unresolved relationship with her father and her failed marriage provided ample inspiration for the above words; however, my purpose is not to trace autobiographical elements but rather to use Plath's words as a textual map for

the present study.

Contemporary theoreticians have suggested a political, ideological, and personal turmoil illustrated textually and contextually within twentieth-century literature. Such turmoil, as Terry Eagleton has stated, "is never only a matter of wars, economic slumps and revolutions: it is also experienced by those caught up in it in the most intimately personal ways. It is a crisis of human relationships, and of human personality, as well as a social convulsion."¹ Post-Freudian studies of literary texts have shown a tendency to view a text as a mediator between an author-function² and a (co)responding reader.³ This continuum involves contextual assumptions from the moment an author is introduced into the model through the development of the text to the appearance of a reader. When studying texts which are themselves post-Freudian, it is valid to assume that psychoanalytic theory will permeate throughout the continuum.

In his later works, Freud describes the human condition "as languishing in the grip of a terrifying death drive, a primary masochism which the ego unleashes on itself. The final goal of life is death, a return to that blissful inanimate state where the ego cannot be injured."⁴ Eros, the life energy and the force which surpasses and manipulates time, must face Thanatos, the death drive. This constant struggle is manifested through anxiety and fragmentation of the self.

In an attempt to reinterpret Freud in light of structuralist and post-structuralist theories of discourse, French psychoanalyst Jacques Lacan describes the unconscious as structured like a language.⁵ Furthermore, Lacan sees the appearance of the unconscious when the child, who has sought unity and mirror identification with the mother, is suddenly faced with the Father who disrupts the "dyadic" structure

creating a "triadic" one. The father signifies what Lacan calls the Law which brings to the child the meaning of a social taboo (incest), the existence of others (family), and the first realization of a fragmentation within a perfect bond. It is at this point that the unconscious begins to store information repressed by the child's desire to fill the gap opened by the intruder.⁶

Lacan suggests that the child relegates to the unconscious, through language, those signs which presuppose the absence of the object which they signify. Since all desire comes necessarily from a Lack, Eros, the life/sexual energy, is also the constant struggle to overcome this lack. "Human language works by such lacks: the absence of the real objects which signs designate, the fact that words have meaning only by virtue of the absence and exclusion of others. To enter language, then, is to become a prey to desire ..." (Eagleton, 167). Thus, Lacan refers to the Other in terms of language, symbolic order and cultural codes. The Self and the Other are in constant juxtaposition in the unconscious.

My purpose in this essay is to suggest that in William Faulkner's "A Rose for Emily"⁷ and in Lya Luft's O Quarto Fechado,⁸ the closed room may be seen metaphorically as the unconscious and that the two narratives illustrate the Freudian/Lacanian model within different cultural referents. The two narratives, furthermore, illustrate the unconscious manifesting itself through the Other's realization of the presence of a closed room, and the knowledge – albeit superficial – of its contents. Both narratives begin with a death which will trigger the opening of the "closed room." The "opening" death is merely the (pre)text for the uncovering of other deaths – real and symbolic within the two texts. Through the progressive unfolding of the different levels of

reality within each text, the reader – compelled to enter into the symbolic closed room by a first person plural narrator in “A Rose for Emily” and absolutely no narrator in O Quarto Fechado – enters the unconscious and is tricked by the decodification of the construct.

Through a series of time shifts back and forth from past to present, “A Rose for Emily” presents three narrative levels – 1) The narrator “we” and the exploring of the house; 2) the story of the Griersons and their influence on the town; 3) the Homer Barron episode. Each of these levels is accompanied by sensory elements respectively: 1) the visual screening of the closed room; 2) the smells of decay emanating from the house; 3) the sounds of laughter and boisterous speech. Moreover, the juxtaposition of opposites – two parts of a whole – is apparent throughout the text. Thus we find the house vs. the town, Miss Emily vs. the community, Homer vs. Miss Emily, Tobe (or “to be”) vs. Miss Emily, Miss Emily vs. her absent but ever-present father. Each of these opposite pairs seems overseen by Miss Emily’s father – the Lacanian law – who remains nameless throughout the text. Nameless though he is, it is he who punctuates the text. First, the mayor invents a story involving the father – the Law – and his money – the Power, which “only a woman could have believed” (Faulkner, 1564). Second, his ever-present crayon portrait remains prominently displayed “on a tarnished gilt easel before the fireplace” (Faulkner, 1565), as if providing a Lacanian mirror image for the action – or lack thereof – inside the house. Third, the father’s body remains in the house for three days because of Miss Emily’s refusal to admit that he was dead though “we did not say she was crazy then ... We remembered all the young men her father had driven away, and we knew that with nothing left, she would have to cling to that which had robbed her, as people will”

(Faulkner, 1566). After Homer Barron is "safely" dead and buried in the closed room and "safely" buried in the community's collective unconscious, Miss Emily remained closed up for six months. However, "we knew that this was to be expected, too, as if that quality of her father which had thwarted her woman's life so many times had been too virulent and too furious to die" (Faulkner, 1567). Finally, she becomes her father in appearance and personality. Personifying a living death, she becomes Thanatos fascinating "us"/narrator. She was "dear, inescapable, impervious, tranquil, and perverse" (Faulkner, 1568).

When the closed room is finally opened, we are faced once again with juxtaposed opposites – the "thin, acrid pall as of the tomb" in a room "furnished as for a bridal;" the images of love, conquering, cuckolding and sleep are mixed in the reverie. The final victory of the unconscious (closed room) is the appearance of "a long strand of iron-gray hair" – Emily's missing "phallus" and symbolizing Desire – which had earlier been described as "vigorous" like that "of an active man." Thus, the community through "us"/narrator becomes aware of its unconscious anxiety about incest and death itself by entering the closed room in the narrative – a textual voyage through time during a real-time period of a few hours. Miss Emily, in her quest for the fulfillment of her lack, shatters the cultural code and represses the taboo behaviors and thoughts into the collective unconscious of the community by burrying her actions in a closed room.

Lya Luft's narrative is, by its very structure, closed. No narrator guides the reader through the text, but rather the narrative shifts from the thoughts of one character to the other. Thus, the narrative develops with little dialogue, a veritable lack of communication which, by its presence, further

symbolizes each individual's isolation and Desire. Like Faulkner's narrative, Luft's text presents a complex mixture of levels of reality. As one character after another explores the past, always with the question of how Camilo came to kill himself, the different points of view illustrate, on one level the character's individual struggle to overcome the gap between him/herself and the Other. On another level, the multiple points of view re-create through a hermeneutic circle, Camilo's own struggle and ambivalent self-concept. The action framed spatially by the living room walls and temporally by the period of the wake, takes place before a framed painting – Böcklin's The Island of the Dead which mirrors pictorially the development of the narrative.

Divided into three parts – the Island, the Waters, and Thanatos – the narrative's symbolic structure and thematic plot illustrates the struggle of the self (an Island) surrounded by a void of motion (the water) being compelled by the death drive (Thanatos). The painting is an exact mirror image of this symbolic structure – a figure in a boat going toward an island. The figure, Renata realizes "era uma mulher. O vulto da proa era ela, a Amada de Camilo. Thanatos" (Luft, 130). With Renata's realization, the circle becomes complete – the reversal of the linearity of the narrative [Thanatos/Water/Island].

Each character experiences what Freud calls "the grip of a terrifying death drive" feeling sucked by Desire and fascination. Death is forever pulling each individual down in a metonymic progression of falls. Clara has nightmares about falling; Carolina feels death pulling at her womb at the moment of sexual orgasm; Mamãe believes a force is tugging at her feet. A succession of falls juxtaposes the level of the Imaginary – Ella falls off the fence; the Anjo Rafael falls down the steps;

Camilo falls off the horse.

Throughout the narrative, an overwhelming feeling of loss and unfulfilled desire provides the unifying link from one point of view to the other. As one death after another is revealed, as one unconscious after another begins to manifest itself, the collective fragmentation is illustrated by what is hidden in the closed room – Ella. Ironically, Ella – the character without a point of view – is the structural center though virtually nameless: “Quem teria escolhido para a menina sem pai o nome ambíguo, profético, de meia humanidade, meia ausência?” (Luft, 53). Ella as structural center, provides – in the closed room – an echo of each one’s fragmentation.

Renata struggles fruitlessly to recover her completeness, through her music, “talvez fosse isso mesmo, a arte: compulsão de abismo, para manter a alma inteira” (Luft, 20); through her relationships, “Eu me atirei nos braços dele para fugir da solidão, e foi tudo uma fraude ... fugi de mim mesma” (Luft, 28); through her children, who further mirrored her fragmentation – “era um eco; eu sou um eco ... uma palavra, que palavra?” (Luft, 33). She comes to grips with her unconscious desire for self-punishment, “eu precisava me punir, sempre me punir porque alguma coisa, em mim, de alguma forma, não conseguiu se organizar jamais” (Luft, 130). Her fragmentation began, she realizes, when she adhered to cultural codes and went against her own Desire:

Eu traí a mim mesma, quando abandonei a música para ser infeliz no amor. Mas o que é traição. Não estou sempre trocando uma coisa por outra porque meu coração decide que essa outra é melhor, e a ela é preciso ser leal?

Não existia traição: tudo era um constante pulsar

desordenado, busca de um sentido de vida, porque esta se precipitava para o fim. (Luft, 131-2)

As she "falls into consciousness," Renata experiences a physical rebirth, "Estou tendo que renascer mais uma vez. Mais uma tormenta, um parto: A dor, o medo, o que virá agora? Talvez enfim pudesse descansar no vazio" (Luft, 132).

Echoing Renata's fragmentation is that of the twins Camilo and Carolina each providing an echo for the other, each completing the other. The two, thus, form a Lacanian Möbius strip where Imaginary and Symbolic ambiguously meet. As Elizabeth Wright has clarified,

The strip is like the Real; the ambiguity of the side(s) represent(s) the conflict between Imaginary and Symbolic. This is the place where illusions occur, for example, where the ego-ideal (the mirror-image) interacts with the Father's definition of the subject, as compared with the way the subject envisions itself in its relation to the mother. (Wright, 110).

Thus, the blissful completeness formed by the two opposite, yet ambiguous beings, is disturbed by the appearance of the Father – the Law, social codes, and social expectations. This figure changes constantly. First, we find Camilo's young friend who dies but is forever present as an alluring element of Thanatos, "Sem pensar muito nele, Camilo sabia: é meu para sempre, agora ... Tudo fora transferido para aquele espaço maior de atração: na Morte estão as coisas mais belas, que um dia possuirei" (Luft, 24). Second, the Anjo Rafael invaded their space. This completeness provided, for them an image of

intrusion juxtaposed with perfection. Third came the Intruso or Convidado who so disturbs the bond and increases their ambiguity and sexual ambivalence that they begin to fabricate an illusion of wholeness and a search for identity. "Pelos caminhos do Outro, da sua loucura e prazer, poderiam finalmente entregar-se em definitivo, ou viria, afinal, alguma libertação? (Luft, 115). Fourth, the intrusion of Martin, the real father, himself as the one who defines what is correct – Camilo will cut his hair; he will ride the pony; he will have the appearance of being a man.

With Camilo's death, Carolina apparently the weaker of the two rather than losing her ambiguity and assuming her sexuality "becomes" Camilo by cutting her own hair. The action, a mirror-image of an earlier scene when she cuts Camilo's hair, is also a mirror image of the Samson story. Carolina's hair-cut has given her strength, she too found completeness – like Miss Emily – by becoming her male counterpart. "Era como o roçar voluptuoso de duas almas libertadas da angústia e violência da carne. O gozo, uma delícia perfumada: depois do sofrimento da separação talvez serem também uma alma só. Lábios, fenda, boca, palavra (Luft, 128).

Thus, the Lacanian orders and their relationships are illustrated. The Imaginary – Carolina's physical experience of cutting her hair – is literally being severed from the Symbolic – Camilo's words and thoughts – producing not an illusion, but a delusion of a part-object – lábios, fenda, boca – in the Real, reaching for sensory experience – palavra. Elizabeth Wright has used this same scheme with Beckett's play, Not I, to illustrate the relationship of the Lacanian order: "language both reveals and conceals the fracture. For Lacan, narrative is the attempt to catch up retrospectively on this traumatic separation, to tell this happening again and again, to re-count

it: the narrative of the subject caught in the net of signifiers ... the story of the repetition compulsion" (Wright, 113).

On a secondary — perhaps deeper into the unconscious — level are the fragmented selves of Martim, who feels libidinal forces at the presence of his dead son's body; Mãe, who was no one's mother; Clara, who struggles to fill the void with the memory of a brief encounter with a robed priest — O Padre — himself the personification of a fragmented father figure.

As each layer of the unconscious is uncovered, both in O Quarto Fechado and "A Rose for Emily," the patterns seem repeated, echoed, and mirrored. As the net of signifiers becomes more fluid, the pattern of a collective consciousness of the unconscious becomes apparent. The closed room in both narratives is viewed, and thus changes signifiers, depending on the cultural codes prevailing. Such kaleidoscopic vision is both an element of and an explanation of the manifestation of the unconscious. In "A Rose for Emily," the closed room contained all the symbols of a beginning of life — a wedding night. In the cultural code, such a wedding was prohibited, thus relegated to the status of taboo. Therefore, the body — the object of Desire — was also buried in the unconscious rotting beneath what was left of a nightshirt. In O Quarto Fechado, Renata's rebirth is disturbed by the manifestation from "the closed room:"

O coração doente da casa explodia como um animal que reuniu em sua cova excrementos, folhas podres, vermes, a dor acumulada, a consciência repugnada de si mesma e a repulsa dos outros começavam a rebentar. (Luft, 132-3).

Returning to Sylvia Plath's words, we see yet another echo for the two narratives – substitute "black shoe" for "closed room," "Daddy" for the Law and socio-cultural codes, and the textual map completes the voyage of the two narratives. Faulkner and Luft employ the closed room as symbolic structure, center, and guiding force for a textual illustration of Freudian/Lacanian models for describing the unconscious as manifested through collective consciousness.

NOTES

- ¹ Literary Theory (Minneapolis: University of Minnesota Press, 1983).
- ² Michel Foucault, "What is an Author?" in The Foucault Reader, edited by Paul Rainbow (New York: Random House, 1984).
- ³ Jane P. Tompkins, ed. Reader-Response Criticism: From Formalism to Post-Structuralism (Baltimore: The Johns Hopkins University Press, 1980).
- ⁴ Terry Eagleton, p. 161.
- ⁵ Elizabeth Wright, Psychoanalytic Criticism: Theory in Practice (London: Methuen, 1984), pp. 107-156.
- ⁶ Jacques Lacan, Écrits: A Selection (London: Tavistock Publications, 1977).
- ⁷ William Faulkner, "A Rose for Emily," in Cleanth Brooks, et al. Eds., American Literature: The Makers and the Making (New York: St. Martin's Press, 1974), pp. 1564-68.
- ⁸ Lya Luft, O Quarto Fechado (Rio de Janeiro: Nova Fronteira, 1984).

THE INDIVIDUALISM OF ORWELL'S THINKING

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The polarisation between individual and social environment, from the viewpoint of an assertive individualism, is one of the commonplaces of Orwell criticism. In its own terms it appears as a valuable and 'rugged individualism'¹, but more critically it can be seen as a limiting 'bourgeois individualism'².

Caudwell describes the essentially illusory nature of this mode of thought and the associated conception of freedom:

"The bourgeois believes that liberty consists in absence of social organisation; that liberty is a negative quality, a deprivation of existing obstacles to it; and not a positive quality, the reward of endeavour and wisdom. This belief is itself the result of bourgeois social relations. As a result of it, the bourgeois intellectual is unconscious of the causality that makes his consciousness what it is... He refuses to see that his own limited liberty; the captivity of the worker, and all the contradictions of developing bourgeois relations — pacifism, fascism, war, hate, cruelty, ... are bound in one net of causality, that each is influenced by each, and that therefore it is fallacious to suppose a simple effort of the will of the free man, without knowledge of the

causes, will banish fascism, war and slumps ... we have shown that the individual is never free. He can only attain freedom by social cooperation ... If, therefore, he wishes to stop poverty, war, and misery, he must do it, not by passive resistance, but by using social relations. But in order to use social relations he must understand them."³

This account both reminds us of Orwell's anarchist sympathies and explains how in a particular historical situation⁴ an assertive individualism turns into a deterministic view of social forces and a pessimistic attitude to the possibility of social change. It is the intention of this article to look at ways in which these attitudes control and find expression in some of Orwell's fiction where the passive and frustrated individual, forced by a sense of impotence and isolation into a rebellious assertion of his own individuality, provides a dominant and recurring motif.

Although the degree of their self-consciousness and articulateness varies, Flory, Gordon Comstock and Dorothy Hare all enact a resistance to the immediate social environment which is fundamentally escapist and individualist in intention and effect and is always finally defeated. Underlying this narrative pattern is a parallel and controlling movement of endorsement and then final withdrawal of social criticism. We can examine in turn the critical insights of each book, their limitations and withdrawal, and then consider the aspects of Orwell's thought which determine this pattern.

In Burmese Days the distance of the setting from English society and the bitterness of Orwell's own experience in Burma⁵ make the ambivalence of his attitudes deeper and clearer. Flory's perception of the exploitation and appropriation

underlying Imperialism is Orwell's own:

"he had grasped the truth about the English and their Empire. The Indian Empire is a despotism — benevolent no doubt, but still a despotism with theft as its final object."⁶

But this insight into the realities of a total system is immediately diminished — in relation to the actual agents of this system — to the level of a highly personal and emotional response to inessentials, to matters of 'taste':

"And as to the English of the East, the 'sahiblog', Flory had come so to hate them from living in their society that he was quite incapable of being fair to them."⁷

This aspect of Flory's revolt enables Orwell to detach himself from his protagonist's criticism and, at the same time, to avoid any more radical or adequate critique. If Flory cannot be rational and 'fair' then Orwell implies that he himself will be. This gives him the opportunity to express a disquieting admiration of⁸ and sympathy with the colonial administrator:

"For after all, the poor devils are no worse than anybody else. They lead unenviable lives; it is a poor bargain to spend thirty years, ill-paid, in an alien country..."⁹

Orwell is quite correct in asserting that the root evil lies not with the agents of Empire but he fails to offer any further analysis of these roots in a total economic and social

structure and philosophy. Furthermore, by making the exploiters as much victims as the exploited he suggests that neither are in a position to initiate any change or improvement.

This implied inevitability and the resulting futility of any revolt is clear too in the treatment of Flory. For if the position of the rulers vis-à-vis a foreign land and people makes the exploitation much clearer it also makes any identification and cooperation with the oppressed more problematic. Orwell deliberately emphasises this point in making the Burmese Po Kyin the 'villain' in the plot which destroys Flory. Orwell's own attitude to the Burmese throughout this book and elsewhere is, in any case, ambivalent.¹⁰

If Flory's revolt is seen to be doomed because of its questionable basis and limited viewpoint then Orwell offers no wider viewpoint, suggests no more hopeful approach to the problems. Thus English society itself is either criticized in the same superficial terms as the English in the East or viewed nostalgically: it is never perceived as source and analogue of the exploitation and alienation experienced in Burma. Neither is the individualist nature of Flory's revolt criticized: I have suggested how the possibility of identification with the exploited is excluded, and in addition to this his isolation is seen as the cause of his revolt¹¹ — if he could marry Elizabeth he would have no complaint and no cause of complaint — rather than the cause of its failure. In this context his disfigurement appears, in Orwell's terms, both as sign and cause of his individual failure¹² and as the determinant of failure, given by some power outside and thus beyond the control of individual and social action alike. Since Orwell offers us no terms outside Flory's own particular form of revolt, the implication of the book as a whole is that not only this but all forms of revolt, all attempts at change, are equally futile.

The terms within which Burmese Days is conceived leave Orwell with no alternative resolution to the death of his protagonist. In A Clergyman's Daughter both the problems and the resolution are rather different but the limitations of the viewpoint and the techniques by which it is enforced are similar. Orwell gives us at the start a picture of Dorothy's life and environment as so totally devoid of any joy, values or even utility that her decision to return to it can only be explained if we believe — as I suggest Orwell intends — that there is, after all, some value if not in the life itself then in the individual's endurance of it. If we look more closely at the course of the narrative, however, we see that Dorothy has neither real choice nor critical consciousness of her situation at any point. The oppressive naturalism of the book¹³ along with the circularity of its plot direct us to the conclusion that this lack of choice, this immutability of the present and immediate situation, is a feature of the real social world to which the book refers. But what this dense naturalism, this obsession with the texture and surface of social life, in fact does is to obscure from the reader — as from the Orwellian protagonist — the possibility and need of a more fundamental and total analysis of the real structure beneath this surface, and to conceal the author's very specific and deliberate manipulations of plot for the purposes of enforcing a particular social attitude.

Since the whole conception and critique of society is limited to its immediate texture, Dorothy's experience of alternative environments and ways of living must not arise from any critical consciousness of the economic and social basis of her way of life¹⁴ — indeed the very detail and density of its realization in the book act to deny the power

of consciousness to achieve this kind of criticism. Thus her amnesia is a device used by Orwell to make alternative experience possible without necessitating such consciousness. Furthermore, this gives a dreamlike¹⁵ - unreal - quality to the subsequent idyll in the hop-fields. This sense of unreality, together with Dorothy's uneasy awareness of her very different background - which, since she is not fully conscious of its true nature, cannot be rejected outright - makes any identification by Dorothy with her companions impossible. The resulting ambivalence of her attitude to those around her parallels Flory's relationship with the Burmese so that, although her revolt is far less conscious than Flory's it too is seen as inevitably solitary.

Because the idyll itself turns into a nightmare on the return from country to city, and because Dorothy encounters only those with a purely negative or a cynically opportunist relation to society¹⁶ her experience gives her no basis on which to develop either an adequate critique of that society or some viable alternative to her previous life. The experience is seen, rather, as merely destructive - of the faith which had helped her endure this life - and Orwell offers no viewpoint from which to criticize her inability to change constructively her attitude to this oppressive texture of life:.

"What she would have said was that though her faith had left her, she had not changed, could not change, did not want to change the spiritual background of her mind; that her cosmos, though it now seemed empty and meaningless, was still in a sense the Christian cosmos; that the Christian way of life was still the way that must come naturally to her."¹⁷

Orwell nowhere follows through the questioning of 'spiritual values that lead to such an oppressive life as Dorothy's clearly is¹⁸ but rather uses Dorothy's inability to change to enforce the conclusion that no change is possible or even desirable:

"She did not reflect consciously that the solution to her difficulty lay in accepting the fact that there was no solution; that if one gets on with the job that lies to hand, the ultimate purpose of the job fades into insignificance; that faith and no faith are very much the same provided that one is doing what is customary, useful and acceptable."¹⁹

Orwell's retreat from criticism, and participation in changing an obviously unsatisfactory environment, to the passive endurance of the status quo, his elevation of endurance to chief personal moral value, could not be more clearly articulated. Finally, we must be aware of the way the alternatives open to Dorothy are further polarised by eliminating the possibility of escape offered by marriage to Warburton through her abnormal and highly personal sexual fear and by the presentation of Warburton as a cynical exploiter of his own social position rather than a reliable critic of society.

Since Dorothy has no real critical consciousness of her situation we are allowed to sympathise with her more closely than with any of the other protagonists. But just because of this, and because neither through his construction of plot, characterization nor authorial consciousness does Orwell suggest the possibility of an effective critical

attitude, we are trapped more deeply within the limitations of the book's own viewpoint. Not only is the inevitability of a particular failure enforced but this failure is generalised to eliminate any possible escape, whilst the individual's endurance and self-sacrifice within the existing situation become virtues: failure is seen as a kind of achievement, and the only possible one.

The limitations and strategies of Keep the Aspidistra Flying are those of the earlier novels and the analysis need not be repeated²⁰. I shall consider here only the basis of the limitations of Gordon's attack on the "money-world". Two factors are involved here, both related to his viewpoint from within the fringes of that world - the declining section of the rentier class. Since Gordon's values of self-sufficiency and personal autonomy²¹ are essentially the values of his class, his poverty forces him into the kind of deception and personal bad-faith Orwell describes with greater awareness elsewhere²². Despite a certain degree of awareness, Gordon can, in practice, neither accept nor fully reject the values which force this kind of behaviour on him:

"There are two ways to live, he decided. You can be rich or you can deliberately refuse to be rich. You can possess money or you can despise money; the one fatal thing is to worship money and fail to get it."²³

Just because of this ambivalence Gordon's motives become suspect, can be seen as personal rancour and envy, and Orwell is able both to detach himself from his protagonist's superficial social criticism and to avoid any more fundamental and effective analysis. This brings us to the second factor

limiting the book's social critique. For although both Gordon and Orwell himself perceive the economic background to the values and assumptions of this society, there is no sense of the economic basis of its very existence in the exploitation of other classes within the total social structure. There is thus no critical viewpoint offered on a revolt conceived in isolation from the very group — the working-class — which is in a position to develop a more radical critique of this total structure. This is made clear in Gordon's rejection and Orwell's presentation in the book, of socialism²⁴. Orwell's choice of the wealthy and guilt-ridden Ravelston as the representative of socialist ideas suggests that these are generated and accepted from personal motives — as a compensation for one's complicity in the "money-world" — rather than from a true understanding of the realities of the social structure. The resulting negation of alternatives parallels the effect of the figure of Warburton in A Clergyman's Daughter.

Orwell's presentation of Gordon's final return to the milieu he had thought to reject is clearly intended to suggest that what is of value is not merely the individual's endurance of a way of life, as in Dorothy's case, but life itself. A particular and limited form of revolt is shown to fail, no alternative form is offered and so the individual is driven back into the preservation of individual moral values and the perception of 'reality' — the texture of known life as a value itself:

"The lower middle-class people ... lived by the money-code sure enough, and yet they contrived to keep their decency. The money-code as they interpreted it was not merely cynical and hoggish.

They had their standards, ... they 'kept themselves respectable' – kept the aspidistra flying. Besides, they were alive. They were bound up in the bundle of life."²⁵

Such an astonishing withdrawal of all the book's earlier criticism can only be explained in terms of the frustration of the individual with an acute sense of his own isolation, and rests on the illusion that individual integrity can be achieved – not only by a few 'saints' but by the mass of the people – in isolation from and opposition to a society which has been shown as corrupt. We are thus brought back to Orwell's initial polarisation of individual and society and carried forward to consider his overall image of society and his view of history and social change.

The Compensatory Community and the Fear of History.

Caudwell described the phase of capitalist social development in which Orwell lived as one of simultaneously increasing organisation and disorganisation.²⁶ From the individualist viewpoint both appear as threats to the individual and neither can offer the basis for individual commitment. Change is seen in terms of large-scale movements beyond the will and control of the individual and actively opposed to, destructive of, his values which can only be preserved by emphasising the polarisation of the individual from the social world in which the possibility of effective individual action has been eliminated. Orwell's uncritical attitude to Dickens' retreat from social criticism and radicalism to 'change-of-heart' moralism²⁷ is merely the

theoretical expression of the fictional pattern we have analysed in the novels. The same retreat of the individual from social action underlies the polarisation of history to the nightmare of Nineteen Eighty-Four – a world from which individualism has been eliminated – and the nostalgic past of Coming Up for Air. Orwell nowhere shows any awareness that it is only by this very withdrawal that the nightmare is made possible because he fails to recognize, as Caudwell points out in a more general context²⁸, that the 'individual' emerges only within and from a total social and historical development, or that history itself is the product of collective activity and cooperation between individuals.

His viewpoint leads him into a nostalgic distortion of the past – so that even Bowling's pretence of realism in his memories of Edwardian England²⁹ is negated by the sentimental fallacy of security within a 'stable' society and the moral value of hard work and physical discomfort. This same fallacy also distorts the view of the present so that technological progress is facilely linked with socialism, dehumanization and moral decline³⁰. But, if, in Orwell's terms, the ideal lies in the past, still the nightmare awaits us in the future so that it is still worth resisting change and any criticism of the present must remain, as we saw in the novels considered earlier, on a superficial level. In Coming Up for Air, therefore, the way Bowling seizes irrationally on the fishfilled frankfurter and the mock-Tudor tea-room as symbols of modern life deflects the reader from any more significant criticism whilst simultaneously, because of the clearly limited consciousness of his protagonist, acting to protect Orwell from charges of a superficiality which is, nonetheless, his own.

Orwell's basic dichotomy of the individual and everything

outside him, and his conception of deterministic rather than dialectic relations between the two influence not only his view of history but of social groups and society as a whole. We can consider first his attitude to the working-class and then his image of the history and contemporary state and structure of English society.

Orwell's attitudes and references to the English working-class are riddled with ambiguities. On the one hand, as the oppressed, they aroused his natural sympathy with the underdog and he was capable of resisting the deceptions by which the bourgeois can distance himself from the suffering of the poor:

"At the back of one of the houses a young woman was kneeling on the stones, poking a stick up the leaden waste-pipe ... I had time to see everything about her - her sacking apron, her clumsy clogs, her arms reddened by the cold. She looked up as the train passed, and I was almost near enough to catch her eye ... It struck me then that we are mistaken when we say that 'It isn't the same for them as it would be for us,' and that people bred in the slums can imagine nothing but the slums. For what I saw in her face was not the ignorant suffering of an animal."³¹

Yet despite its unqualified sympathy, its attempt to overcome prejudice and establish relationship, this passage typifies the weaknesses as well as strengths of Orwell's account of the working-class. He is always the observer very much conscious of the distance between himself and his subject and therefore as much concerned with his own attitudes and

prejudices as with the subject itself. Furthermore, this technique of seizing on the significant detail is effective in drawing the reader's attention to the texture of a particular way of life but needs to be supplemented by a deeper analysis of the structure and inside experience of that life which Orwell fails to provide. Instead the social group is seen consistently from Orwell's own individualist position. It is significant that what he values most in working-class life is its home and family environment³² and whilst this is undoubtedly a very real aspect, re-emphasised by writers like Hoggart, when coupled with Orwell's own experience of thought and consciousness developed in conscious opposition to his own social group it leads to a damaging distortion of his understanding of a total way of life. Thus he is unable to accept or conceive of individual consciousness developed within a group: his account of working-class life completely omits the collective activities embodied in clubs, cooperatives and trade unions³³. For Orwell the working-man, almost by definition, could not be a socialist and in this way he denied a whole class any access to a critical consciousness of their own condition. It is this distortion which made it possible for him also to express anger at what he saw - from the outside - as the passivity of the English working-class³⁴ in the face of real social injustices; to represent them as mindless 'proles' and to use the highly ambivalent analogy with domestic animals.

Like his conception of the individual withdrawn from social action, Orwell's way of seeing the working-class - as a stable and homogeneous mass subject to manipulation from above and incapable of developing the consciousness or collective weapons necessary to win any degree of self-determination - is itself a precondition for maintaining or

worsening the situation he abhors;³⁵ the use of Orwell by post-war conservatism illustrates this. For Orwell himself, however, this image was not a tool of manipulation but a necessity arising from his total image of English society; his 'myth of England'.³⁶ The sense of personal isolation, so strongly felt through all his work, frequently gives rise to a compensating need for community and since he was unable to feel the necessary identification with any particular class within his society he chose — albeit unconsciously — to create an image of a unified English society in which, despite its faults, he could find much to admire. In order to maintain this illusion of homogeneity he adopts a particular viewpoint: thus in "The English People" he describes his subject as a foreign observer might see it;³⁷ in The Lion and The Unicorn internal differences are subordinated to the need for unity created by war. The real distortions involved in such an image are much clearer in The Road to Wigan Pier where the evidence of vast differences in economic conditions, work, social environment and opportunities recorded in the first section³⁸ are facilely reduced to matters of taste, to inessentials, in the second part.³⁹ Here it is Orwell's denial of any group consciousness of the working-class situation which has made the trick possible: if there is any opposition in interests and way of life, he implies, the working-class themselves have, as yet, no awareness of this and the effort of the bourgeois must be to prevent the development of such awareness by removing glaring social injustices.⁴⁰

From this viewpoint the socialist intellectual is seen as a threat to a stable and basically sound social structure and the venom of Orwell's attack on such critics is explained. The 'myth' distorts both the history of English society⁴¹ seen now as a consoling continuity free of significant internal

conflicts, and its present structure: to see England as "a family with the wrong members in control"⁴² is to obscure the real nature of a class society and social dominance. If the English upper-classes are criticized not for the fact of their dominance but for the inefficiency with which they carry it out, then any improvement, in these terms, will be along the lines not of increasing democracy but of a more efficient and benevolent totalitarianism.

In Spain Orwell found and then saw destroyed a community fighting for a radical social change, through an increase of freedom and injustice. Having lost this, his urgent need to 'belong' in the only other known society he could accept⁴³, even with reservations, made him compromise his own critical consciousness. This forced upon him a distorted and unduly pessimistic image of the English working-class, turned him against revolutionary socialism and, ironically, into a spokesman of advanced capitalism and fundamentally totalitarian forms of government.

NOTES

¹ This is the uncritical attitude of George Woodcock, The Crystal Spirit: a study of George Orwell (Jonathan Cape, 1967).

² As it is by, for example, Williams, Eagleton and – to a lesser extent – Hoggart; Raymond Williams, Orwell (Fontana, 1971), Terry Eagleton, "George Orwell and the Lower Middle-class Novel" in Exiles and Emigrés: studies in modern literature (Chatto & Windus, 1970), Richard Hoggart, George Orwell and The Road to Wigan Pier (Penguin Books, 1973).

³ Caudwell, "Liberty, a Study in Bourgeois Illusion" Further Studies in a Dying Culture pp. 217-8.

⁴ The relevant aspects of this situation are the development, on the one hand, of a monolithic state in Russia and, on the other, of the fascist movement and fascist states in Europe; at home Orwell was concerned about the manipulation of the individual practiced by developing techniques in advertising and the very clear dependence of the individual on large scale economic organisation demonstrated by the slump.

⁵ Orwell describes this experience in the second part of The Road to Wigan Pier (Penguin Books, 1962), pp. 123-30.

The most important essay devoted to his Burmese years is probably "Shooting an Elephant" Inside the Whale and other essays (Penguin Books, 1962).

⁶ Burmese Days (Penguin Books, 1967), p. 65. See also the essays mentioned above and Orwell's support for Indian

independence in The Lion and the Unicorn (Secker & Warburg, 1941), pp. 105-8.

Orwell's most important insight into the imperialist situation is that, by the very fact of his rule, the ruler is equally at the mercy of the ruled: this is especially clear in "Shooting an Elephant". Orwell does not, however, as Caudwell does, make the further point that this is true of all forms of domination and coercion:

"Where did he (the bourgeois) err? He erred because he did not see that his dominating relation to society was a determining relation, which determined him as much as he determined it." Further Studies, p. 159.

⁷ Burmese Days, p. 65. Eagleton, op. cit., p. 79 quotes a further example from this novel:

"Nasty old bladder of lard! he thought, watching Mr. Caccregor up the road. How his bottom did stick out in those tight khaki shorts. Like one of those beastly middle-aged scoutmasters, homosexuals almost to a man, that you see photographs of in illustrated papers. Dressing himself up in those ridiculous clothes and exposing his pudgy, dimpled knees, because it is the pukka sahib thing to take exercise before breakfast - disgusting!"

⁸ This respect is articulated clearly in the essay on "Rudyard Kipling" Critical Essays (Secker & Warburg, 1960). It is revealed too by the parenthesis "benevolent, no doubt," in the earlier quotation from this novel.

⁹ Burmese Days, p. 65.

¹⁰ It is interesting to note that a far more effective criticism of imperialism exists, potentially, in the figure of the Indian doctor Veraswami who is forced to reject his own culture in the pursuit of acceptance by a system of rule which his very failure shows to be corrupt. Yet within the book, the general ambivalence of the attitude towards the Asians and the lack of depth in the characterization of Veraswami qualify this criticism. In comparison with, for example, Forster's *Aziz*, the doctor is a comic cardboard figure.

¹¹ Burmese Days, pp. 169-70.

¹² Flory's constantly emphasised moral weakness and physical ugliness, furthermore, act also to detach and distance us from his critical attacks.

¹³ Eagleton accurately describes the ideological, the class, implications and background of naturalism:

"... the class-bearings of English naturalism are significant. The ethos of English naturalism, from Gissing and Bennett to Wells and Orwell, is distinctively lower middle-class. The English naturalist novel, in its main tendencies, emerges at a point of vulnerable insecurity within the lower middle-class, wedged painfully between the working class on the one hand and the dominant social class on the other, but unable to identify with either ... It is a world intelligent enough to feel acutely the meanness of its own typical experience, but powerless to transcend it; a world

suspicious alike of the sophisticated manners of its rulers and the uncouthness of its working class inferiors. It knows its own life to be trivialised and demeaning, ... yet it values the solid realism of its own behaviour ..." op. cit. pp. 72-3.

The deadening effect of such a naturalistically portrayed environment is particularly clear in A Clergyman's Daughter, the form of consciousness which emerges from this social world as described by Eagleton is illustrated in the figure of George Bowling in Coming Up for Air.

¹⁴ The dense and oppressive texture of the environment portrayed acts also to limit the reader's critical consciousness and power to achieve a more adequate viewpoint on the society in question. In this way, Orwell's unfavourable treatment of the rector is also significant since the reader is invited to infer that, had he been less objectionable, Dorothy's situation might have been less awful.

¹⁵ Eagleton, op. cit., p. 91.

¹⁶ This negative relation is also that of the tramps Orwell himself lived with as described in Down and Out in Paris and London.

¹⁷ A Clergyman's Daughter (Secker & Warburg, 1960), p. 308.

¹⁸ Orwell's ambivalent attitude to religion is discussed by Voorhees, op. cit.

¹⁹ A Clergyman's Daughter, p. 319.

²⁰ Thus Gordon's criticism of his society, like Flory's

is articulated but inadequate and Orwell uses the unpleasant aspects of Gordon's tone and character to detach himself from the criticism without pressing further to a more adequate critique: the character is the shield behind which he can voice his own most unintelligent criticism and his inability to transcend this by a more total viewpoint. Here too, as in the other two novels, the failure of a specific and highly individualist revolt is used to negate the possibility of any revolt.

²¹ The quotation from Caudwell in this paper suggests how far this very sense of autonomy is illusory. Caudwell also suggests, in Studies in a Dying Culture, ch. 5, that the bourgeois rebel's isolation is a product of his bad-faith: his unwillingness to dirty his own hands by involvement in any effective action.

²² Down and Out in Paris and London (Penguin Books, 1974), pp. 15-19. But here too there is no awareness of the particular ideological causes of this response to and behaviour in poverty.

²³ Keep the Aspidistra Flying (Penguin Books, 1962), p. 50.

²⁴ Keep the Aspidistra Flying, p. 92. The passage in which Gordon rejects socialism also illustrates Orwell's attitude to Ravelston, his 'representative' socialist.

²⁵ Keep the Aspidistra Flying, p. 255.

²⁰ Further Studies in a Dying Culture, p. 121.

"Capitalist economy, as it develops its contradictions, reveals, as at opposed poles, on

the one hand the organisation of labour in the factory, in the trust, in the monopoly; on the other hand the disorganisation of labour in the competition between these units."

27 "Charles Dickens" Critical Essays, pp. 56-60.

28 Further Studies in a Dying Culture, pp. 128-131. For example:

"Bourgeois culture is constantly proclaiming man the individual against the organisation, and is continually involving itself in contradiction, for all the qualities it calls 'individual', so far from being antagonistic to organisation are generated by it, and the very state which it claims to be produced by organisation - featureless, unfree man - is man as he exists if robbed of organisation."

29 For example, at pp. 73-4: Coming Up for Air (Penguin Books, 1962).

30 This complex of ideas dominates Coming Up for Air where the choice between past and future is polarised as that between "blue-bottles or bombers." It is also articulated in The Road to Wigan Pier, pp. 163-184.

31 The Road to Wigan Pier, pp. 16-17.

32 "Curiously enough it is not the triumphs of modern engineering, nor the radio, nor the cinematograph,

- . nor the five thousand novels which are published yearly, nor the crowds at Ascot and the Eton and Harrow match, but the memory of working-class interiors – especially as I sometimes saw them in my childhood before the war, when England was still prosperous – that reminds me that our age has not been altogether a bad one to live in.”

The Road to Wigan Pier, p. 105.

Orwell here characteristically retreats to nostalgia in order to forget the real condition of the “working-class interiors” he has seen and described in the course of this journey.

33 Thus all mention of the trade-unionists and working-class socialists Orwell refers to in the “Wigan Pier Diary” Collected Essays, Journalism and Letters, vol. 1, is omitted from the book itself. This puts Orwell’s reputation as an ‘honest broker’ into question.

34 He can only say that

“during the past dozen years the English working class have grown servile with a rather horrifying rapidity” Wigan Pier, p. 111.

because he automatically excludes any individual with a critical consciousness of social organisation or an understanding of socialism, from the working class:

“It is of course true that plenty of people of working class origin are Socialists of the theoretical bookish type. But they are never people who have remained working men.” Wigan Pier, p. 155.

The same ideas run through the essay "The English People", Collected Essays, Journalism and Letters, vol. 3.

35 Orwell's way of seeing here is closely linked to the conception of society in terms of "masses", the genesis and implications of which are analysed by Williams in the Conclusion to Culture and Society.

36 The term originates with Williams: Orwell, ch. 2.

37 Collected Essays, Journalism and Letters, vol. 3 (Penguin Books, 1970), p. 15.

38 The enormous gap is indeed implicit in the very conception of a report on one group to the members of another.

39 The Road to Wigan Pier, pp. 201-204.

40 We might add that capitalist society has all too readily and successfully followed Orwell's advice.

41 Thus in "The English People" Orwell insists that the situation as he sees it is part of a historical continuity in England and infers from this that substantial change is not only unlikely but undesirable.

42 "The English People".

43 The Viewpoint of the returning traveller - returning from a country torn by civil war - is one which almost inevitably tends towards idealizing distortion. In Orwell's account here the element of nostalgia is also clear:

"And then England - southern England, probably the

steekest landscape in the world. It is difficult when you pass that way, especially when you are peacefully recovering from sea-sickness with the plush cushions of a boat-train carriage under your bum, to believe that anything is really happening anywhere ... Down here it was still the England I had known in my childhood: the railway-cuttings smothered in wild flowers, the deep meadows where the great shining horses browse and meditate, the slow-moving streams bordered by willows, the green bosoms of the elms, the larkspurs in the cottage gardens; and then the huge peaceful wilderness of outer London, the barges on the miry river, the familiar streets, the posters telling of cricket-matches and Royal weddings, the men in bowler hats, the pigeons in Trafalgar Square, the red buses, the blue policemen - all sleeping the deep, deep sleep of England, from which I sometimes fear that we shall never wake till we are jerked out of it by the roar of bombs."

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AS PERSONAGENS NO TEATRO DE T. S. ELIOT

Ecléia Audi

- UFPR -

A análise e interpretação das personagens das quatro peças de ação contemporânea de T. S. Eliot: The Family Reunion, The Cocktail Party, The Confidential Clerk e The Elder Statesman permitiram perceber os temas que emergem de sua produção dramática. O principal interesse das peças reside, sem dúvida, nas personagens. São sintomáticos até os títulos do quarteto que se referem a pessoas em grupo ou isoladas.

Nessa incursão pelo mundo eliotiano, tivemos oportunidade de conhecer uma certa gama de personagens, se bem que várias sigam as mesmas trilhas.

De modo geral, estão todas mergulhadas no problema da incounicabilidade, da alienação de si próprias; da comunicação parcial e não duradora e da solidão.

Ficou evidenciado que a dificuldade em se comunicar se apresenta em níveis diferentes e onde mais sobressai é no relacionamento homem/mulher, ora totalmente frustrado, ora concretizado de modo imperfeito.

A dificuldade de bom relacionamento implica um outro aspecto presente na vida da criatura eliotiana: a solidão, fruto, muitas vezes, da incapacidade de dar-se ao outro ou de compreendê-lo. Algumas destas personagens solitárias aceitam sua situação; outras lutam para evitá-la. A amplitude com que Eliot tratou o tema da solidão do homem é o fator, entre outros, que lhe confere uma personalidade diferente como dramaturgo.

Se nos reportarmos aos protagonistas das peças, fica evidente que são heróis problemáticos, simultaneamente em comunhão

e em oposição com o mundo. Embarcam numa peregrinação espiritual e a personagem, chama-se Harry, Célia, Colby ou Lord Claverton, está sempre em busca do verdadeiro eu. Marcham em direção a si mesmos, questionam-se sem cessar, o que os ajuda a atingir um claro autoconhecimento, reconciliando-se, assim, com a vida. Encontram-se e encontram seu lugar no mundo, seu destino.

O protagonista eliotiano tem outras características: vive um momento de descoberta de si mesmo, dos outros ou de si mesmo e dos outros; vivencia um único momento de escolha que é coloco do diante dele e tem um desejo, partir, cumprir seu destino, fugindo de um ambiente claustrofóbico em que vive para um lugar mais distante.

Harry de Monchensey, protagonista de The Family Reunion, retorna ao lar, atormentado por seus demônios interiores, em busca de sua identidade. Porque possui uma visão da realidade o culta, encontra-se isolado da sociedade, em seu caso, dos membros da família, e procura fugir ao convívio dos outros. Desequilibra a harmonia aparente do grupo que o aguarda, atinge seu momento de autoconhecimento, reencontra sua identidade, escolhe rejeitar a posição de senhor de Wishwood e parte sozinho para um destino, se bem que é ainda uma incógnita. Não nos esqueçamos, porém, de que a possibilidade de ele tornar-se um missionário é aventada por uma das personagens. Isso nos leva a crer que talvez cumprirá um destino espiritual. É contraditório, na medida em que se apresenta contra si próprio, pois, embora inocente, assume o papel de culpado. Leva consigo a carga de um triplo malogro: seu fracasso em conseguir um relacionamento ideal com a esposa, com a mãe e com Mary, pela dificuldade em entregar-se a elas. Concebido e nascido no ódio, não no amor, Harry é incapaz de amar e é necessário que aprenda a fazê-lo. Talvez por isso mesmo aceite, naturalmente, partir em meio ao silêncio e à solidão que, em seu caso, é extrema.

Celia Coplestone, a virtuosa, a destinada ao céu, protagonista de The Cocktail Party, não é mais feliz do que seu antecessor, no que se refere à comunicabilidade e ao relacionamento humanos. Recusa relacionar-se mais profundamente com Peter Quilpe, a despeito das afinidades que os atraem e mantém um caso amoroso com Edward Chamberlayne, o homem errado, que a deseja apenas para alimentar sua vaidade. Ao ser abandonada, sofre uma crise de sensibilidade, que a leva ao psiquiatra Sir Reilly e passa também por um momento de revelação: sempre foi uma pessoa solitária, incapaz de se comunicar com o outro. Como acontece a Harry, seu autoconhecimento a reconcilia com a realidade e, diante das duas escolhas que lhe são propostas, aceita uma condição de mulher só, partindo para um destino incerto. Como Harry, busca sair da companhia do grupo social em que vivia, em busca de uma vida mais solitária. Porém, ao contrário de Harry, segue um caminho que a transformará em missionária, mais tarde, um mártir. É interessante lembrar que, no final de The Family Reunion, quando a possibilidade de Harry tornar-se um missionário é refutada, Gerald lhe dá conselhos sobre como agir. Eliot retoma, em The Cocktail Party, o que iniciou em The Family Reunion. Se o relacionamento homem/mulher é temporário, concretizado de modo imperfeito, sua vida de missionária — com o martírio — é o apogeu, do ponto de vista espiritual, pois, a morte pelo martírio pode ser doadora de vida, um despertar para a vida.

Colby Simpkins, protagonista de The Confidential Clerk, é atormentado pelo enigma de sua filiação e pela dificuldade em conseguir a realização profissional satisfatória. Não se sente à vontade no ambiente familiar dos Mulhammers; sente-se descontente com os arranjos que tentam impingir-lhe. No que diz respeito ao relacionamento homem/mulher, confessa a Lucasta seu desejo de realização amorosa com alguém que compartilhe sua vida.

Pensa, por um breve instante, que a encarnação desse sonho é a jovem que o ouve, mas uma interpretação errônea dos fatos aborta sua esperança. Após um momento de revelação, consegue, enfim, tornar-se indiferente ao conhecimento de sua origem, pois percebe que a descoberta de sua filiação não consegue suprir aquele vácuo criado pela ausência da figura paterna durante a infância e a adolescência. Como Harry e Celia, procura desvincular-se de todos os laços que o prendem e escolhe seguir seu próprio caminho, mas com uma destinação mais determinada do que a de seus antecessores. Volta-se para a religião, primeiro para tornar-se organista e, provavelmente, mais tarde, um sacerdote. Não diríamos que aceita sua solidão; antes, resigna-se a ela. No entanto, visto sob um outro ângulo, encontra seu caminho, realizando-se no âmbito espiritual.

Lord Claverton, protagonista de The Elder Statesman, foi um fracasso total em termos de relacionamento. Fracassou como marido, pai, amigo e amante, foi o solitário por excelência. Mas neste herói da última produção eliotiana há a libertação pelo e para o amor. Ao contrário de seus antecessores, busca o contacto humano através da figura da filha. Forçado a confessar os fingimentos e decepções de sua vida, atinge seu momento de iluminação, ajudado pela simpatia e compreensão dos jovens enamorados. Feita a paz consigo mesmo, está reconciliado com a ordem do mundo e se liberta da solidão, ao mesmo tempo que descobre o amor que ambos lhe dedicam e que dedicam um ao outro. Convenhamos que, como os demais protagonistas, também ele parte só; mas, ao contrário de Harry, de Celia e de Colby, essa partida é involuntária e não implica luta para encontrar um caminho, sofrimento, ou busca de uma realização. É a partida definitiva que traz tão-somente a paz da morte. Mas, antes, alcançou o autoconhecimento, encontrou-se.

A análise das personagens secundárias ilustra, em diferen-

tes graus, a existência dos mesmos problemas que afligem os protagonistas. Sem terem vivenciado aquele momento de descoberta total, conseguem um grau de distanciamento que lhes permite viver uma vida real, com determinado nível de compreensão.

Através do tratamento proporcionado a suas personagens — uma série de indagações e confissões —, Eliot faz transparecer a existência de duas opções de vida: a) o caminho que leva à realização no plano espiritual, onde não está excluída a solidão, se bem que material, pois, em última análise — para o autor, católico — o que conta é o destino espiritual do homem; b) a vida doméstica, a vida do cotidiano, que ele apresenta em níveis cada vez menos pessimistas, à medida que cria suas peças. Evidencia-se a existência de uma linha evolutiva entre a solidão total que atormenta a quase totalidade das personagens da primeira produção e a postura existencial voltada para os problemas do amor conjugal-familiar — preocupação das personagens das duas últimas peças do quarteto. A rigor, os problemas do isolamento e da incomunicabilidade apenas são resolvidos nessas duas últimas produções.

Em The Family Reunion, é grande o número de personagens que fracassam, inteiramente, na tentativa de encontrar um bom relacionamento homem/mulher. É a frustração, é o isolamento que marcam as vidas de Amy, da mulher de Harry, de Agatha e, ao que tudo indica, Mary — todas vítimas da solidão. É de se notar que, nessa primeira produção, mesmo as personagens menores, como os tios e as tias, nos são apresentadas como estereótipos do solteirão e da solteirona. A solidão é completa e extrema, pois, ironicamente, ao contrário do que prega o título, assistimos à total desintegração da família. Todos partem, no final, para continuar suas vidas solitárias: Amy morre; Harry parte e sabemos que logo deixará Downing; os tios e as tias retornam a suas vidas solitárias; Mary parte em busca de uma carreira uni-

versitária; Agatha volta para a Faculdade e John e Arthur nem sequer comparecem à reunião familiar.

Em The Cocktail Party, aqueles que pensam que amam não podem se casar; os que são casados simplesmente se toleram. É o caso de Edward e Lavínia. Atingem, ao menos, um tipo de relacionamento parcial e imperfeito. Depois da desavença, conseguem reconciliar-se, não ao nível do amor, nem mesmo ao nível da compreensão, mas tão-somente ao nível da tolerância mútua. Não é o ideal, mas já ocorre uma mudança de visão, inexistente na primeira peça: Aliás, Eliot admite a possibilidade de um relacionamento aceitável através do casamento; este aparece como uma forma de vida que, embora sem encantos, é uma alternativa à solidão, numa autêntica rotina. Peter Quilpe, desiludido, refugia-se em sua nova carreira, mas não se esquece de Celia. E, quando a peça termina, não há indícios de que vencerá a solidão, substituindo-a por outro amor. O que a morte da moça oferece é uma possibilidade maior de compreensão entre ele e o casal Chamberlayne.

Em The Confidential Clerk, o relacionamento do casal mais velho, Sir Claude e Lady Elizabeth, já transmite o aparecimento de melhores possibilidades: dá-se ao nível de simpatia, de compreensão e de respeito mútuos. Ao mesmo tempo, Eliot nos brinda com uma perspectiva mais brilhante do relacionamento homem/mulher, por intermédio do carinho, amor, entusiasmo e compreensão do casal mais jovem, Lucasta e R. Kaghan. Essa perspectiva é reforçada por outro tipo de relacionamento que aparece: aquele sentimento amistoso, nascido do passar do tempo que transforma o casal numa só entidade; é exemplificado por Eggerson e senhora. E, ainda mais, a peça finaliza, sugerindo também a compreensão entre duas gerações, entre pais e filhos. É interessante notar que o final da peça nos oferece o quadro de uma família formada de pessoas que nunca se imaginaram como parte dessa

família, nem tentaram formar uma família entre si. Pode-se dizer que The Confidential Clerk contém a verdadeira The Family Reunion: um grupo de indivíduos, relacionados de alguma forma, volta a se encontrar. As criaturas eliotianas começam a aprender a se adaptar à vida.

Em The Elder Statesman, Eliot delinea, pela primeira vez, com exaltação e entusiasmo, as relações reais e ideais entre um homem e uma mulher, através de Monica e Charles. Os enamorados, como todos os que se apaixonam, se compreendem e se comunicam de forma profunda, acreditam que seu amor sempre existiu na eternidade. Aparece aquela comunhão, aquele desejo de dar e receber, aquela mistura de generosidade e expectativa que distingue o amor de todas as outras experiências em nossa vida. Essa exaltação amorosa reforça a idéia do relacionamento ideal e resolve o problema da solidão: é a libertação e restabelecimento pela cura através do amor — o amor humano que parecia inacessível nas peças anteriores.

Percebe-se, passo a passo, a existência de uma mudança no pensamento do autor.

O que nos ocorre é que The Cocktail Party e The Confidential Clerk são, cada uma por sua vez e em crescendo, processos diferentes do isolamento extremo e intenso apresentado em The Family Reunion. Com The Elder Statesman, temos a afirmação da possibilidade do relacionamento humano e como que uma rejeição da solidão. Em The Family Reunion, todas as personagens se acham isoladas, cada qual encerrada em si mesma. Conseguem falar, gesticular, elogiar-se mutuamente, mas observa-se que não há uma profundidade autêntica de comunicação. O autor não oferece saídas para evitar a solidão. Já, em The Cocktail Party, observamos uma mudança de visão: é necessário que as personagens se adaptem aos problemas da vida. Dois modos de vida são colocados em contraste: o caminho percorrido pelo mártir, indivíduo

altamente sensível e espiritual, caminho que inclui a decisão de aceitar a solidão, ainda que esta possa ser interpretada, num plano hierarquicamente superior, como a realização plena. Aparece o casamento, sugerindo o caminho da vida rotineira, forma pouco atraente, porém, a mais usual. Em The Confidential Clerk, percebe-se claramente uma evolução da criatura ficcional; estamos num degrau mais alto. Existe uma compreensão maior entre as personagens e aparece o amor. Assim, os pólos da solidão absoluta e da compreensão total são dissolvidos pela aceitação de possibilidades intermediárias. A solidão, quando aparece, é aceita com resignação. E, em The Elder Statesman, temos a conclusão de um processo: a reconciliação silenciosa que coroa de paz uma vida de erros. Sentimos a voz de um Eliot mais amadurecido, cheio de piedade e compreensão diante da complexidade da natureza humana. Partindo do pessimismo e da solidão absolutos apresentados na primeira produção, encontramos, finalmente, diante da simpatia e da compreensão, num diálogo mais amplo e verdadeiro, desta vez, entre gerações distintas: o pai, de um lado; a filha e o genro do outro. E a ênfase é colocada na vontade e no esforço para se comunicar, a fim de atingir o relacionamento ideal, a compreensão mais profunda.

Resta ainda uma palavra sobre aquelas personagens que chamaríamos de "enxerto" e que não podem ser analisadas em termos de solidão e inter-relacionamento, como fizemos com os protagonistas e as personagens secundárias.

Mas, se pensarmos em cada uma das peças como um todo, veremos que são igualmente importantes: servem para sustentar o arcabouço da peça, oferecendo vários tipos de serviços às demais personagens.

Há aquelas que forçam as outras a agir, seguindo-as com suas presenças silenciosas, como é o caso das Eumênides, em The Family Reunion. Há também as que instigam e perseguem, furiosa

e incansavelmente, sua vítima, como Gomez e a sra. Carghill, em The Elder Statesman.

Existem as que provocam reações imprevisíveis, como John, que não aparece no palco, mas não deixa de provocar consternação geral, em The Family Reunion; ou, ainda na mesma peça, o pai morto de Harry, cujo passado, uma vez descoberto, ajuda o protagonista a melhor compreender-se; ainda Michael, em The Elder Statesman, cuja visita repentina não só altera seu destino, como reforça a necessidade de o pai tudo confessar.

Que dizer daquelas que, repentinamente, assumem o papel de árbitros, chegando mesmo, ocasionalmente, a tomar as rédeas dos acontecimentos, como é o caso da sra. Guzzard, em The Confidential Clerk, que, numa única aparição, resolve o nó dramático com revelações extraordinárias, encaminhando os destinos das várias personagens presas às suas palavras? Ou ainda como o zeloso trio de guardiães de The Cocktail Party, que vigiam, encaminham e oferecem opções de vida aos protagonistas e às personagens secundárias, sem que nenhuma delas tenha ao menos consciência do que é tramado em seu redor.

Há também as que estimulam, com sua presença ou mesmo com sua ausência, os impulsos das outras. É o caso de Downing, em The Family Reunion, e de três personagens mortas: o pai de Colby, cuja profissão impulsiona o jovem a pôr em prática seu velho sonho; o filho morto de Eggeron, que o predispõe quase que a adotar o jovem Colby e, ainda, o amante de Lady Elizabeth, que a motiva a procurar o filho desconhecido, em The Confidential Clerk. Outras limitam-se a dar conselhos e a ouvir pacientemente os protagonistas, como o dr. Warburton, em The Family Reunion.

Há as que são utilizadas pelo dramaturgo, a fim de servir de alívio à tensão dramática, como é o caso de Arthur, personagem que não aparece em The Family Reunion, da sra. Piggot, em

The Elder Statesman, e de algumas intervenções de Julia, em The Cocktail Party.

Finalmente, há as que prestam serviços mais humildes, como trazer notícias ou introduzir convidados, como é o caso do Sargento Winchell e de Denman, criada dos Monchensey, ambos em The Family Reunion.

O estudo por nós empreendido prova que a produção dramática de Eliot não é formada de peças teatrais produzidas para uma determinada época, pois, não só descrevem a problemática do tempo, como revelam dilemas universais. A análise e interpretação das personagens demonstram que a imensa quantidade de seres humanos tem fome insaciável de amor, simpatia e compreensão mútuos. Porém, nas experiências de relacionamento humano essa fome não é jamais satisfeita pela ausência de algum ou mais fatores. Da mesma forma, o amor espiritual e a compreensão tentam florescer mas são, na maioria das vezes, estrangulados por falta de sentimento e comunicação recíprocos.

Por outro lado, as peças de ação contemporânea nos mostram o que Eliot buscou em toda sua vida: evitar fingimentos, procurar conceituar o amor e tentar definir o que é um homem.

Utilizando uma situação-chave — a reunião — isto é, um grupo de indivíduos relacionados de alguma forma se separa e, mais tarde, volta a se reunir, mas, desta vez, fortificados por uma experiência emocional que todos compartilharam, Eliot explorou, com todos os recursos de que dispunha, alguns dos paradoxos que nos causam perplexidade ao nos defrontarmos com o homem do século XX: sua solidão em meio à multidão, sua incomunicabilidade na era da comunicação, sua insegurança num período de prosperidade.

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ANÁLISE DO POEMA "INFÂNCIA", DE CARLOS DRUMMOND DE ANDRADE,
E DE SUA TRADIÇÃO ALEMÃ, POR KURT MEYER-CLASON

Eliana Amarante de Mendonça Mendes

- UFMG -

1. Introdução

O presente trabalho é uma tentativa de análise do poema "Infância", de Carlos Drummond de Andrade, e de sua tradução para a língua alemã, por Kurt Meyer-Clason, à luz do modelo de semiótica narrativa desenvolvido por A. J. Greimas e colaboradores.¹

Pretende-se proceder a uma análise comparativa, não-exaustiva, de alguns aspectos dos dois textos, o original português e a tradução alemã.

Detectados os eventuais desvios na tradução, pretende-se ainda, no intuito de testar a validade do modelo como auxílio para o estabelecimento de critérios objetivos para a avaliação de traduções, analisar detidamente algumas dessas falhas.

Primeiramente será apresentada uma análise do original português, procedendo-se então a uma leitura crítica comparativa do texto em alemão. Em seguida, serão focalizadas algumas ocorrências selecionadas de desvios, para avaliação da teoria e, finalmente, serão apresentadas algumas conclusões.

II. Os textos

I. Infância

(Carlos Drummond de Andrade)

Meu pai montava a cavalo, ia para o campo.

Minha mãe ficava sentada cosendo.

Meu irmão pequeno dormia.

Eu sozinho menino entre mangueiras

lia a história de Robinson Crusóé,

Comprida história que não acaba mais.

No meio-dia branco de luz uma voz que aprendeu

a ninar nos longes da senzala –

e nunca se esqueceu

chamava para o café.

Café preto que nem a preta velha

café gostoso

café bom.

Minha mãe ficava sentada cosendo

olhando para mim:

– Psiu... Não acorde o menino.

Para o berço onde pousou um mosquito.

E dava um suspiro... que fundo!

Lá longe meu pai campeava

no mato sem fim da fazenda.

E eu não sabia que minha história
era mais bonita que a de Robinson Crusoe.

2. Kindheit

(Trad. por Kurt Meyer-Clason)

Mein Vater ritt aufs Feld.
Meine Mutter saß und nähte.
Mein kleiner Bruder schlief.
Ich einsames Kind las unter Mangobäumen
Die Geschichte von Robinson Crusoe,
Eine lange Geschichte die niemals endet.

Im lichweißem Mittag rief eine Stimme
Die drüben im Sklavenhaus Kinderlieder lernte -
Und die sie nie vergaß -
Rief zum Kaffee.
Kaffee so schwarz wie die alte Kinderfrau.
Köstlicher Kaffee.
Guter Kaffee.

Meine Mutter saß und nähte
Und blickte zu mir her:
Pst... Weck nicht den Kleinen.
Blickte zur Wiege auf der eine Mücke saß.
Und seufzte... tief!

Weit draußen suchte mein Vater sein Vieh
Im Buschland der Fazenda.

Und ich wußte nicht daß meine Geschichte
Schöner war als die von Robinson Crusoe.

3. Kindheit²
'infância'

Mein Vater ritt aufs Feld.
'meu pai cavalgava/ para o campo.'
cavalgou

Meine Mutter saß und nähte,
'minha mãe ficava sentada/ e cosia/
ficou sentada coscu'

Mein kleiner Bruder schlief.
'meu pequeno irmão dormia/
dormiu'

Ich einsames Kind las unter Mangobäumen
'eu solitária criança lia/ entre mangueiras'
li

Die Geschichte von Robinson Crusoe,
'a história de Robinson Crusoe'

Eine lange Geschichte die niemals endet.
'uma longa historia que nunca mais acaba'

Im lichtweißen Mittag rief eine Stimme
'no branco de luz meio-dia chamava/ uma voz'
chamou

Die drüben im Sklavenhaus Kinderlieder lernte —
'que do outro lado na casa de crianças infantis aprendia/
escravos canções aprendeu'

Und die sie nie vergaß —
'e que as nunca esquecia/
esqueceu'

Rief zum Kaffee.
'chamava/ para o café.'
chamou

Kaffee so schwarz wie die alte Kinderfrau.
'café tão preto como a velha ama-seca'

Köstlicher Kaffee.
'delicioso café'

Guter Kaffee.
'bom café'

Meine Mutter saß und nähte
'minha mãe ficava sentada/ e cosia/
ficou sentada coseu'

Und blickte zu mir her:
'e olhava/ para mim de lá'
olhou

Pst... Weck nicht den Kleinen.
'psiu acorde não o pequeno'

Blickte zur Wiege auf der eine Mücke saß.
'olhava/ para o berço sobre o um mosquito ficava sentado/
olhou qual ficou sentado'

Und seufzte... tief!
'e suspirava/ fundo'
suspirou

Weit draußen suchte mein Vater sein Vieh
'longe fora procurava/ meu pai sua rês'
procurou

Im Buschland der Fazenda.
'na terra de arbustos da fazenda.'

Und ich wußte nicht daß meine Geschichte
'e eu sabia/ não que minha história'
soube

Schöner war als die von Robinson Crusoe.
'mais bonita era/ que a de Robinson Crusoe.'
foi

III. A análise do poema no original português

1. Segmentação do texto

Em se tratando de texto poético, a solução mais evidente seria a segmentação em estrofes. Entretanto, como poderá ser constatado no correr-na análise, parece mais conveniente explorar, com objetivos demarcativos, as marcas temporais. Existem nitidamente dois tempos no poema objeto da presente análise — passado e presente — com base nisto, substituiu-se a divisão em cinco estrofes por uma divisão bipartida, da forma como se segue:

1º segmento: Este segmento é constituído pelas estrofes 1ª, 2ª, 3ª e 4ª e corresponde ao tempo passado no poema;³

2º segmento: Este segmento é constituído pela 5ª e última estrofe do poema e corresponde ao tempo presente no poema.⁴

O primeiro segmento, por sua estruturação interna, pode, por sua vez, ser subdividido em quatro subpartes, sendo cada uma delas constituída de uma estrofe e tratando, cada uma, de uma linha dentro da temática geral.

2. Análise do 1º segmento

2.1 - 1ª subparte

A nível do componente narrativo, a 1ª subparte, que corresponde à 1ª estrofe, é constituída de uma seqüência de enuncia-dos de fazer, que exprimem as seguintes transformações, grossei-ramente arroladas abaixo:

- No verso 1, o actante-sujeito "pai", através do fazer "montava a cavalo e ia para o campo"⁵, coloca o actante-sujeito "eu" em disjunção com um objeto-valor ainda não revelado;
- No verso 2, o actante-sujeito "mãe", através do fazer "ficava sentada cosendo", coloca o actante-sujeito "eu" em disjunção com o objeto-valor;
- No verso 3, o actante-sujeito "irmão pequeno", através do fazer "dormia", coloca o actante-sujeito "eu" em disjunção com o objeto-valor;
- Nos versos 4, 5 e 6, o actante-sujeito "eu", até então paciente, passa a sujeito operante e, através do fazer "lia", coloca o sujeito "eu", agora reflexivamente, em conjunção com o objeto-valor, agora referido, com a apresentação do herói "Robinson Crusoe" - personificando a aventura, em oposição à rotina, dicotomia explorada em toda a narrativa.

A nível das estruturas discursivas, os actantes manifestos na estrutura subjacente são investidos semanticamente⁶ nas figuras abaixo:

- o pai - figura imponente, destacando-se das demais espacialmente, em nível mais alto, pois montado num cavalo;
- a mãe - sentada, em atitude submissa, passiva, pois "ficava" enquanto o pai "ia";
- o irmão pequeno - deitado, dormindo, alheio a tudo;
- o "eu", "menino entre mangueiras", sem importância, passando despercebido entre meio às árvores.

O objeto-valor revelado, a "aventura", figurativizada no antropônimo "Robinson Crusóe", e sua contrapartida, a "rotina", são valores disseminados em linhas temáticas pela narrativa. Na subparte ora focalizada, a temática da "rotina" manifesta-se, principalmente, pelo uso repetido do pretérito imperfeito do indicativo, que, em português, acumula semas temporais e aspectuais: - em relação ao tempo, expressa o passado e, em relação à aspectualização, expressa o aspecto freqüentativo, que nos dá a idéia de cenas repetidas e rotineiras. A temática da "aventura", nesta subparte, recai na figura do herói Robinson Crusóe. A figura paterna é também, de certa forma, representativa do tema "aventura", uma vez que o fazer do pai, embora rotineiro, reflete um pouco de vida aventureira.

No último verso desta subparte, temos uma alteração quanto à temporalização: o pretérito imperfeito do indicativo, que foi até então empregado com exclusividade, é aqui substituído pelo presente do indicativo "acaba". Este procedimento tem o efeito de, por meio de um encaixe temporal, antecipar o tempo presente,

nos remetendo ao 2º segmento do poema, como vimos, responsável por este tempo na narrativa. Tem, ademais, o efeito de fazer uma projeção para o futuro, remetendo a um tempo posterior ao tempo presente do poema. Tal projeção ocorre devido ao sema aspectual "não-terminativo" que se inclui no presente do indicativo do português.

2.2 - 2ª subparte

A 2ª subparte, que corresponde à 2ª estrofe do poema, é constituída, a nível das estruturas narrativas, de um enunciado de fazer expresso na seguinte transformação:

- o actante-sujeito "preta-velha", através do fazer "chamava para o café", coloca o actante-sujeito "eu" (não-explicito no texto) em disjunção com o objeto-valor, a "aventura" e, ao mesmo tempo, graças ao carácter contraditório⁸ da relação implicada, estabelece a conjunção do "eu" com a "rotina".

Nos versos 6 e 7, temos o actante-sujeito "preta-velha" sancionado positivamente pelo destinador-julgador "eu", sanção esta manifesta através de adjectivação positiva de "café" - "café gostoso/café bom.", precedida da comparação, no verso 5 - "café preto que nem a preta velha" - que atribui à preta as mesmas qualidades do café.

A nível do discurso, observa-se nesta estrofe o investimento semântico do actante-sujeito, na figura da "preta velha", tematizando a "aventura", pela alusão a sua origem longínqua - "hos longes da senzala". A "preta velha", assim como o "pai", encontra-se a meio caminho entre a aventura e a rotina: o "pai", em

conjunção com a rotina doméstica, sai em direção à aventura, "para o campo"; a "preta velha", em tempo anterior em estado de conjunção com a aventura (pelo menos segundo juízo do "eu") "chama" para a rotina.

O tema "rotina" é, nesta subparte, expresso pelo fazer doméstico habitual de "chamar para o café" e também pelo uso do pretérito imperfeito do indicativo, que, como vimos, expressa o sema aspectual frequentativo, responsável pela idéia de cena habitual.

A temporalização é nesta subparte marcada pelo uso do tempo passado — seja no pretérito imperfeito do indicativo — "chamava", seja no perfeito — "aprendeu" e "esqueceu". Quanto à aspectualização, além do que já foi colocado em relação ao uso do imperfeito, registram-se duas ocorrências do pretérito perfeito — "aprendeu" e "esqueceu", usados na caracterização da "preta velha". O perfeito, além de marcar o tempo passado, situa, no caso, a ação em anterioridade em relação ao passado, acumulando ainda os semas aspectuais puntualidade e terminatividade que concorrem para a figurativização da "preta velha" como ser adulto, formado.

2.3 — 3ª subparte

Nesta 3ª subparte, correspondente à 3ª estrofe do poema, temos, a nível narrativo, uma retomada do actante-sujeito "mãe" através de uma seqüência de enunciados de fazer que exprimem as transformações abaixo:

— No verso 1, o actante-sujeito "mãe", através do fazer "ficava

sentada cosendo", coloca o sujeito "eu" em disjunção com o objeto-valor "aventura";

- No verso 2, o sujeito mãe, através do fazer "ficava olhando para mim", coloca o sujeito "eu" em disjunção com o objeto-valor;
- No verso 3, o sujeito mãe, através do fazer "chamar a atenção do "eu"", expresso no diálogo, coloca o "eu" em disjunção com o objeto-valor;
- No verso 4, o sujeito "mãe", através do fazer "ficava olhando para o berço", coloca o actante-sujeito "irmão pequeno" em disjunção com o objeto-valor "aventura";
- No verso 5, temos o sujeito "mãe", como destinador-julgador, sancionando negativamente a "rotina", apresentada nos versos anteriores. A sanção é manifestada pela utilização do fazer "dar um suspiro".

Nesta estrofe, percebe-se claramente a importância da "mãe" na tematização da rotina: a nível das estruturas narrativas — nos diversos fazeres operados pelo sujeito "mãe", estabelecendo a disjunção dos sujeitos "eu" e "irmão pequeno" com o objeto-valor; a nível do discurso, o uso repetido do pretérito imperfeito do indicativo, como já vimos, portador do sema aspectual freqüentativo, concorre na composição da temática. Ainda neste nível, reforçando ainda mais a ligação da figura da mãe com a "rotina", temos a inclusão de seqüência de diálogo, no verso 3, projetando no discurso-enunciado a estrutura da comunicação, o que empresta realidade e veracidade ao texto.

O uso do pretérito perfeito "pousou" tem o efeito, no caso, de focalizar, dentro das cenas rotineiras do passado, uma determinada, fixar um ponto no tempo, o que concorre também para dar realidade ao tema.

2.4 - 4ª subparte

Esta 4ª estrofe é constituída, no plano narrativo, de um enunciado de fazer que exprime a seguinte transformação:

- O actante-sujeito "pai", através do fazer "campeava", estabelece a disjunção do sujeito "eu" com o objeto-valor.

No plano discursivo, o uso do pretérito imperfeito "campeava", sugere, a exemplo do ocorrido nas subpartes anteriores, a temática da rotina. Por outro lado, a debreagem espacial não-aqui "lá longe", bem como "no mato sem fim", situa o "pai" distanciado em relação ao "eu" e à "rotina" e em maior proximidade da aventura. Ou, como já mencionamos antes, assim como a figura da preta velha, a meio-caminho entre a rotina e a aventura.

2.5 - Conclusão

Neste primeiro segmento temos, então, o seguinte programa narrativo - $PN_1 = F [S_1 \Rightarrow (S_2 \cap O_v)]$ - que exprime a atuação de vários atores - "pai", "mãe", "irmão pequeno", "preta velha" - como sujeitos operadores da disjunção do Sujeito de estado - "eu" e "irmão pequeno" com o objeto-valor - "a aventura".

Temos ainda um programa narrativo de performance - $PN_2 = F [S_1 \Rightarrow (S_2 \cup O_v)]$, onde S_1 e S_2 estão em sincretismo e onde o "eu" realiza a conjunção de si mesmo com o objeto-valor.

3. Análise do 2º segmento

Como vimos, o 2º segmento do poema, na divisão por nós adotada, é constituído da 5ª e última estrofe e dá conta do tempo presente no poema – o “agora” da enunciação – enunciada.

O segmento em questão constitui-se de um enunciado no qual o sujeito-destinador, o “eu”-narrador da enunciação enunciada, emite juízo sobre sua própria história, sancionando-a positivamente. Conclui, a despeito da ignorância anterior do “eu” quanto a sua própria vida – “eu não sabia”, que a rotina – “minha história” é preferível à aventura – “mais bonita que a de Robinson Crusóé”.

A seqüência narrativa fragmentar expressa na emissão do juízo e na sanção, pressupõe todo um programa de aquisição de competência, não explícito no poema, que credenciaria o destinador-julgador a atuar como tal.

A nível do discurso, cumpre observar que o uso do pretérito imperfeito aqui – “sabia” – não contém o sema aspectual frequentativo, que expressa a idéia de rotina, presente nas ocorrências anteriores deste tempo verbal. “Sabia”, neste segmento, em virtude da própria natureza semântica do verbo, expressa “coisa permanente e adquirida”, contendo sema aspectual permansivo. “Não sabia” implica “hoje sei” e pressupõe que, num momento anterior “fiquei sabendo” – existe todo um programa de aquisição de competência sintetizado numa única forma verbal.

4. Conclusão

Retomando agora o poema como um todo, postulamos que "Infância" é a história da rotina da vida de um "eu" narrador, avaliada e sancionada negativamente num tempo passado e reavaliada e sancionada positivamente em um tempo presente. As avaliações e sanções são feitas pelo próprio "eu", em quem a vida operou transformações que o levaram a reformular seus pontos de vista.

IV. Leitura crítica da tradução para a língua alemã

Passamos agora à análise do poema em sua tradução para a língua alemã, ou melhor, a uma leitura crítica do mesmo, sem pretensões de exaustividade e, ainda, focalizando tão-somente aspectos considerados de maior interesse para nossos objetivos.

No verso 1, a locução verbal em português "montar a cavalo" é traduzida por "reiten", forma verbal simples que traduz com propriedade a locução portuguesa. Este primeiro verso, em português, é constituído de duas orações - "montava a cavalo" e "ia para o campo". Em alemão, temos um único verbo, portanto uma única oração, uma vez que o verbo "reiten" expressa 'movimento em direção a', dispensando o concurso de outro verbo para exprimir o movimento.

Problemática é a tradução do pretérito imperfeito do indicativo do português pelo "Präteritum" do alemão "ritt". Quando da análise do original português, vimos que este tempo verbal em português traz em si, subsidiariamente, a significação aspectual 'freqüentativo'. Em alemão o "Präteritum" não traz esta idéia, que, aliás, não é expressável em alemão através de nenhum tempo

verbal. Neste caso, seria necessário recorrer a outros recursos lexicais de que a língua alemã dispõe para se conseguir uma tradução adequada, o que não foi feito pelo tradutor.

No verso 2, temos a observar que a locução "ficava sentada cosendo" é traduzida sob a forma de duas orações "... saß und nähte". "Saß" traduz bem a idéia estática implícita em "ficava sentada"; "cosendo" é traduzido por "nähte"; ficando aqui prejudicado o aspecto verbal 'duratividade contínua' expresso pelo gerúndio no português, uma vez que o imperfeito "nähte" não contém este sema aspectual e que o tradutor não teve o cuidado de utilizar de outros recursos lexicais para expressar a idéia em questão.

No verso 3, nota-se novamente a impropriedade do "Präteritum" — "schief" — para expressar o aspecto frequentativo presente no imperfeito do português.

Nos versos 4 e 5, notamos o deslocamento do verbo "las", que no original ocorre no verso 5 — "lia" — para o verso 4 da tradução. Tal deslocamento é imposição da sintaxe de colocação em alemão.

"Eu sozinho menino entre mangueiras" é traduzido por "ich einsames Kind ... unter Mangobäumen": como se vê, em português temos o advérbio "sozinho", modificando o pronome "eu", e a seqüência "entre mangueiras", modificando "menino". Em alemão temos "Kind" modificado pelo adjetivo "einsames", "ich" aparece sem modificador e "unter Mangobäumen" ocorre como um sintagma adverbial de lugar onde, complemento do verbo "las". Estas alterações são opções do tradutor, que consideramos impróprias, uma vez que o elemento "menino entre mangueiras", importante pa-

ra a figurativização do "eu" fica, desta forma, sem correspondência em alemão.

Repete-se ainda, nesta seqüência, a tradução do imperfeito "lia" pelo "Präteritum" - "las" - o que novamente, e pelas mesmas razões, se mostra inadequado.

No verso 6, só se observa a criação, na tradução de um artigo indefinido "eine" que não ocorre em português, como opção do tradutor.

Nos versos 7 e 8, temos a antecipação, para o verso 7, do verbo "rufen" (rief), que no original só vai aparecer no verso 10, como imposição das regras de colocação em alemão.

"Aprendeu a ninar" é traduzido por "Kinderlieder lernte", o que consideramos inadequado, não por causa da substituição de um verbo - "ninar" - por um sintagma nominal - "Kinderlieder" - mas, simplesmente porque "Kinderlieder" não traduz o verbo "ninar", nem ao menos traduz "canções de ninar", que em alemão é "Wiegenlieder".

O pretérito perfeito "aprendeu", traduzido aqui pelo "Präteritum" - "lernte" - é duplamente incorreto: não expressa o aspecto terminativo presente no pretérito perfeito do português e, ademais, não expressa o efeito alcançado pelo uso paralelo dos dois tempos no original, que focaliza uma cena determinada, entre uma série de cenas situadas no passado.

"Nos longes da senzala", traduzido por "drüben im Sklavenhaus" representa também impropriedade, pois o efeito espacial sugerido por "drüben" não reflete o conteúdo semântico de "nos longes", que significa distância física muito maior.

No verso 9, tem-se novamente a dupla incorreção do uso do "Präteritum" pelo pretérito perfeito do português, comentada há pouco.

No verso 10, observa-se novamente a inadequação do uso do

"Präteritum" para a tradução do imperfeito do português, uma vez que não se correspondem, quanto ao sema freqüentativo, as referidas formas verbais.

No verso 11, registra-se a tradução de "preta velha" por "alte Kinderfrau", o que constitui uma certa impropriedade, uma vez que "preta velha" não é necessariamente "ama-seca", que é a tradução de "Kinderfrau".

Os versos 12 e 13 não apresentam nada que mereça menção.

O verso 14 é repetição do verso 2.

No verso 15, traduz-se "olhando para mim" por "blickte zu mir her", ficando não-expresso, em alemão, o sema aspectual 'duratividade contínua', presente no gerúndio português, haja vista que o "Präteritum" não inclui este sema e que o tradutor não cuidou de encontrar uma alternativa a nível lexical.

Em 16, "menino", que em 4 é traduzido por "Kind", é agora traduzido por "Kleinen", opção do tradutor que não acarreta nenhuma inconveniência.

No verso 17, registra-se a repetição de "blickte", já ocorrido em 15, o que não acarreta outros problemas além dos já apontados em relação à ocorrência anterior. Ainda em 17, pode-se apontar o uso do "Präteritum", pelo pretérito perfeito, implicando, pelos mesmos motivos anteriormente mencionados, uma dupla incorreção (cf. versos 7 e 9).

No verso 18, além da tradução da locução verbal "dava um suspiro" por uma forma verbal simples — "seufzte" —, merece registro a eliminação do "que" na tradução: "tief" por "que fundo". O elemento "que" é da maior importância, uma vez que marca a presença de um actante-observador⁹ instalado no discurso. A sua eliminação, portanto, lesa a tradução quanto a este aspecto.

Em 19, a tradução do verbo intransitivo "campeava" pela forma "suchte" e o objeto direto "sein Vieh", embora traduza a

idéia expressa pelo verbo no original, prejudica, no nosso entender, esteticamente o texto. Ainda neste verso, registramos a problemática da tradução do imperfeito pelo "Präteritum", com as mesmas conseqüências já citadas repetidas vezes.

O verso 20 apresenta um neologismo: "Buschland", criado para traduzir a expressão "mato sem fim", no nosso entender anti-estético e devendo por isso ter sido evitado. Ainda neste verso, encontra-se não-traduzido o elemento "fazenda", o que consideramos além de também anti-estético, desnecessário.

Em 20 e 21, ao contrário do que era de se esperar, não constitui impropriedade a tradução do pretérito imperfeito do indicativo "sabia" e "era" pelo "Präteritum" "wußte" e "war": Quanto ao verbo "saber", porque, como vimos, este verbo, neste uso, não contém sema freqüentativo, não constituindo, pois, problema sua tradução por uma forma que também não inclui tal sema. Quanto ao verbo ser, por causa de seu "status" de verbo de ligação, sem carga semântica própria.

Do que foi observado quando da leitura crítica da tradução, selecionamos alguns itens, nos quais pretendemos nos deter mais, com o objetivo de verificar o pressuposto teórico contido no modelo de que quanto mais profunda for a origem do desvio, na estrutura subjacente, maior será a gravidade do mesmo e maior o comprometimento da tradução.

Tentaremos então verificar a nossa hipótese, aventada por extensão daquele pressuposto teórico, de que desvios situados num mesmo nível devem ter o mesmo grau de gravidade.

Selecionamos, para tanto, algumas impropriedades cometidas pelo tradutor, que envolvem a aspectualização da temporalidade, tematização e figurativização, segundo a teoria desvios a nível das estruturas discursivas.

Passamos agora, primeiramente, a algumas considerações a propósito dos desvios envolvendo aspectualização.

A análise do poema, em português, mostrou que a temática da rotina foi quase integralmente manifesta por meio do aspecto freqüentativo contido no pretérito imperfeito do indicativo do português. Como se viu, este recurso é repetidas vezes utilizado no texto, na disseminação da linha temática "rotina" pelos diversos programas. A tematização concentra-se aqui, na função-predicado, no fazer.

O aspecto, que é uma sobredeterminação da temporalidade, pode ser expresso como um sema verbal — como no caso em questão — mas é também suscetível de se manifestar sob a forma de morfemas gramaticais autônomos. Na língua alemã, o aspecto freqüentativo não está contido no tempo verbal "Präteritum", mas pode manifestar-se autonomamente, a nível lexical.

Na tradução em análise, entretanto, ficou sem correspondência a aspectualidade: o tradutor traduziu todas as ocorrências do pretérito imperfeito do indicativo em português pelo "Präteritum" e não houve, por parte do mesmo, o cuidado de utilizar recursos alternativos para exprimir o aspecto.

Fica, portanto, seriamente comprometida a tradução, uma vez que tais desvios fazem com que o tema rotina fique não-expresso na versão alemã. O comprometimento é ainda maior devido ao grande número de ocorrências do desvio no texto.

Sob o ponto de vista da teoria adotada, fica justificada a gravidade do erro, uma vez que, envolvendo a aspectualidade, que é componente da sintaxe discursiva, e a tematização, componente da semântica discursiva, fica comprometido, por uma mesma falha, os dois constituintes maiores do plano das estruturas discursivas.

Outra ocorrência de desvio envolvendo aspecto é a tradução do pretérito perfeito do indicativo do português, que expressa o aspecto terminativo, pelo "Präteritum". Este tempo verbal alemão não inclui o sema aspectual terminativo, ficando outra vez

comprometida a tradução, uma vez que ficou inexpresso na mesma a idéia presente no original.

O desvio em questão se torna ainda mais grave, pois o efeito de fechamento de foco obtido pelo uso dos dois tempos verbais em português — o imperfeito e o perfeito — fica anulado pelo emprego de um só tempo em alemão — o "Präteritum". Fica sem correspondência, portanto, na tradução, a ilusão de realidade do texto, obtida através da utilização do recurso em pauta.

À luz da semiótica narrativa, justificam-se, por um lado, a relativa gravidade do erro em análise, uma vez que se situa a nível do componente discursivo e, por outro lado, o menor grau de gravidade do mesmo em relação ao desvio anterior, já que aquele envolve, como se viu, dois constituintes do componente discursivo, enquanto, no último caso, só um constituinte está em jogo.

Ainda quanto à aspectualização, registramos desvios decorrentes da tradução de formas do gerúndio português, pelo "Präteritum" no alemão. O gerúndio em português contém semas aspectuais de duratividade contínua, o que não ocorre no "Präteritum" alemão. Já que o tradutor não buscou soluções alternativas para a expressão desta aspectualidade, fica também prejudicada a tradução.

No caso presente, parece menor o grau de comprometimento da tradução, o que se pode atribuir, de acordo com a teoria adotada, ao fato de aqui a aspectualização estar desvinculada de outros mecanismos. Esclarecendo: no primeiro caso temos desvios que abrangem aspectualização e tematização; no segundo caso, aspectualização e aspectualização (jogo de aspectos) e, no terceiro caso, tão-somente a aspectualização.

Outro desvio que nos propusemos a comentar é a tradução de "preta velha" por "die alte Kinderfrau", que consideramos inadequada, embora não acarrete grandes problemas para versão alemã

como um todo. Como vimos, "preta velha" não é o mesmo que "velha ama-seca", que é a tradução literal de "alte Kinderfrau".

O desacerto em questão se situa no nível figurativo do discurso, instância que se caracteriza pela instalação das figuras de conteúdo. "Preta velha" é, portanto, uma figura que investe semanticamente no dicotomia temática rotina/aventura.

Como desvio no nível discursivo, era de se esperar, a exemplo do que sucede com os itens anteriores, que gerasse compromisso maior que o detectado por nós.

Tal fato, acreditamos poder ser explicado da forma que se segue: Os semas contidos em "preta velha", listados grosseiramente abaixo, são expressos na tradução através dos seguintes elementos:

preta velha

- | | |
|------------------------------|--|
| - indivíduo de sexo feminino | "frau" |
| - de idade avançada | "die alte" |
| - de cor negra | expresso através da comparação da mulher com o café preto
"Kaffee so schwarz wie die alte Kinderfrau" |
| - escravo | expresso através da menção de senzala "Die drüben im Sklavenhaus Kinderlieder lernte" |
| - | "Kinder" |

Como se pode constatar, na tradução estão presentes todos os semas contidos em "preta velha" e mais um, que aí não aparece, expresso pelo elemento "Kinder" e que indica que a negra se ocupa com crianças.

A impropriedade, por conseguinte, reside no elemento "Kinder", que acrescenta à figura da "Preta velha" um sema, qualificando-a como "ama-seca", o que não é verdadeiro.

Parece-nos, portanto, ficar assim justificado o alto grau de aceitabilidade observado na ocorrência desviante em questão.

VI. Conclusão

Do exposto, e cumprindo nossa pretensão inicial, parece termos encontrado alguma evidência a favor da hipótese de que desvios de mesmo nível têm mesmo grau de gravidade, verificando-se assim a operacionalidade do pressuposto teórico em questão.¹⁰

Temos, portanto, alguma indicação de que a semiótica narrativa pode fornecer subsídios para o estabelecimento de critérios objetivos para a avaliação de traduções.

NOTAS

1. O estado incipiente em que se encontra o modelo, em alguns aspectos, acarreta muitos problemas para os iniciantes, o que é o nosso caso, pois não possuímos experiência na área para suprir as lacunas teóricas existentes.

2. Esta é uma tradução literal do poema, que julgamos oportuno incluir, para facilitar para quem não sabe o alemão.

3. De acordo com o modelo adotado, trata-se aqui do 'tempo de então', não-concomitante e anterior em relação ao 'tempo de agora'.

4. Trata-se aqui do 'tempo de agora', inscrito no discurso como o tempo da enunciação-enunciada.

5. Embora expresso por dois verbos e, conseqüentemente, duas orações, acreditamos tratar-se apenas de um único fazer: ir a cavalo para o campo.

6. Este investimento semântico a que nos referimos aqui é operado pela figurativização, que é componente da sintaxe discursiva.

7. Esta iconização concorre também para dar o efeito de real ao discurso.

8. A análise levada mais a fundo, o que não é nossa pretensão no momento, mostraria que esta dicotomia tem origens na estrutura elementar da significação.

9. Este actante-observador manifesta-se aqui claramente em sincretismo com o "eu", sujeito da enunciação-enunciada. A presença deste observador instalado no discurso se faz sentir também na aspectualização.

10. Naturalmente que o assunto exige investigação muito maior, o que não é nossa disposição no momento.

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ROCK'N'ROQUE: OS ANOS OITENTA

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- UFMG -

Para Ricardo, senior rocker,
pelo apoio técnico e moral.

Para João e Pedro, junior
rockers, pelas aulas diárias.

Para Sílvia, baby rocker,
pelo sorriso que dissolve o
cansaço.

Contestador e contestado, o rock tem sobrevivido às mudanças rápidas do cenário mundial, não se perdendo em permanecer velho quando o novo está sempre à sua volta, ou imóvel quando o mundo teima em ficar velho diante da inevitável força jovem.

Com força total, o rock inglês¹ das duas últimas décadas fez surgir um movimento de sonoridade discutível, barulhento, descobridor de grandes instrumentistas, incompreensível aos ouvidos mais sensíveis; um movimento que coloca seu protesto na ênfase aos metais e ao som agudo.

Chamado genericamente de heavy metal, esse rock tem recriado velhos estilos — como o jazz, o blues e o reggae — tem tentado incursões (nem sempre bem sucedidas) no campo clássico e acionado formas futuristas ainda não inteiramente definidas. Em sua trajetória desperta mercados antes inteiramente improdutivos no campo: Austrália, Alemanha, França, Irlanda e até o Ja-

ção. Em todos, a marca de um mundo tão vasto quanto aldeia global: a mesma batida perseguindo temáticas de interesse regional ou universal.

O heavy metal inglês, que no dizer de Peter "Biff" Byford a pareceu porque "as pessoas estavam cansadas do punk, do mod e do reggae; cansadas de gostar do que lhes era imposto pela imprensa e o rádio ingleses"², despertou de repente a barulheira do mundo. Parecendo por um lado ter parado no tempo dos cabelos longos, transporta na maquiagem pesada dos metalheiros, na roupa de aspecto primitivo em couro e tachas, a figura do anjo e do andróide, - ambos emasculados - como a conduzir a idéia de um planeta também indefinido. O grupo ANGEL, por exemplo, ao se vestir de branco, contrasta o símbolo de pureza com invariáveis incursões através de um universo de explosões sexuais.

Nesse particular, a postura à primeira vista bissexual do metalheiro se confunde entre a musculatura nua e visível de bateristas e guitarristas e o olhar perdido e lânguido entre longas mechas louras. Estranhamente não nos parecem travestis, mas assexuados. Modismos à parte, repetem na aparência a história de tantos manifestantes da arte.

Super-heróis de um cotidiano adulto incompreensível, são super-homens do nada, muitas vezes imobilizados, apesar do movimento eletrizante do palco. Assim, a música e a performance do KISS "permite que a platéia reviva fantasias das histórias em quadrinhos numa viagem pelo mundo do inacreditável e do espantoso."³ São heróis tão inatingíveis e irreais quanto os sonhos que cantam. Combatentes e audazes, são quixotes da estratosfera: têm os pés fincados num terreno mais alto que a realidade - o palco - mesmo porque talvez a luta do mundo real seja invencível. Nesse campo de batalha, derramam inofensivo sangue-de-catchup:

"Sunday bloody sunday

. . .

And the battles just begun

There's many lost, but tell me who has won?

The trenches dug within our hearts

And mother's children, brothers, sisters torn apart

. . .

And it's true we are immune

When fact is fiction and TV is reality."

(U2, "Sunday Bloody Sunday")

Ainda no terreno do irreal, podem negar sua crença religiosa:

"don't need no blind belief

. . .

don't need no time for prayer

. . .

don't need no Santa Claus."

(MOTÖRHEAD, "(Don't need) Religion")

mas na verdade são místicos e conclamam deuses e satãs em seu protesto. Não reconhecendo líderes confiáveis, procuram no desconhecido e no intocável a idealização do visível. Explodindo numa Europa rasgada pelo desconcerto da guerra, imprensada pela força do passado, pesada pela responsabilidade de sobreviver num planeta invadido pela tecnologia e a ansiedade de um futuro ao mesmo tempo desejado e temido, o rock faz troar no palco suas falsas bombas contra os eternos bombardeios da História. Seu mundo fica povoado de bruxas e demônios, de anjos demolidores, satãs invasores e deuses punidores:

"Now in darkness world stops turning
As you hear the bodies burning
No more war pigs have the power
And as God has struck the hour
Day of judgement, God is calling
on their knees the war pigs crawling
Begging mercies for their sins
Satan laughing spread his wings
All loggerhead."

(BLACK SABBATH, "War Pigs")

O rock repete a encenação medieval e, à maneira da consagrada literatura inglesa, canta o oculto, o mágico, o anticristo. Desafia o clero e a sociedade conservadora, para ele responsáveis por uma geração criada do medo. Rejeita sua imposição dogmática, convoca uma nova ordem de crença — a dos deuses metaleiros:

"Against the odds, black metal gods
Fight to achieve our goal
Casting a spell, leather and hell
Black metal gods rock'n'roll
Building up stream, nuclear screams
War heads are ready to fight
Black leather hounds; faster than sound
Metal our purpose in life
Black metal
Lay down your soul to the gods rock'n'roll."

(VENOM, "Black Metal")

Até mesmo se batiza JUDAS PRIEST ...

Nesse caminho de contestação, fala do mundo ocidental domi

nador, anuncia um porvir alucinado e justiceiro. Para ele, o do minador ocidental se insinua forte, tirânico:

"Rullin' like a tyrant
Teasin' ev'ryone around
He drags his legs, he plants his feet
He's botherin' the ground
Here and now this man
You see plans his terror free
He's born to rule, a king to be"
(ACCEPT, "Breaker")

controlador da mente, usurpador e dilatador do mal:

"They are controlling our minds
And they use us for fame and fortune."
(BLACK SABBATH, "Born Again")

Contra o fantasma também barulhento e destruidor da guerra, Ozzy Osbourne, idolatria roqueira, símbolo máximo dos mais duradouros dessa loucura frenética, grita seu protesto demolidor:

"Gen'ral's gathered in their masses
Just like witches at black masses
Evil minds that plot destruction
Sorcerers of death construction

In the fields are bodies burning
As the war machine keeps turning
Death and hatred to manking
Poisoning their brainwashed minds
All loggerheads."
(BLACK SABBATH, "War Pigs")

Atenta a um planeta cinzento, oposto ao do verde-limão, do roxo e do amarelo fosforescente, frente a uma multidão conformista de cabelos penteados, disciplinada e monótona, a ala punk do rock desacredita um sistema que joga de maneira irresponsável com a vida:

"In Europe and America there's a growing feeling of
hysteria

Conditioned to respond to all the threats
In the rethorical speeches of the Soviets
Mr. Krushev says we will bury you
I don't subscribe to this point of view
It would be such an ignorant thing to do
If the Russians love their children too.

How can I save my little boy from Oppenheimer's
deadly toy

There's no monopoly of common sense
on either side of the political fence

. . .

There's no such a thing as a winnable war
It's a lie we don't believe anymore
Mr. Reagan says we will protect you
I don't subscribe to this point of view."

(STING, "Russians")

O punk, amargo e severo com uma sociedade que não lhe permite atingir seu patamar mais alto, não acredita numa estrutura que só o subjuga:

"Have no faith in constitution."

(POLICE, "Spirits in the material world")

Não encontra seu espaço na classe dominante que sempre tem a palavra — esta, instrumento de submissão imposto pelo poder:

"Poets, Priests, and Politicians
have words to thank their positions,
words that scream for your
submission and no one's jamming
their transmission.

. . .

When their eloquence escapes me
their logic ties me up
and rapes me."

(POLICE, "De Do Do Do De Da Da Da")

Contra a palavra imposta, o punk tem o visual e o comportamento agressivos. Nessa guerra desigual, não há espaço para mugúrios: é preciso gritar. O roqueiro se posiciona então do alto do seu palco como observador arguto da sociedade, sem falsos moralismos, sem ditar regras. É comentarista de dedo em riste, é cobrador persistente: Persiste também na guarda do seu amor:

"Every move you make, every vow you break
every smile you fake
every claim you stake, I'll be watching you."

(POLICE, "Every Breath you Take")

Assim, como qualquer mortal, sucumbe diante da química da sedução amorosa e é romântico à sua maneira. Canta seu amor em meio a sons estridentes, mas é também capaz de quebrar o ritmo de sua batida feroz tornando-se cantor de baladas e canções. É aqui que a alquimia metálica se desdobra e redobra, derretendo músculos de aço quando vozes melodiosas, quentes e viris, antes

sufocadas por um som mecânico sempre mais alto, surgem límpidas garantindo que:

"Love, only love can win back your love someday"
(SCORPIONS, "Still loving you")

reforçando a persistência do amor, ou lamentando — como em tantas baladas tradicionais — sua perda ou seu fim:

"How can you just walk away from me
when all I can do is watch you leave?
'Cause we shared the laughter and the
pain and even shared the tears ..."
(PHIL COLLINS, "Take a look at me now")

tornando-se melosas e até infantis nesse enredo inescapável e muitas vezes inesperado. Surpreendentemente, em meio a tanto ruído, o DEFF LEPPARD é "um leopardo romântico"⁴ que, coerente com esse inferno sonoro, grita num gemido seu lamento.

Em algumas ocasiões, o rock pesado se apresenta agudamente erótico. Mas aqui uma surpresa: o sexo não constitui tema da primeira linha do rock pesado. Ele pode ser romântico ou agressivo, mas raramente pornográfico. Nesse aspecto, em relação ao rock brasileiro, um heavy relativamente mais comportado, o rock de língua inglesa parece até mais conservador.

Abre-se aqui um espaço para que mencionemos a mulher do rock inglês. Na última década, dentro de um cenário de clara hegemonia masculina, nomes importantes surpreenderam o palco com apresentações tão arrogantes quanto aquelas de seus pares masculinos. Ao contrário de muitos deles, no entanto, a roqueira se fez erótica e feminina. Mesmo no cômodo de Nina Hagen, a feminilidade brota no protesto agudo contra a situação política euro-

péia e Madonna traz de volta o sutiã de renda à mostra enquanto, paradoxalmente, canta "Like a Virgin". Românticas, não são apenas a "material girl" reclamada por Madonna.

Finalmente, num outro plano, contemplamos a poesia mística de composições épico-futuristas, como as de Peart, do grupo canadense RUSH:

"The Totes of Hades Lite By Flickering Torchlight
The Netherworld is Gathered in the Glare,
Prince By-Tor Taket of the Cavern To the Northlight,
The Sign of Eth Is Rising In the Air,
By-Tor Knight of Darkness,
Centurion of Evil, Devil's Prince"
(RUSH, "By-Tor and the Snow Dog")

e os enredos saídos da ficção científica barata dos anos 30.

Inegavelmente criador apesar da sua batida um tanto monótona, o rock ganha terreno a cada dia. Por isso, doa a quem doer, é preciso reconhecer que ele é hoje universal. Como tal é também uma realidade nossa, cuja prova conclusiva se encontra na aceitação patente do rock verde-amarelo pela juventude brasileira.

Em meios mais puristas pode parecer que tal devoção a uma cultura de origem estrangeira se traduza simplesmente como alienação da juventude. Não é bem assim... Importam-se elementos culturais alienígenas em outros campos — das teorias literárias e psicanalíticas à tecnologia da informática. Admiram-se e aplaudem-se os bons músicos do rock internacional e cria-se no país um rock que, embora tendo suas origens musicais no estrangeiro, apresenta uma temática inteiramente própria.

É o jovem engajado em problemas políticos, contestador de valores ou pseudovalores de sua sociedade; são as críticas irre-

verentes, irônicas, ambíguas que ridicularizam em tom jocoso os exageros, a hipocrisia, o materialismo, a falta de limites da u ma sociedade de final de século.

A ironia freqüente varia de um nível puramente de pilhéria para alcançar, por vezes, os patamares de uma sátira ferrenha. Mas, a exemplo do rock de língua inglesa, não se exclui desta extensa temática o lado romântico: o rival, o amor que se foi, a saudade, a esperança de dias melhores.

O jovem participa dos problemas de sua década e vive os sentimentos próprios à sua idade.

Universal em sua linguagem sonora, o rock brasileiro apresenta uma lírica diversa, muitas vezes entremeada de termos di letais, coloquiais e gírias; usa de paradoxos, trocadilhos e am bigüidades na expressão do seu lado humorístico e, estilisticamente, varia da simples contestação à poesia elaborada.

Aqui se misturam estilos como o brega — receita brasileira inusitada — o pauleira e o romântico. É o espírito roqueiro de tonado no Brasil, o acender do pavio da dinamite que já se encontrava no subsolo e que de uma só vez vem à tona num formidável "boom" de cantores e grupos de rock.

Se voltássemos num rápido retrospecto aos anos pré-80, encontraríamos o reino do rock no Brasil — a não ser por adaptações de letras estrangeiras — sob a regência uma e absoluta de RITA LEE.

É ela quem se autodefine e, por extensão, o roqueiro brasi leiro:

"Eu tô ficando velho,
Cada vez mais doido varrido,
Roqueiro brasileiro
Sempre teve cara de bandido!"

(RITA LEE, "Ôrra Meu")

E Rita estava certa. Antes da explosão dos conjuntos nos últimos três anos o roqueiro brasileiro transitava nas raias da marginalidade.

Parecem também ser de Rita os primeiros passos em um estilo de crítica irreverente e bem-humorada, hoje característica marcante e típica do rock nacional.

As estruturas sócio-morais são questionadas. Assim, os prazeres do sexo, por tanto tempo escondidos nas rendas e babados dos lençóis das vovós, passam ao extremo oposto de uma hipervalorização. Sexo é assim como droga: excitação, prazer e dependência:

"Passo o dia inteiro imaginando meu bem
Na cama, no chuveiro, no trampo, sempre tão blazé
É uma neurose
Uma overdose
Sou dependente do amor."

(RITA LEE, "On the Rocks")

Longe vai o tempo da passividade de Amélias e Emílias que sabiam lavar e cozinhar. A roqueira se declara "boa de cama, de mesa, de banho." (RITA LEE, "Yoko Ono")

Mas a ironia não impede que o sentimento romântico venha à tona, marcado por uma cadência mais suave.

Em contrapartida, a crítica ferrenha surge quando é dado o enfoque político. O Brasil de Gonçalves Dias, com palmeiras e sabiás, vira o deboche de:

"Minha terra tem planetas
Onde canta o uirapuru,
Tem morcego, borboletas,
Tem santinho, tem voodoo."

A posição anticolonialista faz com que a cultura do opressor se ja questionada:

"Entre russo e americano,
Prefiro gregos e troiano,
Pelo menos eles num fala
Que nós é boliviano."

(RITA LEE, "Pirarucu")

Mais explícita ainda é a crítica à situação econômica atual do Brasil, onde desfilam nominalmente, um a um, os políticos da época: Jânio - "filoporquequilo-", Andreazza - "galã da várzea -", "o sinistro Delfim com a pança cheia de cupim". O refrão é carregado de ironia:

"Oh! Oh! Brasil
Quem te vê e quem te viu
Pra frente, pra frente que até caiu."

Numa referência ao nosso hino nacional a roqueira termina pedindo do socorro:

"Incêndio! Incêndio! Incêndio!
Pegou fogo o berço esplêndido."
(RITA LEE, "Arrombou o Cofre")

Nas raízes deste nacionalismo, nas promessas de mudança e renovação de uma Nova República, os cantores e grupos de rock e clodem pelo país. "A MPB tradicional está se repetindo, o público sente isso e os músicos iniciantes também. Então o rock foi sendo adotado naturalmente como uma forma de renovação. Além disso, o rock pintou no Brasil em circunstâncias parecidas com

as do seu surgimento nos E.U.A. Lá o rock apareceu no pós-guerra, como desafego de uma época tensa. Aqui ele chegou com o fim da ditadura. O samba não serviria como trilha sonora dessa época em que vivemos, porque é um gênero conformista, que exalta a miséria."⁵

Como aquele que lhe deu origem, o rock nacional também não foge à repetitividade melódica, talvez por ser um gênero musical essencialmente simples.

Sem berço tropical, chega ao Brasil já pronto, não para ser copiado, mas para renascer.

Assumindo personalidade verde-amarela adquire, a cada dia, identidade própria, contornos típicos e particulares.

A cadência em si já diverge da do estrangeiro. "O músico de rock brasileiro desenvolveu um balanço próprio a partir deste produto importado. Desenvolveu uma capacidade de improvisação própria. Todo músico brasileiro, por mais que renegue o samba e o carnaval, é influenciado por estes ritmos ao pegar num instrumento."⁶

O humor é um elemento de extrema importância no rock nacional, ao contrário do que ocorre com seu equivalente estrangeiro. Essa característica reflete-se em letras de músicas — desde as marchinhas de carnaval — o posicionamento do povo brasileiro na sua incrível capacidade de se auto-ridicularizar, de rir de si mesmo.

Surgindo num momento de catarse, após vinte anos de repressão, o rock envereda por esta trilha bem-humorada de desafego, de liberação, de alegria e jovialidade.

"A gente não sabemos
Escolher Presidente
A gente não sabemos
Tomar conta da gente

A gente não sabemos
Nem escovar os dentes
Tem gringos pensando
Que nós é indigente

. . .

Inútil,
A gente somos inútil."

(ULTRAJE A RIGOR, "Inútil")

O roqueiro é o crítico do hábito brasileiro de aceitar tudo que lhe é imposto pela mídia, sem contestação:

"Não passava de um imbecil
Até que um produtor o descobriu
Até que o imbecil não era de todo mau.
Transformou-se num sucesso nacional
Apesar do discutível valor."

(ULTRAJE A RIGOR, "Jesse Go")

Algumas pitadas de humor negro são por vezes encontradas. É o caso do grupo PREMEDITANDO O BREQUE, que nos apresenta um "Balão Trágico" — paródia do superpopular infantil "Balão Mágico", onde tudo são cores, fantasia, superfantástico, ou que propõe uma lua-de-mel em Cubatão, em crítica áspera à superpoluição da cidade.

Como em qualquer outro gênero literário — a tragédia e o melodrama, a comédia e a farsa — há também que se considerar os extremos e os exageros do rock nacional com proposta puramente comercial: o humor é trocado por piadas fáceis e ridículas, a pobreza musical da melodia sofre uma tentativa de camuflagem com aparatos de estúdio: metais, sintetizadores e distorções.

Segundo Roger Rocha Moreira, este produto final que impres

siona não é rock, mas "rockokó".⁷

Este exagero se mostra na insistência da versão-paródia, no erotismo pornográfico — por vezes censurado — na ambigüidade intencionalmente grosseira:

"Sônia, sempre que eu te vejo
Eu não durmo
Sônia, é por você que eu me perturbo.
. . .
Sônia, chega mais aqui, fica bem juntinho
Sônia, vamos nesta festa
Fazer um trezinho
Você vai na frente que eu vou atrás."
(LEO JAIME, "Sônia")

Aqui Leo Jaime tenta parodiar "Sunny", de Chris Montez. A versão brasileira original apresentava a palavra "masturbo"⁸ — censurada — ao invés de "perturbo". A vulgaridade está presente no duplo sentido do último verso.

À parte o exagero, e a ambigüidade intencional, seja através do aspecto metafórico ou de um leve toque de humor, sugere interpretações eróticas inesperadas.

"Ela não me dá atenção
É porque eu não tenho grana
Porque se eu tivesse
Ela dava. Ah! dava." (Grifo nosso.)
(LEO JAIME, "O Pobre")

Ou ao usar jargões bastante popularizados propõe associações particularmente saborosas, de tom leve e jocoso, bem próprio da linguagem juvenil:

"Na madrugada, na mesa do bar
Loiras geladas, vêm me consolar."
(R.P.M., "Loiras Geladas")

A temática sexo/prazer, em oposição ao rock de língua inglesa, aparece constantemente. O roqueiro advoga a vitória do amor livre, sem preconceitos ou barreiras. A monogamia é questionável, assim como a obediência aos padrões sócio-morais preestabelecidos e a anulação da personalidade de um ou de outro em prol do parceiro. Celebra-se a filosofia Carpe Diem e o hedonismo — o prazer pelo prazer.

Um dos bons exemplos desta nova visão de coisas vem na história do rapaz que se descreve como "moreno alto, bonito e sensual ... carinhoso ... bom tipo social" e oferece à parceira a chance de solucionar os seus problemas através de "um relacionamento íntimo e discreto" e de "um amor sem preconceito". (HERVA DOCE, "Amante Profissional")

Tenta-se evitar vínculos ou comprometimentos amorosos. Os namorados se tornam objetos típicos de uma sociedade capitalista — consumíveis e descartáveis.

"Mas o que ela gosta é de namorados descartáveis
Do tipo one-way, do tipo one-way, do tipo one-way."
(CICLONE, "Tipo One Way")

O amor e o sexo devem ser mantidos tão puros quanto no Dia da Criação, livres de limites e restrições:

"Tudo azul
Adão e Eva
E o paraíso

Tudo azul

Sem pecado e sem juízo."

(BABY CONSUELO, "Sem Pecado e Sem Juízo")

Existe ainda um requisito de fundamental importância dentro do relacionamento amoroso: a individualidade e a autenticidade devem ser mantidas a qualquer preço. É o fim do sufocamento, do estrangulamento, da anulação da personalidade para bem servir ou se enquadrar nas demandas e requisitos do outro.

"Você não manda em mim

Eu não mando em você

Eu só faço o que eu quero

Você só faz o que quer

Nós somos livres

Independente Futebol Clube."

(ULTRAJE A RIGOR, "Independente Futebol

Clube")

Apesar de tanta liberdade e inovação, as histórias de amor seguem o mesmo curso das suas antepassadas. A conquista do ser amado continua sendo uma arte.

"Tenho tudo planejado pra te impressionar

. . .

Tenho tudo ensaiado pra te conquistar

. . .

Eu tenho um bom papo

Eu sei até dançar

. . .

Eu jogo charme . . ."

(LEO JAIME, "A Fórmula do Amor")

O romantismo vem à tona em sentimentos antigos de insegurança e ciúme oriundos do amor:

"Eu quero levar
Uma vida moderninha
Deixar minha menininha
Sair sozinha
Não ser machista
E não bancar o possessivo
Ser mais seguro
E não ser tão impulsivo
Mas eu me mordo de ciúme."

(ULTRAJE A RIGOR, "Ciúme")

E aparece também nas queixas de amantes traídos ou abandonados:

"Percorri de trás pra frente o dial
E nada
E ouvi mais de mil canções no rádio
E nada
Ou trocou a programação
Ou será que você se desligou
Mudou, sumiu
Saiu do ar
De uma vez
Que saudade de ouvir a tua voz."

(ROUPA NOVA, "Fora do Ar")

Ainda no plano romântico, o roqueiro se mostra muitas vezes um ser absolutamente só, com uma sensação de vazio lhe infiltrando a alma e o coração.

A sociedade altamente competitiva impõe a lei do egoísmo: cada um por si. A rotina do dia-a-dia entedia, sufoca, oprime, mata aos poucos.

"Será que existe alguém
Ou algum motivo importante
Que justifique a vida
Ou pelo menos esse instante."

(KID ABELHA, "Lágrimas de Chuva")

"Um dia a monotonia tomou conta de mim
É o tédio, cortando meus programas
Esperando o meu fim."

(BIKINI CAVADÃO, "Tédio")

A crítica a valores sócio-morais aparece sob as mais diferentes formas. Ora é a doméstica que vira patroa e vice-versa, provocando uma inversão de valores (EDUARDO DUSEK, "Doméstica"), ora é a sátira aos mercenários da música, onde a letra sugere a dependência dos brasileiros/índios/subdesenvolvidos:

"Mim quer tocar
Mim gosta ganhar dinheiro
. . .
Mim é batuqueiro
Mas mim precisa ganhar."

(ULTRAJE A RIGOR, "Mim Quer Tocar")

Ou é ainda o garoto adolescente que recebe tudo pronto dos pais e rebela-se por não ter contra o que se rebelar, o que, na sua opinião, fará dele um sujeito anormal e imaturo.

"Meus dois pais
Me tratam muito bem
. . .
Me dão muito carinho
. . .
Me compreendem totalmente
. . .
Meus pais não querem
Que eu seja um cara normal."

(ULTRAJE A RIGOR, "Rebelde Sem Causa")

É esse, paradoxalmente, um desabafo às barreiras impostas aos jovens e ao seu comportamento.

Ora é o materialismo do mundo moderno:

"Ela não gosta de mim
Mas é porque eu sou pobre."

(LEO JAIME, "O Pobre")

Ou a cultura importada que recebe também uma carga de cinismo e ironia.

"É a última moda
Que chegou de Nova Iorque
E deve ser bom
Como tudo que vem do Norte
Vai pegar ...
E você vai copiar."

(LEO JAIME, "Aids")

Os roqueiros não perdoam sequer os valores estéticos da beleza clássica:

"As meninas do Leblon não olham mais pra mim
(eu uso óculos)."

(PARALAMAS DO SUCESSO, "Óculos")

e à maneira da MPB contestam continuamente a intransigência e o despotismo da Velha República.

.....
Não críticos, mas ávidos leitores, também nós não escapamos ao apelo do rock, mesmo entendendo que é preciso ler tanto Dylan Thomas quanto William Golding, Alice Walker ou Leo Buscaglia, Guimarães Rosa ou Chico Buarque, cada um dentro de seu contexto literário, artístico, social, lingüístico. Optamos, talvez para espanto de alguns, por jovens autores/cantores de uma área simplesmente outra dentro do vasto campo literário-artístico-musical. Descobrimos poetas refinados, críticos ferrenhos, cancioneiros suaves.

Ao tentarmos esta leitura não tencionamos defini-los crua-mente ou criticá-los à luz de quaisquer teorias, preconcebidas, procurando assim não trancá-los hermeticamente dentro ou à parte de qualquer movimento já estabelecido. Nem levamos em conta seu valor artístico, tentando estabelecer desta forma um universo de estudos bem amplo.

Procuramos entendê-los, sentir sua postura diante do mundo, provar de seu relacionamento com a vida. Percebemos um roqueiro engajado nos problemas de seu tempo, atento, não tão isolado quanto muitos de seus precursores dos anos 60, nem tão radical.

Preservador do amor legítimo, por excelência participante da sociedade — na medida em que não se aliena na improdutividade ou na crítica passiva — é sério sem ser sisudo no trato desse tempo tão paradoxalmente dito seu.

Comerciante sim, pois que fruto de uma sociedade marcada pelo consumismo; não mais o eterno lamentador sobrevivente do

pós-guerra ... mas talvez o antecedente de outras tantas, embo
ra contra isto se posicione.

Conservador em seus valores, combina a postura e o visual de vanguarda, detonando uma dicotomia roqueira de ambigüidades e dualidades surpreendentes que lhe permitem articular um som pesado e agudo com histórias, gritos, lamentos e poesia variados bem como manipular língua e linguagem em torno do recado di
reto ou da mensagem dissimulada, metafórica, desinibida, não preconceituosa.

Para nós e para muitos resta então a pergunta: Que rock é esse, assustador e barulhento? Até quando estará quebrando o si
lêncio do mundo? Até onde conseguirá levar sua energia visceral? Que valores terá ele de fato rompido ou interrompido?

Como qualquer manifestação artística ou cultural, sofre e sofrerá controvertidos aplausos, desajeitadas críticas. Na verdade sentimos que os caminhos do rock são por demais amplos e variados. Sequer temos resposta para como chegará à madura idade o colorido punk ou o metaleiro tatuado.

Serão eles gregos-heróis-futuristas?

Mas entendemos que nenhum protesto é tão amargo que se invalide ou tão irreverente que se desconcerte; nenhum lamento tão sofrido que não se cure, nenhuma manifestação artística des
sa amplitude tão inútil que não deixe marcas.

No protesto, na alegoria, no humor leve ou mesmo no nonsen
se as histórias do rock estão aí para preencher a História sempre controvertida da Música.

O que será dos valores questionados, cobrados ou propostos pelo rock parece não ser de fácil previsão. Afinal, muitos previram a morte tenra dos Beatles . . . Por outro lado, LULU SANTOS continua afirmando que:

"Nada do que foi será
De novo do jeito que já foi um dia
Tudo passa, tudo sempre passará..."

(LULU SANTOS, "Ondas")

Outubro, 1985.

NOTAS

¹ A expressão "rock inglês" é usada neste artigo para designar quaisquer composições do gênero escritas em língua inglesa e não somente aquelas produzidas na Grã-Bretanha.

² Encyclopedia Metallica, Prefácio, 1985.

³ Encyclopedia Metallica, p. 35.

⁴ Rock Passion, nº 3, p. 6, 1985.

⁵ Roger Rocha Moreira, líder do grupo ULTRAJE A RIGOR, em entrevista à revista Veja de 14/08/85, p. 5-8.

⁶ Roger Rocha Moreira, Veja, 14/08/85, p. 8.

⁷ Roger Rocha Moreira, Veja, 14/08/85, p. 6.

⁸ Rock Verde Amarelo, nº 2, p. 7, 1985.

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FEATURES IN LITERARY COMMUNICATION: POETRY

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1. General Features

It is well known that the aim of language is communication, something of paramount importance to all human beings – something vital. For an effective communication, it is necessary to make skillful use of the resources that our language offers us. We have linguistic options, we may select words and organize them in syntactical wholes to serve our own personal purposes.

Language is in action in our everyday life, and language is in action for literary ends, as well. A writer is chiefly concerned with the connotations of a word, while we, in our daily communication, are usually concerned with its denotation; however – the linguistic code is the same. We use its elements to codify and decode ideas.

The poet explores all the semantic possibilities of the vocable, the whole of it, in order to intensify the power and penetration of his utterance. He employs words rich in suggestiveness and associations, words with overtones of meaning, so that he may convey not only thoughts, but also emotions and sensations.

Indeed literary art is a performance with words; the artist deals with the expressive potentiality of language in his attempt to communicate the reality he envisages.

It is worthwhile observing how a poet handles language and what he does with it – his performance, in order to make words imply more meaning.

We can unveil poetical devices which render the writer's a language effective and different from normal speech. By means of an analysis of the semantic, phonic and syntactical structures of the verses, we disclose the special features of the kind of communication that we call literary.

D. H. Lawrence, in "The Ship of Death", knows how to convey his message and a state of mind without lexical complexity

Piecemeal the body dies, and the timid soul
has her footing washed away, as the dark flood rises.
.....
.....
and our soul cowers naked in the dark rain over the
flood,
cowering in the last branches of the tree of our life.

There are no unusual words here; yet he deals in a fresh way with figures of speech: the soul is "timid", it is personalized and it becomes feminine, as we can see by the choice of the determiner "her" ("her footing"). It "becomes naked". Lawrence also gives us metaphors as "dark flood", "dark rain", "last branches of the tree of our life", and this way he explores the connotative quality of words.

The poet opens the first verse with an adverb of manner - "piecemeal", thus stressing the way the body dies, progressively and painfully; he contrasts the weakness and impotence of the soul with a kind of somber adverse power: the "dark flood". He uses adjectives and verbs to imply the idea of utter misery and helplessness.

Lawrence devises a repetitive pattern making the concept of death recur in "dies" and in "the last branches of the tree of our life". The verbs are in the present tense; thus

the writer emphasizes the actuality of the "action" in the poem. Long vowel sounds slow down the movement of the lines, while reinforcing meaning.

In the last section of "The Ship of Death" we face a different situation

The flood subsides, and the body, like a
worn sea-shell
emerges strange and lovely.
And a little ship wings home, faltering
and lapsing
on the pink flood,
and the soul steps out, into the house
again
filling the heart with peace.

Lawrence's diction changes changing the atmosphere of the stanza (and of his communication): now the "flood" is "pink"; a "home" is the destiny of the ship. The poet gives us a simile ("the body, like a worn sea-shell") which implies our littleness and tiredness after a crisis; however, we are informed that the body survives, it "emerges strange and lovely".

In the verses "And the little ship wings home, faltering and lapsing / on the pink flood," Lawrence produces a sequence of short words - in which the phoneme /l/ is three times repeated, conveying haste, smallness, movement - followed by two longer words, "faltering" and "lapsing"; these longer words, with dragging participial ending, suggest effort (to go on) and weakness after a struggle.

In "and the frail soul steps out", again the rhythm is hastened by the use of monosyllables.

The writer's discourse displays phonic and semantic equivalences, called by Samuel Levin in "Linguistic Structures in Poetry", "couplings" — which should interest not only those concerned with literature, but also those concerned with linguistic analysis.

E. E. Cummings succeeds in communicating through lines like these

What if a much of a which of a wind
gives truth to summer's lie;

.
.

Blow king to beggar and queen to seem
(blow friend to fiend: blow space to time)
— When skies are hanged and oceans drowned,
the single secret will still be man

What if a keen of a lean wind flays
screaming hills with sleet and snow;
strangles valleys by ropes of thing
and stifles forests in white ago?

Blow hope to terror; blow seeing to blind
(blow pity to envy and soul to mind)
— whose hearts are mountains, roots are trees,
it's they shall cry hello to the spring

What if a dawn of a doom of a dream
bites this universe in two,

.
.

Blow soon to never and never to twice
(blow life to isn't: blow death to was)

Couplings are quite apparent in the poet's message: Cummings' ideas are well balanced in these linguistic structures. He starts organizing his materials by means of a deviation from grammatical norm: in the first verse, which is also the title of the poem, he places adjective "much" and the relative "which" in a noun-position, both preceded by the indefinite article: "what if a much of a wind". This syntactical situation is complex and causes semantic complexity as well. In the second verse the poet presents us antonyms, "truth", "lies". Cummings devises a repetitive pattern throughout the poem. Each stanza opens with "what if a ..." which establishes conditional sentences. The verb "blow" recurs in every fifth and sixth verse of stanzas - in the same syntactical structure (parallelism) in which nouns are in semantic opposition.

Blow king to beggar and queen to seem
.....
.....
Blow hope to terror; blow seeing to blind
.....
.....
Blow soon to never and never to twice

Such distribution of equivalences, which generates regularity of the metrical pattern, enhances the poet's expressive force. Couplings are cohesive factors.

Unusual metaphors bring home images of violence - "hanged skies", "drowned oceans", "strangled valleys", "stifled forests". The words he chooses are arranged in verses in combinations which depart strongly from ordinary discourse.

Most uncommon are the personifications "lean wind", "screaming hills", noun phrases which add concretely to the

poet's dramatical vision of the universe.

The phonic material of this poem also contributes to strengthen the writer's communication. In the second stanza "what if / a keen of a lean wind flays / screaming hills with sleet and snow" the assonances /l/, /i:/ and the alliteration in "screaming", "sleet", "snow" are noteworthy. The verse "what if a dawn of a doom of a dream" (third stanza) presents the repetition of the voiced plosive stop /d/ in a sentence made up of monosyllables. This helps to convey to us Cummings' emotive use of language; harsh sounds to make concrete his conception of the universe "bitten in two".

The expression "white ago" reminds us of Dylan Thomas' "a grief ago". These combinations — both departing from the grammar of common language — may be generated by the rule which produces phrases like "a moment ago". "White ago" is a violation of lexical category.

In "Anyone Lived in a Pretty How Town" again Cummings organizes his poetical message in a very unexpected way; the poet is boldly turning aside from selectional rules:

anyone lived in a pretty how town
(with up so floating many bells down)
spring summer autumn winter
he sang his didn't he danced his did.

By "anyone" the writer means "any" person, that is, a common, ordinary person whose name does not matter. In the ungrammatical noun-phrase "a pretty how town", he uses "how" meaning "equally" (ordinary) — the town is also very common. The word order in the second line — whose rhythm communicates the up-and-down movement of the bells — is also deviant. "So" is separated from "many" by the verbal expression "floating";

the verse should be read as "so many bells floating up and down". Yet - it is this striking anomalous ordering of lexical elements which impresses us.

In the third verse "spring summer ... "we notice the absence of punctuation. Cummings enumerates the seasons as a "continuum", as a monotonous uninterrupted process. The poet twice uses a verb as a noun, preceded by a determiner in "he sang his didn't he danced his did". And in this semantic ambiguity is seen in other stanzas of this literary piece

one day anyone died i guess
.....
busy folk buried them side by side
little by little and was by was

This last line presents us an adjective - "little" - and a verb predicating past - "was" - in noun-position. In "little by little" we see a quality - something abstract, awakened by a noun, taking the adjective form, but acting as a noun; thus, the abstract becomes, in a way, concrete. The semantic component of "was" communicates the opposite of "is": life which is passed. Paul Roberts remarks that poets "use grammar as a point of departure and move out from it, straining it, experimenting with it, in the attempt to achieve more effective ways of saying things". Cummings' poetry attests to this.

Dylan Thomas is another writer who sends his information with vigour and originality, while following the logic of emotion. His manner of using language is syntactically and semantically intricate. We note Thoma's ambiguity in "A Refusal to Mourn the Death, by Fire, of a Child in London":

Never until the mankind making
Bird and beast and flower
Fathering and all humbling darkness
Tells with silence the last light breaking
And all the still hour
Is come of the sea tumbling in harness

And I must enter again the round
Zion of the water bead
And the synagogue of the ear of corn
Shall I let pray the shadow of a sound
Or sow my salt seed

Dylan Thomas opens the poem by an adverb implying negation (and time) heavily stressed, "never", which is separated from the line it modifies, the fourth verse of the second stanza "Shall I let pray the shadow of a sound" — he means that "never he will pray ..." "Darkness", the subject of "Tells with silence ..." is modified by a long phrase in the adjective position, "mankind making / Bird beast and flower / Fathering and all humbling". The poet is possibly informing us that "darkness" (a word with dense meaning, an image at a time of our origin and end) "makes" and "fathers" everything. Thomas's displacement of the objects of these verbs generates semantical obscurity. However, such lack of conformity to the conventional code of language intensifies the poet's expressive power.

In the verse "Tells with silence the last light breaking", he places an adverbial phrase "with silence" between the verb and its object: it is noteworthy in this line his sound design: the recurrence of continuants with alliteration of the liquid /l/ — in words with accented long vowel sounds ("tells", "silence", "last", "light"). This produces a slow and solemn

rhythm which accumulates connotation. The repetition of the connective "and" at the beginning the verses emphasizes the writer's meaning.

"A Refusal to Mourn ..." is a good example of linguistic option concerning diction; Thomas's subject is elevated — then he chooses to select words (from our common stock) which are allusions to the Bible ("Zion", "Synagogue", "Seed", "bead"), to Genesis and Apocalypse ("darkness", "sea tumbling in harness"). He communicates through very compressed language. The constituents of his poetical sentences are organized very emphatically in order to achieve more impressive communication.

Gerard M. Hopkins also knew how to codify his message with high degree of individuality. Hopkins wrote poems convincing in impact. He, too, had a prolific imagination which shaped his thought with lexical, semantic and syntactical complexity, while producing astonishing sound effects.

I caught this morning morning's minion, king —
dom of daylight's dauphin, dapple-dawn-drawn
Falcon, in his riding
Of the rolling level underneath him steady air,

Hopkins believed that the "poetical language of an age should be the current language heightened". Such heightening can be appreciated in those verses from "The Windhover". The arrangement of the phonemes within that context has a communicative value. The alliterations and the repetition of similar vowel sounds hold the addressee's attention and condition his mind to the sender's message.

Unexpected is the division of the word "kingdom", so that the suffix "dom" starts the next verse, and receives full stress; the alveolar stop /d/ is struck six times in

this line. Hopkins generates most original adjectival phrases modifying "Falcon" — "morning's minion, ... dapple-dawn-drawn", in a bold compound creation. This is the way he chooses to codify his ideas (or feelings).

In the final stanza of "Pied Beauty" Gerard M. Hopkins again conveys his thoughts by a departure from the conventional norm. The object is seen preceding the verb which appears only three lines below

All things, counter, original, spare, strange;
Whatever is fickle, freckled (who knows how?)
With swift, slow; sweet, sour; adazzle, dim;
He fathers—forth whose beauty is past change:
Praise him.

The relative clause "whose beauty is past change" is displaced from its antecedent, the pronoun (subject) "He".

The first verse exhibits a series of adjectives, detached from one another, separated by commas and postponed to the noun. These modifiers are strongly accented. Stress — whether in literary or common language — underlies the speaker's emotional motivation.

Antonyms, side by side, are evenly balanced in the line which says "with swift, slow; sweet, sour; ..."; these semantical antitheses, brought together, enrich the poet's communicative appeal — his subject is "pied beauty".

"Carrion Comfort" is another poetical discourse which shows us Hopkins's ability in drawing on the sources of the linguistic system in a vigorous way

O in turns of tempest, me heaped there, me
frantic to avoid thee and flee?

.
Cheer whom though? The hero whose heaven-handling
 flung me, foot trod
Me? or me that fought him? O which one? is it
 each one? That night, that year
Of now done darkness I wretch lay wrestling with
 (my God) my God.

We observe here the stresses, the punctuation, the rhetorical questions, which enhance the impact upon us. The repetition of the objective pronoun "me" leads to a focussing on the recipient, the receiver (and once the doer) of the verbal action. The assonance and the alliteration of the last line of "Carrion Comfort" explain why Hopkins "must be read with the ear", as he said; in other words, the phonic material of his utterance rays out content.

The recurrent noun-phrase "my God" followed first by an exclamation and then by a resigned period underlines the intimate relation of semantic and stylistic factors.

By this non-exhaustive survey of features in literary communication, we can conclude that the poet deals with his raw-materials, words, with great freedom, sometimes deviating from the grammar of ordinary language. The writer (in this case the "speaker") manages to obtain greater penetration of his message by an efficient manipulation of units of sound and meaning, the constituents of his poetical sentence.

An artwork, as we can see by the poems quoted above, is an entity in itself, woven by the technique of the artist. Any approach to poetry must attempt to uncover the stylistic devices, disclosing the purposiveness or intention inherent in the poem. A close reading may reveal that those poems not only "are" but "mean" as well. Poetry is packed with emotion,

whether or not "recollected in tranquillity". It has been overstressed that poetry is feeling – or at least that the feeling it communicates, as one function of language, is predominant over the other aspects which I. A. Richards calls sense, tone and intention.² These aspects or functions, however shaped in the poems, shade into feeling, bringing out the emotive quality of the referent.

Literary communication attests all the potentiality of linguistic creativity. Borrowing Chomsky's words and transferring them to our context, we may state that the poet "makes infinite use of finite means",³ producing imagery which implements his perceptions – working by analogies, as Cleanth Brooks puts it.⁴

2. Supplement on Rhythm

"The Ship of Death". Lawrence

The lines in this poem do not fall into regular pattern of iambs, trochees, anapaests, or spondees. The verses, however, are divided into rhythmical units or cadences.

Piécemeal the bódý díes, // and the tímid sóul //
hás her foóting wáshed áwáy, // as the dárk flóod
ríses. ///

The caesuras (// or ///) – pauses which separate the groups of words – correspond to the junctures in the common speech. Caesuras slow down the movement of the line; also, they make us aware of the relation between emotion, thought, and rhythm.

"What if a Much of a Which of a Wind". Cummings

In this poem we note the regularity of the metrical pattern, chiefly in parallel constructions:

Whát ĭf ǎ múch ǒf ǎ whích ǒf ǎ wínd
.....
Whát ĭf ǎ kéen ǒf ǎ léan wínd fláys
.....
Whát ĭf ǎ dáwn ǒf ǎ dóom ǒf ǎ dréam

And it is easy to perceive the stress-timed rhythm of verses whose constituents are in equivalent position

Blów kíng tǒ béggār // ǎnd quéen tǒ séem //
.....
Blów sóon tǒ névēr // ǎnd névēr tǒ twíce //
(blów lífe tǒ isñ't: // blów deáth tǒ wás) //

"A Refusal to mourn ...". D. Thomas

Now we have "sprung rhythm", that is, in Thomas's poem a single stress makes a metrical foot; we count only the number of accents, while disregarding the number of unaccented syllables.

Néver untíl the mánkind máking
Bírd béast and flówer
Fáthering and ǎll húmbling dárkness

The rhythm produces expansive and ritualistic effect; the rise and fall in the cadence of the rhythmical units convey a very solemn atmosphere.

Íf músíc bě thě fód ōf lóve, pláy ón!

Roberts believes that "these rethorical variations produce the effect of natural, ordinary speech, because Shakespeare has lavished a good deal of his art on the line".⁶

On analysing the rhythm of a poem, there is always (or at least, sometimes) room for personal interpretation. The important thing is that we do not fail to note how the poet skillfully adapts rhythm to meaning.

NOTES

¹ Paul Roberts, Modern Grammar, p. 8.

² I. A. Richards, "The Four Kinds of Meanings", Twentieth Century Literary Criticism, ed. by D. Lodge, p. 116.

³ N. Chomsky, Language and Mind, p. 15.

⁴ C. Brooks, "The Language of Paradox", in D. Lodge ed., p. 296.

⁵ Edgar V. Roberts, Writing Themes About Literature, p. 140.

⁶ Ibid.

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GEORGE ELIOT: ENGLISH MORAL REALISM

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— UFMG —

A clue is to be found in the writings of the theoreticians of the Romantic Revival. Coleridge and Wordsworth were quite explicit. It was their intention to transform the place of poetry in society. Poetry or creative writing was to be given the highest place in human affairs. Shelley, a generation later, called Imagination "reason in her most exalted mood". The poet's purpose was to reconcile man to his surroundings, and his imagination with what it fed on in the external world. The creative imagination was to be one of the bridge between the newly propounded categories of the Objective and the Subjective.

But it is arguable, as John Bayley has suggested, that "the novelists rather than the poets are the real beneficiaries of the great Romantic endowment". Certainly the novel became the dominant literary form of the century in a field from which poetry had virtually vanished — the relationship between the individual imagination and the problems and complications of society. The epithets such as practical, sensible, unifying, all embracing, morally aware could well have been applied to the great Romantic Poets, but, as the nineteenth century goes on, it is prose that qualifies for these attributes, while poetry becomes increasingly private and subjective.

Scott is the first great novelist to make effective use of a perception which is so much part of Shakespeare's world — the conflict between two worlds, two ideas (Richard II—Bolingbroke Hotspur—Prince Hal) towards which Shakespeare

maintained dramatic neutrality. Waverley, again as John Bayley points out, is the first successful Romantic Hero. He enjoys the best of two worlds — the world of Romance with the Scottish Pretender and the prosaic world of King George's Hanoverian England. To both sides Scott brings a kind of intuitive sympathy. Waverley fights in the Pretender's Army, but, in the end, comes safely home to his English estate. In a word, he comes back from the world of illusion and romance to reality. He makes his final balance between subjective and objective. Romance and reality are finally reconciled.

This typically English compromise does not occur in France (apart from Balzac), where the antithesis is between Romantic and Bourgeois, but a conflict between the two of them must irrevocably lead to disaster. In English terms, then, moral realism is an attempt to portray an objective world inhabited by people who take a subjective view of it, and who are prone to illusions about it. The English writer — and particularly George Eliot — wishes to resolve this antithesis (subjective-objective) to create a correct balance between the two, to enable people to live more fully — to enhance the moral perception of the reader.

Realism,

Realism is a critical term from which most of us would gladly escape, since it is an elusive word and has been used too often too vaguely and too carelessly. It has proved impossible to arrive at a consistently precise definition. We must remember, however, that the word has a relatively short history in English writing, appearing for the first time in the middle of the nineteenth century, and developing on an analogy with French fiction.

Auerbach has shown us that the language of each writer h studies creates a new reality. Gombrich, in "Art and Illusion maintains that artistic creation and audience perception are controlled by the conventions for the representations of reality within art and society, upon which the artist may build, but which remain implicit.

Realism, like any other literary method, reflects both inherited conventions and a way of looking at the world. It implies certain assumptions about the nature of the real world, which constitute, as it were, a ground of meaning. It has implied that ordinariness is more real — in the sense of more representative — than heroism, that people are morally mixed rather than good or bad, that the firmest realities are objects rather than ideas or imaginings, English Realism tended to assume that the real is meaningful and good, while French Realism has consistently tended away from such moral assumptions to lead more directly to the notion of an indifferent universe, and to that more specialised realism, Naturalism.

George Eliot's Realism is an attempt at balance between scientific devotion to the true record of things as they are, and the ethical evaluation of those events, which arises from subjective consciousness.

"Without objectivity there is no truth —but without subjectivity there is no meaning".

Her concept of the human situation lies somewhere between the total subjectivism of the new born baby, for whom existence is no more than a series of vivid desires, and the total objectivity of the determinist, "which ought to petrify your volition".

"We are all of us born in moral stupidity taking the world as an udder to feed our supreme selves" the ethical

process leads us out of crude subjectivity, by making us recognize both external necessity and "the equivalent centre of self in others", upon which morality can be based.

Let us see briefly how rigorously she herself evaluates characters on a subjective/objective scale.

Every major character in "Middlemarch" shows egoism or unbalanced subjectivity in some form. Dorothea, in desiring a grand destiny. Lydgate, in assuming that he should naturally have the best of everything. Casaubon, in making his own dignity take precedence over humanity. Bulstrode, in supposing that Providence had singled him out for special favours.

Rosamund is the unmitigated egoist. She learns nothing from experience because she is shielded from external necessity. She is trapped within egoism by her subjective view of life. She shows "that victorious obstinacy which never wastes its energy in impetuous resistance".

Mary Garth is a good example of balance, "having early had strong reason to believe that things were not likely to be arranged for her particular satisfaction, she wasted no time in astonishment and annoyance at the fact".

The favourable circumstances in her case seem to be a realistic acquaintance with facts and an affectionate family life which predisposes her to sympathise with others outside the family. She is equally far from egoism and from cynicism. Her attitude to others is a sort of extended subjectivity, an imaginative "feeling with" the other person.

Dorothea is less static than Rosamund or Mary. She moves from her illusory ideal of a grand destiny to a realistic appraisal and humane sympathy for her husband and from this to an extended sympathy for humanity at large. Her development depends partly on an increased objectivity of assessment of

her own situation in relation to others, and an increased ability to "put herself in the place" of others, imagining what it feels like to be them.

Of course, all these linear Bildungsroman developments are set in a context of infinitely complex reality. George Eliot sees life as "a vast sum of human conditions". A governing image in "Middlemarch" is that of a web or net connecting every element with every other.

"Middlemarch" is subtitled "A Study of Provincial Life". It is set back forty years in time (the period of the First Reform Bill, 1832). Most of the great Realists distance their subject matter by at least ten years. This seems part of a recognizable compulsion shared by them all towards documentation and archive work. This is more easily accomplished at a distance in time, when records are more easily available and judgements have the benefit of perspective.

The case of Dorothea is at the centre of the novel and the Prelude prepares us for the main theme — the theme of aspiration in an age "where no coherent social faith and order could perform the function of knowledge for the ardently willing soul". George Eliot is here investigating a genuine historical phenomenon, observable throughout Europe (treated, for example, by Balzac, Flaubert and Strindberg). The middle-class intelligentsia found the heroic energies which had been appropriate to an age of Romanticism and revolution stranded in an age of Commercialism. Many Realist writers expose their idealist heroes to an inhuman environment and the mechanistic processes of a Commercial Age, and their ideals wither and die.

The more immediate example of this in "Middlemarch" is Lydgate, who is shown in the final analysis as subject to

economic determinism. Lydgate with his lofty ideals and the possibility of an outlet for them in the practice of Medicine. It is he who is made to feel most sharply the "hampering, thread-like pressure of small social conditions and their frustrating complexity". There is no catastrophic failure in his life, which indeed leads to material prosperity, but "He always regarded himself as a failure; he had not done what he once meant to do".

Dorothea and Will Ladislaw, on the other, who start out without defined aims, do not fail. George Eliot wishes to demonstrate the power of individual will as a counterbalance to environmental determinism.

The Omniscient Author Convention

Since the James Prefaces often carries with it "Overtones of dispraise" of the omniscient Author convention

F. G. Steiner: "By interfering constantly in the narrative, George Eliot attempts to persuade us of what should be artistically evident".

Dorothy Van Ghent: "What specific damage does the chosen convention do to the fictional illusion?"

Joan Bennett: "It is a pity that George Eliot should accept a method of presentation that was current and that was used by the author she most admired. Her manner of using asides to the reader is also partly the result of distrust in her own creative powers". Let me first of all state that the use of the convention in "Adam Bede" is clumsy compared with her use of it in "Middlemarch". A quick glance at the opening of Chapter 17 in "Adam Bede" may help us, however. The chapter opens describing the reverend Mr Irvine, and opens, indeed,

with a gross intrusion of the author's voice, "This Rector of Broxton is little better than a pagan", I hear one of my readers exclaim". Here is a lack of tact, the reader feels manipulated, but she then leads on into a disquisition on the nature of art, defending the necessity of a realist position, and rejecting moral simplification — "Let your most faulty characters always be on the wrong side, and your virtuous over on the right "is aesthetic simplification — a simple retreat from "common, coarse people" to the depiction of ideal states. Returning to the novel, she now lets Adam Bede himself comment on Mr Irwine. Thus we have crossed the vague boundary between the fictional microcosm of the characters and the macrocosm of George Eliot and the real world. The process is important. The intrusion of the author has a necessary function in establishing the kind of "reality" of the story being told, the kind of assent we are asked to accord the novel". This kind of fiction is not aiming at a fictional microcosm, exact and autonomous, but rather a world coterminous with the "real" world, with the factual Macrocosm. The author bridges the two worlds. In the same chapter George Eliot speaks of as life as "a mixed entangled affair" — this phrase expresses not only the nature of life within the fictional microcosm but also its relationship to the real world which we inhabit. She is not aiming at the insular and self-sufficiency of a Jamesian novel.

It seems then that we must take a closer look at this convention of the "Omniscient Author". We must judge the use of this convention in relation to the following factors:

1. The quality and successful realization of "the body of particularized life";
2. The relevance of this life to the opinion expressed;
3. The intrinsic quality of this opinion;

4. The frequency and extent of this intrusion;
5. The position in regard to the author-reader relationship.

In "Middlemarch", George Eliot has succeeded in creating a large, complex and imaginatively realized body of life. Her world is a world, not merely the map of a world. This is particularly to be noticed in the dramatic self-revelation of character through speech and action. The characters are not only revealed but also differentiated and placed by the quality of their speech.

George Eliot's analysis is often not of an individual but of a society. The individual is related to a wider social context. Analysis handled by her is a literary mode in no way inferior to full dramatic representation. It produces a sense of intimacy of human reality as profoundly felt and as subtly conveyed as any internal representation.

In the "network of human relationships" which she is contemplating, there is a search for understanding which is shared with the reader. Her characters create their own perspectives — they are partial and limited in their view of each other, but it is the reader who is drawn into the contemplated microcosm to connect and understand. George Eliot, in her authorial voice, challenges the reader to bring this fictional world into the "most inclusive context he is capable of framing" — his own deepest sense of the real world in which he lives.

An analysis of her "intrusive comments" will show that they are neither tendentious nor dogmatic nor based on a debatable metaphysic as is the case in Hardy, for instance. They are unemphatic and mature statement of the great commonplaces of human nature. F. R. Leavis said of Dr Samuel

Johnson "The conditions that enable Johnson to give his moral declamation the weight of lived experience and transform his eighteenth generalities into that extraordinary kind of concreteness". This is finely said — and may be applied to George Eliot. Robert Scholes has the following to say:

"A narrative artist with gifts very different from Flaubert — George Eliot — prefers to solve the problem in the less oblique manner and rest the principal weight of her characterizations directly on narrative analysis, paying the inevitable price in the resulting sluggishness in the flow of narrative, just as Proust pays the same price — as any analytic narrative artist does, however great his genius. Thus "Middlemarch" bristle with passages of analysis, and the story advances to a ruminative rhythm, grinding slowly but exceeding fine, with the narrator moving continually in the analytical passages from specific consideration of the characters to careful and delicate moral generalizations, couched in the first and second persons plural. Much of the strength and beauty of "Middlemarch" lies in such passages as this one:

Nor can I suppose that when Mrs. Casaubon is discovered in a fit of weeping six weeks after her wedding the situation will be regarded as tragic. Some discouragement, some faintness of heart at the new real future which replaces the imaginary, is not unusual, and we do not expect people to be deeply moved by what is not unusual. That element of tragedy which lies in the very fact of frequency, ha

not yet wrought itself into the coarse emotion of mankind; and perhaps our frames could hardly bear much of it. If we had a keen vision and feeling of all ordinary life, it would be like hearing the grass grow and the squirrel's heart beat, and we should die of that roar which lies on the other side of silence. As it is, the quickest of us walk about well wadded with stupidity.

How "un-Flaubertian" and yet how fine. Her rhetoric, with its carefully chosen metaphors, perfectly adapted to the astonishing range of her intellect and vigorous enough to keep her compassionate prose well this side of sentimentality, is always controlled, artful, and impressive."

What George Eliot has done is to establish a narrator with such breadth of knowledge and experience, such depth of feeling, and such wisdom, that she is able to set up an objective/subjective balance within the narrator. When the narrator moves with ease over a wide range of history, literature, science, religion and so on, we are more prepared to accept what is said as, not impersonal, but impartial and objective. On the other hand, it is through the emotional reactions of this same narrator that we are invited to share the subjective experiences of the fictional characters, and through her wisdom that we can reconcile the outer and inner views. It is in the person of the narrator that we can find the balanced consciousness which the characters of the novel strive towards.

Here are the closing words of "Middlemarch":

"Certainly these determining acts of her life were not ideally beautiful. They were the mixed result of young and noble impulse struggling amid the conditions of an imperfect social world, in which great feelings will take the aspect of error, and great faith the aspect of illusion. But the effect of her being on those around her was incalculably diffusive: for the growing good of the world is partly dependent on unhistoric acts; and that things are not so ill with you and me as they might have been, is half owing to the number who lived faithfully a hidden life, and rest in unvisited tombs".

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TIME AS INTERPRETANT IN HAROLD PINTER'S THE BASEMENT

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In many texts time is simply a factor of textual coherence and its apprehension by the reader does not need to go beyond the reconstruction of the fabula, i. e., the reorganization of the sujet through the signification of temporal signs.¹ Very often, however, the apprehension of time is only the basic step to an understanding of its real role in some texts, in which the distortion of temporal configurations serves a specific thematic or stylistic purpose. Moreover, time is frequently interwoven with or embedded in the very significance of the text as a whole, as is clearly the case of The Basement. The reader's analysis is then forced to leave the relative simplicity of re-ordering the sujet to enter a new reading level — that of interpretation proper — because now it is the contextually-defined symbolical/argumental properties of the temporal sign that must be dealt with and not only its indexical aspects.² The objective of the reading is here not the (re)establishment of order in a series of events but the uncovering of what significance there is in the presentation of the sujet in a specific way.

The contextual nature of literary texts forbids the outlining of a priori procedures to uncover this significance. Because each text will require a specific approach, the most that can be done is the identification of the general pattern that reading strategies seem to follow. Interpretation is a heuristic process: the reader must formulate a hypothesis and

test it by checking the data against it. If the hypothesis is able to cover all the data, then it is maintained. If the data falsify it, the reader discards it and formulates a second hypothesis, and so on. What is being called "data" here is, of course, the cluster of signs in the text. The hypothesis is a possible interpretant for these signs considered individually and as a whole and it is taken from the range of their possible interpretants at that specific moment of the reading. In other words, the reader will seek an interpretant capable of being a valid interpretant for each sign and at the same time a valid interpretant for all signs in the text in some respect, a sort of common denominator, as it were. The fact that this interpretant must be within the interpretational possibilities of a given sign, and ultimately of all signs in the text if it is to be a common denominator, is tantamount to saying that there is a limit to the openness of a literary work: its range of meaning is circumscribed by the very signs that compose it. Still, that leaves a large space for the interpretational task and often several hypotheses are formulated only to be discarded as the reader starts a new page.

The formulation of explanatory hypotheses is a logical method and is given full-fledged status as an equal of deduction and induction in the semiotic of C. S. Peirce. This is the process variously called retrodution, hypothetic inference, or, more commonly, abduction. Spinks explains that Peirce was fascinated by the logic of "discovery" and made it the core of his study of logic.³ Indeed, deductive and inductive processes of inference are more or less obvious, Spinks argues, and because of this they constitute the largest part of the logician's work. Nevertheless, human experience suggests a way of deriving or handling information that is not so well-defined as deduction and induction but is still responsible for the

discovery of what is not known. This way of deriving information is by means of hunches, intuitions, insights, and so on, and this is to say that while deduction and induction are inferences about experience, i. e., about the past, abduction is about the future, the not-yet-experienced. Furthermore, since it is "an act of insight" that "comes to us like a flash" (CP 5. 181) it has iconic aspects in that one of the properties of the icon "is that by the direct observation of it other truths concerning its object can be discovered than those which suffice to determine its construction" (CP 2.279).

As everything else in Peirce's work, abduction is described and defined variously in different places. One way of putting it is to say that hypothetical inference is "an argument which assumes that a term which necessarily involves a certain number of characters, which have been lighted upon as they occurred... may be predicated on any object which has all these characters."⁴ Moreover, a "hypothesis is a categorical assertion of something we have not experienced" (Writings, K, 267). It consists of substituting "for a complicated tangle of predicates attached to one subject, a single conception" (CP 2.643). Abduction is, in other words, a reasonably well-founded guess or, as Sebeok characterizes it, "it enables us to formulate a general prediction but with no warranty of a successful outcome."⁵ The process of induction also constitutes the formulation of a prediction but there is in abduction a certain element of insight, a certain boldness that does not exist in either deduction or induction. For this reason, it is the very first stage of scientific reasoning.

As guesses, albeit more or less well-founded ones, abductive processes are likely to incur in error but the fact that a hypothesis is subject to falsification does not mean

that abduction is a process of trial and error. Essentially, one risks a hypothesis on the basis of one's experience, by choosing a logically likely interpretant for the signs among the ones that offer themselves to observation. Having been chosen, the hypothesis must be tested by deduction – demonstration – and induction, which ascertains to what degree the consequents of the hypothesis derived by deduction agree with experience (Spinks, p. 202).

Since abduction embodies the logic of discovery and reading may be defined as the gradual discovery of the text, it is entirely logical to conclude that reading is a self-corrective process that proceeds by means of abductive leaps. Eco corroborates the idea that the reader's search for significance is abductive and may lead to error. In "Horns, Hooves, Insteps" he discusses abduction and states:

The identification of a textual topic is a case of undercoded abductive effort.

Frequently one does not know whether the topic one has discovered is the "good one" or not, and the activity of textual interpretation can end at different and conflicting semantic actualizations. This proves that every text-interpreter makes abductions among many possible readings of a text.⁶

Furthermore, as both Eco and Sebeok point out, there is a definite link between the reading of a text and the detective's work.⁷ Thus, it is not as though the perpetrator of a murder is discovered by means of wild, random guesses on the part of the detective. The hypothesis leading to the detection is formed through an abductive effort based on the available clues. The reader's reading is done in the same way. An initial

interpretive hypothesis is said to be correct when the interpretants of all signs cohere in the respect in which the text is being analyzed, i. e., when everything "falls into place." The interpretant arrived at in this way is a sign of the whole text as it is the interpretant of the text-as-sign, and it has within itself all the interpretants of the individual signs in the text, as Peirce suggests in CP 2.230.

The contention that interpretive processes are heuristic and proceed by means of abductive leaps will be illustrated by the analysis of The Basement, a theatrical play in which time is a factor of subversion, more than one of cohesion, because it escapes its traditional linearity to fuse itself with the never-ending circularity of the characters' lives by presenting itself as entirely rhematic.⁸ Time is, therefore, inextricably tied with the significance of the text and for this reason an analysis of its import has to reckon with non-temporal signs as well. The Basement, one of Pinter's television pieces, is a short, highly symbolic one-act play, first presented by BBC in 1967. As many critics are quick to acknowledge, it reads as one of Pinter's most complex works.⁹ As a rule, temporal shifts in it are marked by the alternation of summer and winter, day and night, while another temporal marker is slowly introduced, namely the changes in the furniture of the basement apartment. It will be seen that these markers are responsible for temporal ambiguity and also reflect the different aspects of the characters' changing relationships, ultimately pointing to a timelessness stemming from the circuitousness and indeterminacy created by the apparent succession of winter, summer, day, and night. Only three characters interact in the play: two males — Stott and Law — are involved in a power struggle over control of their territory (the basement flat) and the sexual rights to the female character, Jane. Most of the action takes place in

the flat, which may be interpreted as having an allegorical psychological meaning not readily grasped by the unwary reader, although the fact that the play is so obviously non-realistic does point to hidden meanings.

The first scene, nevertheless, is realistic enough, almost traditional. The side-text indicates camera shorts from different angles, alternating the exterior and the interior of the apartment. It is a winter night and it is raining. The first exterior shot shows Stott as seen from behind, wearing a raincoat. The camera is then told to focus on Stott's face and now Jane can be seen behind him, also wearing a raincoat and a hat. Both are standing close to the wall. Next, the interior is shown: Law is sitting by the fireside, reading an illustrated Persian love manual. The doorbell is heard, Law opens the door and sees Stott but the girl is out of his angle of vision. Law is surprised but happy to see Stott and immediately tells him to come in, takes his coat and hangs it, not without looking inside it, reading the label, and smiling. Law then says something that is apparently quite common in such circumstances:

You haven't changed at all. You haven't changed... at all. You've got a new raincoat, though. (p. 153)

This line sounds straightforward but there is something odd about it, although at this time there is nothing on which to base this feeling of strangeness. It is only after the next exchange that the reader begins to realize in a more concrete way that the reference to the raincoat seems out of place. After offering Stott a towel, Law emphatically comments on how long he has not seen Stott ("For years," p. 154). When the reader realizes that they have not (supposedly) seen each other for such a long time, then the reference to the new raincoat

must be there as a sign, but there is no way of telling of what it is a sign as yet. The reader will thus have to put this aside for the moment as a loose piece in the puzzle. The reader, of course, is still not aware that this is a puzzle, unless he/she is acquainted with Pinter's previous work and does not expect a well-made play to begin with.

Law asks Stott if he was not living at his old address and Stott replies that he is looking for a new place, which prompts Law to offer to put him up until he can find a place. This exchange of pleasantries, accompanied by drinks, seems quite proper for two friends who apparently have not seen each other for years. Here, however, the first real element of strangeness appears. Stott tells Law that there is a girl outside. She is still there, forgotten. This is, of course, a clear sign, an index of Jane's actual position vis-a-vis Stott. Law opens the door to her and offers her a towel, which she refuses. Stott gives her his own and she takes it. It will be understood later - retrospectively - that this is the first round of a series of combats between Stott and Law, and Stott seems to have won it.

The scene proceeds. Stott finds the room too bright and turns a lamp off, asking Law post factum if he minds. Jane undresses and gets into Law's bed, naked. Law stands still. Now it is Stott's turn to take his clothes off and to get into the bed. Previously, when Law offered Stott his hospitality, he referred to a second bed (a camp bed) where Stott could sleep. Stott disregards this and occupies Law's bed together with Jane. Seeing this, Law gives a long, repetitious speech:

I was feeling quite lonely... Mind you, I'm very happy here... I bought this flat cash down. It's mine.

(p. 156)

As becomes clear from the way the discussion is being done thus far, the reader is still in the data-gathering phase. Now, however, there are sufficient elements for the formulation of an initial hypothesis, the first abductive leap, however vague this hypothesis may be at the moment: there seems to be in the play a link between sexuality and ownership. There appears to be enough evidence to support it, as the following summary will reveal:

- Law reads a book about sex, sitting alone in his apartment.
- Stott comes in and the fact that Jane is left outside shows that she is submissive to him.
- The towel episode adds an element of authority or dominance to the relationship between Jane and Stott.
- Jane knows what is expected of her, i. e., sex.
- Law is aware that his space is being invaded in two ways: the couple's blatant sexuality and their behaving as if they owned the place (the turning off of the lamp, the occupation of the bed). Law's speech is an index of this.

Evidently, this hypothesis is a partial one. It has to do with one of the dicents that make up the argument, not necessarily the one that is the interpretant of the others. So far, nothing has been said about time and the hypothesis concerns strictly the relationships among the characters. The subtler aspects will follow this analysis and only after each dicent sign in the argument has been established will the reading proceed (by induction) to a generalization, the conclusion or the interpretant dicent that will follow from the premises.

The signs the reader is dealing with now are clear. The illustrated sex manual is evidently an icon inasmuch as it resembles that which it is about, i. e., its object. At the same time, it is an index to Law's loneliness if it is contrasted with the couple's display of sexuality and especially if it is noted that indices are defined by contiguity and Law's speech on loneliness follows the couple's getting into bed. Furthermore, the fact that the manual is in a context in which two people look as though they are about to make love turns it into a symbol as well. In that specific context, it becomes the symbol of Law's vicarious experience. In other words, at this initial stage Law has the book, Stott has Jane. But Law also has the apartment ("It's mine"), which, as is becoming clear, seems to be taken gradual possession of by Stott. Thus, Law is in a defensive position, as his speech indexically reveals, and Stott is the aggressor. Jane seems to be an object that will become the center of the dispute between Law and Stott, although nothing in the text indicates this as yet.

The provisional hypothesis that sex and ownership are kin concepts in the play must be substantiated by means of the verification of whether future data will conform to it. The verification procedure will either confirm it and add new information to it or disallow it completely, in which case another hypothesis will have to be sought. The end of the first scene seems to confirm it, at least partially. There is no dialogue and the action is given by the side-text: law unbuttons his cardigan and shades the one remaining lamp with it; the spotlight focuses on Law's still hands; a gasp from Jane is heard; light on Law's motionless hands and on his legs; he puts on his glasses, reaches for the love manual, and reads it; a long sigh from Jane is heard (pp. 150-57). A complex of signs emerges that has already been anticipated. Law hears

Jane's gasp and sigh as indices of the sexual act being performed in his bed. The incidence of light on his motionless hands and legs is, inasmuch as it is indexical of his inactivity, a symbolic sign of Law's separation from the couple making love, his loneliness, and his lack. Hence, the icon performs its usual function of replacing the real object of desire. Law reads Stott and Jane; that is, if he cannot have the object, then he has the sign of it. By the same token, the book is also symbolic of Law's feelings and in this respect its function is the same as that of the light. Although sexual envy is clear, the aspect of ownership is still diffuse and there does not appear to be enough substantiation for it. So far, the only inkling is that Stott has Jane, Law does not. It is, however, too early to discard the hypothesis and more signs will have to be observed before any conclusion is reached.

In the second scene there is a time shift and it is now a summer day. Stott is standing on a cliff top overlooking the sea while Law and Jane are down below on the beach and Jane is building a sandcastle. Law is telling Jane how rich, aristocratic, refined, and intelligent Stott is and, here again, this is something that can be understood only retrospectively. What is clear, though, is that Stott's standing on the cliff top reveals symbolically his superiority in relation to the other two. Jane's act of building a sandcastle is understood better after a conversation between the two men in which Law asks whether Stott does not "find she is lacking in maturity" (p. 100). There is an array of indices throughout the play pointing to the fact that Jane is little more than an object: she is often shown in the kitchen, cooking, or serving the two men or, of course, in bed. Maturity is, then, not to be construed so much as that stage in life at which the person has reached his/her full potential but as

something like 'depth' or 'real humanity.' Jane seems to be a shallow character, whose function in the play is that of a catalyst, the object over which the two men are fighting.

The scene changes. It is night (presumably still summer) and Law is lying on the floor, eyes closed, as if sleeping. Stott and Jane are in bed, Jane gasps, Law opens his eyes, and Jane smiles at him. A new element appears here. The smile seems to be another index, made evident as a sign because it is underscored in the side-text and "The female lure" seems to be its object: "Jane smiles at Law. He looks at her. She smiles" (p. 158). The smile is connected with what happens on the following day: Stott removes all the paintings from the walls. He is now beginning to change the apartment in a concrete way, symbolically taking possession of it. A shot of Jane cooking and humming in the kitchen (as if oblivious to what was going on) follows the removal of the paintings. The situation is becoming increasingly more well-defined, notwithstanding the fact that it is still one of a slight imbalance in favor of Stott because he has Jane and is taking over the apartment. Law still has the apartment and is losing it but does not have Jane. The fluid status quo is likely to change: Jane's smile to Law is also an indexical symbol inasmuch as it leads to the prediction that she may move completely into Law's sphere while Stott becomes the owner of the apartment. At this time, however, this is just a conjecture, another abductive leap based on still scant evidence given by the interpretants of the occurring signs. Nevertheless, the cluster of interpretants is now such that the evidence can be searched for in a more organized fashion. One way to do it is by breaking up the characters' relationship into dyads instead of looking at it as a triad. Thus, the reader may analyze the relationship between Jane and Stott, Jane and Law, and Law and Stott, and subsequently join

the conclusions into a unifying generalization.

It has already been pointed out that, initially, Jane is submissive to Stott. At a second moment, after she makes love with Stott, she rolls on her side away from him and smiles at Law. Her moving away from Stott while still in bed with him is, like the smile, an index of separation from Stott. This becomes more intense later: Jane is sitting at a table in the backyard and when Stott tries to touch her breast, she moves away from him (p. 165). While this is going on with Stott, she approaches Law in an active way:

Law and Jane lying in the sand. Jane caressing him.

JANE (whispering). Yes, yes, yes, oh you are, oh you are, oh you are...

LAW. We can be seen.

JANE. Why do you resist? How can you resist?

LAW. We can be seen! Damn you! (p. 160)

This short scene is indexical of the separation from Stott and is, thus, a reinforcement of the smile. Taken as a whole, it is a sign different from the smile as a sign but having the same interpretant: temptation, the lure. Law still resists her. One of the possible dynamic interpretants of his resistance could be his loyalty to Stott, but it could also be fear, or even the acting out of the role assigned to the character by his own name. Several scenes later, there is an ambiguous conversation between Law and Jane in which she says to him:

Why don't you tell him to go? We had such a lovely home... Tell him to go. Then we could be happy again... like we used to. (p. 165)

The two last sentences are repeated several times. Leaving alone the puzzling temporal (and symbolic) implications of her words for the time being, let us concentrate on their significance in terms of the relationship of the characters: she is actively telling Law that she wants him or that she does not want Stott. The text confirms this by showing later that she succeeds in overcoming Law's scruples. The side-text reads that it is night and Law and Jane are in a corner of the room, "snuffling each other like animals" (p. 167). The simile helps the reader identify the object of this index, since snuffling is a common ritual that precedes mating. The index can, of course, be seen as symbolic of the transfer, as now she belongs to Law. This is reinforced in a strange later scene depicting a dangerous indoor game of cricket played with large marbles by Law and Stott. Law successfully hits one of the marbles with his flute and Jane openly applauds him.

This change of lovers by Jane is interwoven with the gradual disfigurement of the apartment by Stott. As already mentioned, he begins by occupying Law's bed and removing the paintings from the walls. After the scene in which Jane is caressing Law on the beach and he resists her, the two return to the apartment to find the room unrecognizable with its new Scandinavian look. The furniture and the decoration are subsequently changed one more time. This is revealed by Pinter in the side-text preceding the indoor cricket game. The decoration is now lavish: tapestries, marble tiles and pillars, everything makes the room look like a setting for a Hollywood production about an ancient empire. The impression is reinforced by Jane's entrance with a bowl of fruit in her hands, from which Stott takes a grape to bite into. He subsequently tosses the bowl of fruit across the room. Also significant is the fact that Law is playing a flute: it both reinforces the general impression of

wealthy decadence and is reminiscent of a satyr or a faun playing its pipe. The latter interpretant is arrived at indexically from the preceding scene in which the reader witnesses Law's animalization from the sexual point of view (the snuffling). The leap from the snuffling to the satyr via the flute is thus a natural one. It is also worth noting that there seems to be an indexical relation of contiguity in the text between the scenes in which Jane approaches Law and the changes of furniture; that is, one has either the female or the territory, but not both.

Stage props are necessarily icons and their representation by resemblance makes them essential in the theatre. Inasmuch as indices are pointers, they are also essential. Every play, however, creates its own sets of conventions on the use of icons and indices and these conventions introduce symbolicity, without which much of the significance of the text is lost.¹⁰ It is not different with The Basement. It is clear that the various types of decoration (icons) correspond not only to Stott's occupation of Law's space (in an indexical way), but also to the fact that their increasing richness symbolically reflects the mounting tension between the two male characters. Indeed, Law's attitude towards Stott goes through several stages. Initially, it is one of open friendship, soon tainted by envy. This does not prevent him from trying to remain loyal to Stott and only thus can his telling Jane about Stott's accomplishments be understood. His resistance to Jane's advances at the beach must be construed in a like manner. Notwithstanding his efforts to keep her at a distance, he is gradually overcome by her sexual appeal. He keeps fighting it, though, albeit in a different manner. He is aware that he cannot win when he is with her, hence he talks to Stott:

LAW. Listen... I must speak frankly... Don't you think it's a bit crowded in that flat for us?

STOTT. No, no. Not at all.

LAW. ... I can assure you that the... Town Council would feel it incumbent upon itself to register the strongest possible objections. And so would the Church.

STOTT. Not at all. Not at all. (p. 164)

And later:

LAW. She betrays you. She has no loyalty... This beautiful Scandinavian furniture. She dirties it. (p. 166)

This is all to no avail. It is immediately after this line that the scene changes and Law and Jane are seen snuffling each other. In the quotations above, Stott's position is an indexical dicent and it is clear that its interpretant is the fact that he has the upper hand in the situation. Law's position, on the contrary, is rhematic. It is uncertain at this stage of the reading whether he wants both Stott and Jane to leave (so that the situation may return to its former equilibrium) or whether he wants only Stott to leave (so that he may have Jane for himself). One point is clear: a comparison of the two quotations reveals an increase in the intensity of feeling from the first to the second, as if Law were growing more desperate.

The ambivalence of Law's position is also conveyed by the contrast between his talks to Stott about Jane and the open competitiveness on his part as indicated by the various confrontations he and Stott engage in. Their antagonism escalates sequentially from a most civil conversation to a

dialogue about sports, then to physical competition in sports, and lastly to an actual fight. That the movement here is from the verbal to the physical is interesting and can be compared iconically (in terms of form) and symbolically (in terms of meaning) to Law's relation with Jane: first vicariously (the sex manual) and then physically.

The very first confrontation is the already mentioned towel episode at the beginning of the play. At that moment of the reading this was still very cryptic or simply not made much of because its presentation was done in the guise of a solicitous and entirely appropriate offer by Law. The second confrontation appears in the form of a polite verbal duel between Law and Stott in which their prowess at sports is debated:

STOTT. You were pretty hot stuff at squash.

LAW. You were unbeatable.

STOTT. Your style was deceptive.

LAW. It still is.

STOTT. Not any longer. (p. 162)

That the two are at odds is now apparent and a comparison with the first confrontation shows an intensification of hostility. Stott also demonstrates his awareness that an underlying conflict exists. This dialogue is transitional between the purely formal hostility to an actually existing one, the physical competition. As transition and thus mediation, the dialogue can also be seen as an interpretant sign.

The third and fourth displays of antagonism are in the form of games. The first game-like competition was a race. As is customary in the theatre of the absurd, no overt preparation for this (apparent) non-sequitur is given the reader, which makes the scene all the more significant. Jane is a hundred yards

away from Law and Stott, holding a scarf. Law tells her that he is going to give her the signal to drop the scarf, at which moment he and Stott will start running towards her. Stott asks him if he really wants to do this and Law answers that he is sure he wants to. Jane drops the scarf, Law runs, but Stott does not. Before he reaches Jane, Law looks back at Stott, stumbles, and falls. Lying on the ground, he asks Stott: "Why didn't you run?" (p. 163). This scene is obviously very significant. The indexical aspect of the race is, of course, competition, and Jane's position downfield is symbolic of the woman as a goal. This is confirmed by Stott's not running: he does not have to reach her because he already has. By the same token, Law's fall is also a symbol meaning that he cannot have her yet. The scene as a whole is an iconic symbol whose iconic properties have to do with the fact that it has the same object as the Persian love manual and performs the same function. This iconicity can even be extended further: inasmuch as reading about sex is indexical of a knowledge about sex, the physical activity of the race is indexical of prowess, and physical prowess is thus made symbolic of a knowledge of sex. In other words, the running towards Jane is the physical counterpart of the mentalization involved in reading a love manual in the circumstances in which it was being read. In this respect it is clear that both actions are sublimations and they are not only iconic of each other but also indexical of Law's desire.

Violence escalates while the furniture undergoes change. The next "game" is the improvised indoor cricket match. Contrary to what happened in the race, here Stott plays actively and it is he who produces the index of violence by tossing the bowl of fruit across the room. The show of truculence by Stott is due to the fact that the two men are on an equal footing now: Stott controls the territory but Law has

taken the woman. During the "game" Stott throws a marble at Law and Law drops to the floor as he is hit on the head (p. 169). It becomes apparent that the fact that each one has now what he did not have previously is still not sufficient to guarantee an equilibrium because each man wants both the woman and the territory.

Based on the propositions inferred from the interpretants thus far observed (dicents, therefore), the reader can now both predict (by abduction) that the situation will get worse and induce that what is at stake here is not so much sexuality and ownership (translated in terms of territoriality) in themselves, but sexuality and ownership as two dicents in a larger argument: the idea of control or dominance or, in other words, power as conveyed by the general idea of desire. This is an interpretant that reveals the fact that signs of physical power, sexuality, and control over a territory — all birds of a feather — are intermingled and presented alternatively in the text. The initial hypothesis has thus been re-defined. Although the dynamic interpretants chosen for the signs that presented themselves to the reader at that time of the reading are not wholly incorrect — after all, they are part of the immediate interpretant at that time and they do exist in the text — they are not totally correct, either, in terms of the long-run process of semiosis because a further interpretant was derived comprising them.

The power stalemate in which Law and Stott find themselves must be resolved. As a result, the escalation of violence is still expected. Indeed, in one of the last scenes, Law and Stott are in the room (now completely bare, with no trace of furniture), both barefooted and both holding broken milk bottles that are evidently weapons, and vicious ones at that. The side-text alternates camera shots of the men with shots of

Jane in the kitchen, going through the ritual of making coffee. No words are spoken, which is a corroborating sign that the movement from the verbal to the physical — or from the peripheral to the essential — has reached its final destination. The scene unfolds as follows:

JANE pouring sugar from a packet into the bowl.

LAW pointing his bottle before him, his arm taut.

STOTT pointing his bottle before him, his arm taut.

JANE pouring milk from a bottle into a jug.

STOTT slowly advancing along bare boards.

LAW slowly advancing.

.....

The broken milk bottles fencing, not touching.

JANE stirring milk, sugar, and coffee in the cups.

The broken milk bottles, in a sudden thrust, smashing together.

Record turning on a turntable. Sudden music.

Debussy's *Girl With The Flaxen Hair.*' (p. 171)

Once again the environment reflects the relationship between Law and Stott as they reach the breaking point. The bareness of the room is an index of the characters' giving up of all civility, the kind of civility that was preserved to some extent during the game phase and that was gradually lost as violence increased. The coincidence of the game phase with the various furnishings of the apartment is, retrospectively, a further sign of this. Now that their real motivation is laid bare — as bare as the room — there is no need for superficial, outward shows of refinement, sportsmanship, and even language, which the play obviously depicts as the veneer that covers an uglier core of animal-like motivations stemming from desire

(both sexual and for power). Desire is, of course, one of the interpretants of Debussy's piece. As a symbolic sign, the bare room has the collapse of the situation as its interpretant. The utter improbability of the scene, its nightmarish tone, and its non-mimetic quality are given primarily by Jane's calm performance of household duties while such a fight is going on. This contrast has another semiotic responsibility, which is that of pointing again to Jane's role in the triad so as to clarify it. Her complete obliviousness and lack of concern for what is going on in the room next to the kitchen cannot be taken as her being faithful to her role as an object. If it is lack of concern at all, it cannot be because she has no humanity or is a shallow character. Jane's aloof attitude is deliberate. Now the reader has read enough to conclude that Jane is capable of passion and even of action! Her smile at Law, her moving away from Stott when he tried to touch her, her applause of Law, and her words to him are indices of that. Furthermore, the fact that Jane is always cooking does not necessarily have to point only to her being used as an object, but it could be interpreted as meaning that her role is that of a nurturer. In this fight scene, while she pours milk from a bottle the two men fight with broken milk bottles. There is a powerful sign here that is associated with milk and its iconic and symbolic aspects and which is brought to the foreground by the contrasting use of bottles of milk for feeding and fighting. The reader must, therefore, revise Jane's role but this re-evaluation will prove to be better after the analysis of temporal relations. It is the crucial role of time in The Basement that will help to clarify the characters' roles. It will also lead to the induction of a general idea that constitutes the significance of the play because it will add a decisive dicent to the argument.

As is remembered, the first scene takes place on a rainy

winter night and the action proceeds linearly from Stott's entrance to its end. This is to say that the logic of the action is linear with respect to the reader's experience of the world. The time shift from winter to summer in the second scene is also within the limits of the expected due to the fact that this moment has winter as a reference point and is made a dicent relative to it. This means that, thus far, time seems to be performing its usual function of linking actions along an axis. Summer is understood as posterior to winter not only semantically but also semiotically, both because the directions say nothing to the contrary and because Stott and Jane arrived in the winter, so that this summer cannot be a flashback. Night is then indicated (Jane's smile) and again the reader assumes that it follows the day. The next shift is to daytime (presumably still summer) and Jane is shown cooking.

From here on the ambiguity of temporal markers is established in the play. The place is now the background and it is winter. Nothing is said to the effect that this winter precedes the summer, so the assumption is that it follows it. Nevertheless, the dialogue is slightly ambiguous in this respect. Law asks Stott if he does not think Jane is immature after Stott tells him that she comes from "a rather splendid family" and plays the harp. There are three possible dynamic interpretants for this conversation: (1) although no reference to time exists in the dialogue, the fact that two old friends meet and then wait for one year in order to say such apparently trivial things about the girl makes the reader suspect that this winter is the same as that one in which Jane and Stott appeared; (2) the suspicion could be wrong because a few scenes before Jane is seen building a sandcastle and it can be inferred that Law saw in this an index of her immaturity, in which case this winter is after the summer after the first

winter; (3) the ambiguity is to be understood as an ambiguity, i. e., it does not have to be solved. Possibility (3) seems to be the most promising course of investigation, given that the play does not even pretend to be mimetic of reality.

Indeed, when the first change of furniture comes about, it is summer and the side-text emphasizes that there is a new hi-fi cabinet but the bed is the same (p. 161). On the same page there is a time shift. The directions read "Winter (second furnishing)" and Stott calls out to Law: "Let's hear your stereo" (emphasis mine). The contradiction is obvious and cannot be resolved. On the one hand, the second furnishing is functioning as a temporal index pointing to the summer. On the other hand, the stereo in the dialogue points to the first furnishing because of the possessive adjective that modifies it; that is, it points to the first winter.

Another instance of unresolved temporal ambiguity is on p. 164. The side-text indicates "Interior. Room. Day. Summer." Stott asks Law if he is going to play Debussy. Law looks for the record. Jane goes to the backyard, whereupon Law says that he has found the record. The side-text then changes to winter. Law has the record in his hands but the furniture is the same as in the beginning of the play. Stott and Jane climb into bed, naked, and Law picks up a poker and pokes at the fire (incidentally, this action is one more icon for love-making in the series installed by the love manual). On p. 165 it is a summer day again. Jane is sitting at a table in the yard. Law watches as Stott tries to touch Jane's breast and when she moves away, he calls to Stott that he has found the record. It would be easy to say that the winter scene is inserted as a flashback in the middle of the summer scene because the part of summer on p. 165 starts exactly where the one on p. 164 stopped. The problem with this is that the record is in the three scenes, thereby including

the winter. As a temporal index, the record contradicts summer and winter, unless the winter record is construed purely as an interpretant of the real record seen as a sign that triggered Law's memory and retrieved the icon from it, the image represented by the winter insertion. If this is the case, then the record as a temporal index is dicental. If the winter scene is not meant to be memory, then the temporal index is rhematic. No solution need be offered because, again, what is important here is not that the situation must be resolved one way or the other but that it has the possibility of going one way or the other. In other words, the temporal import is one of ambiguity and indeterminacy.

The next scene adds to the ambiguity by introducing a new element. It consists of the already quoted words of Jane to Law:

Why don't you tell him to go? We had such a lovely home... Then we could be happy again... like we used to. (p. 165)

By now the reader has abandoned all hope of explaining time along a linear axis. The crucial signs here are the word again and the phrase like we used to. Both are indexical of a past relationship between Jane and Law that has hitherto not been mentioned in the text. Part of the problem here is that, in terms of the meaning of the immediate context of the scene, these verbal signs are fully referential propositions but, seen in the larger context of the reading up to this moment, they are propositional functions with unbound variables. If the reader must observe a meaning at all, the dynamic interpretant generated by this line has to be associated with the idea of ambiguity and indeterminacy of time in the play. Only one

hypothesis can explain this: if Jane is also in Law's past, the play is the re-enactment of a situation that must have existed before. Given that at the beginning of the play she was with Stott, and now she is with Law, then at a previous occurrence of the situation that the play depicts she was with Law and Stott had the apartment. Law took the apartment away from Stott and Stott took Jane. This is why time is indeterminate: in such a recursive situation it does not really matter what happens before or after what.

The reasoning above is, of course, abductive. It will have to be confirmed by other signs and then re-inferred inductively if it is to assert itself as a conclusion. The last scene in the play is decisive in this respect. It is the repetition of the first but it switches the characters. Stott is sitting in the room, reading a book. It is winter and it is raining. More importantly, the furniture is the same as in the first scene. Law, wearing Stott's raincoat, is standing outside with Jane. The doorbell is heard. Stott opens the door, sees Law but he cannot see Jane:

STOTT (with great pleasure). Law!

LAW (smiling). Hullo, Charles!

STOTT. Good God, come in. I can't believe it. (p. 171)

The play has come full circle. It is clear now that it captures one instance of the endless repetition of the same pattern. The apparently disparate signs fall into place and now the importance of the raincoat is fully visible and the reason for the emphasis on it becomes available. The raincoat is the symbolic sign of a role, that of the one who comes from outside, the invader, and he who wears it will come to conquer the other's territory. The play does not deal with character proper, but

whit roles, patterned actions. It does not matter who is playing what role in the relationship, the pattern was, is, and will be the same. Since the very beginning the reader suspects that this text is not historical in that sense of history that presupposes linear flow and unambiguous reference. Now it is confirmed that The Basement makes no reference to facts from which a pattern may be drawn. It is, rather, a pattern that is filled in with facts. In this light the play, seen as a whole, is an icon because it is pure form or tends towards it, and because it can be said to resemble but it cannot be said to refer. Debussy's music, a sign thus far only discussed in its indexical aspects, is also here as a symbol whose interpretant is this algebraic value that the play possesses. Debussy was an unorthodox composer whose characteristic impressionism is responsible for the fluctuating rhythms and shifting tonalities of his music. His concern was centered not so much on the topical aspect of music but on the impressions that the topic aroused in him, i. e., not the content but the effect.¹¹ Nothing further need be said to ascertain the appropriateness of the symbolic use of Debussy in The Basement.

As an icon, the play is a qualisign but, more importantly, it is also a rheme in the same way that "x is y" is a rheme. Several interpretants can thus be allowed to replace the variables, as long as their internal consistence matches the argument of the play, of course. Two possible interpretations suggest themselves immediately.

One way of reading the play is to regard it as an allegory of human relationships, be they interpersonal or social. In point of fact, the play depicts a disrapture of balance and the subsequent search for a new equilibrium. The power struggle between Law and Stott is derived from the imbalance generated by Jane. In other words, Jane is used as a mediator by the social

system installed between Law and Stott. Inasmuch as she enters a coalition with Stott, she breaks the existing equilibrium.¹² She becomes a mediating object in the struggle but she is not a passive object. On the contrary, she actively causes the disruption: she smiles at Law after making love with Stott and she further encourages him by betraying Stott. Jane's impassivity is thus derived not from her being an object used by this social system - which she is - but from her awareness of her role and her self-assured performance of it, the kind of coolness that comes from knowing one's objectives and working with them in mind. Moreover, she is depicted in the role of nurturer, which is to say that by feeding the men, both literally and figuratively, she is also intensifying the conflict between them. This is the import of the sign "milk" in the play: it is the index of feeding and the symbol of nurturing (an index of which is sex), which is what the two men want and fight over. The conflict escalates in the usual fashion, i. e., exponentially, and its aim is, of course, to reestablish the stasis of the relationship. The circuitous aspect of time in the play would, in this view, be related to the universality of this pattern in human relations.

Another possibility is to give the play a psychoanalytic reading. In this way, the characters correspond to the triad composed by the super-ego, the ego, and the id. In fact, certain signs lend themselves to such an interpretation. Law's speech to Stott concerning the opinion of the Town Council and the Church about the three of them living together as well as Law's own name are indicative of the censoring function of the super-ego. Stott's self-assuredness, his clear self-centeredness, his drive for power, and his love of luxury befit the role of the ego. Jane's "basic" drives - feeding, sexuality - are clearly the vital impulses of the id. The play, therefore, portrays the

constant battle for the supremacy of one of them taking place in the mind (the basement).¹³

Other interpretations could be presented that would fit the pattern equally well. The two possibilities above are outlined in order to underscore the rhematic character of Pinter's text, one that is open to many – but not any – interpretations. Once again, what is important about this play is that it is a pattern, a form, and not necessarily any one given meaning, much like mathematical relations, i. e., very close to pure iconicity. As with other Pinter plays, The Basement is designed in order to suggest rather than say and in this respect it can be said to be poetic, to the extent that poetry as a whole tends towards the icon – the metaphor – and towards Mathematics in its most abstract sense. This is made possible by the peculiar way in which time is used in the play. The interconnection of temporal structure and meaning lies in Pinter's manipulation of the presentation of events with a view to evading order and consequently evading specific meanings, thereby rendering the work rhematic.

The analysis has shown that the only way the reader can approach a rheme – and any work of art is a rheme because it is an interpretational possibility – is by making a guess about it on reasonably well-defined grounds and by systematically testing the hypothesis to verify whether it applies to individual signs. If it does, then a generalization ensues that confirms the guess. This process is a mirror of semiosis itself because, after all, semiosis – the process of sign-generation – is what is involved in abduction, deduction, and induction.

NOTES

1. The semiotic framework adopted here is that of Charles S. Peirce. His semiotic (he does not call it semiotics) is based on logic and his concept of the sign relation is triadic (sign, object, interpretant). Thus, it does not stand in a linguistic, Saussurean tradition. One of Peirce's well-known descriptions of the representation relation (sign) resembles a dictionary definition: a sign is "something that stands to somebody for something in some respect or capacity. It... creates in the mind of that person an equivalent sign... That sign which it creates I call the interpretant of the first sign. The sign stands for something, its object." It is clear that an interpretant is not an interpreter but the result of an interpretation. The definition above is from Peirce's Collected Papers (Cambridge, Mass.: Harvard Univ. Press), vol. 2, paragraph 228, henceforth referred to in the text in the standard manner of Peircean scholarship as CP, followed by volume and paragraph number. Hence, CP 2.228.

2. Signs may be icons, indices, or symbols if their relation to their objects is one of resemblance (form), deixis (actual existence, cause and effect, action and reaction), or determination (law, habit, convention), respectively. When signs are regarded in terms of their interpretants they may be rhemes, dicents, or arguments. A rheme is a sign that is ascertained to have references the referents of which are not clear. It is like a propositional function in logic, i. e., something like "x loves Mary" or "x hits y." A dicent is a sign whose references all have referents, i. e., a proposition. An argument is a complex sign composed of two or more dicents, one which is the interpretant of the others.

3. C. W. Spinks, "Peirce's Demon Abduction: Or How to Charm the Truth out of a Quark," American Journal of Semiotics, 2, 1-2 (1982), p. 197. Further references will be made in the text.

4. In Writings of Charles S. Peirce (Bloomington: Indiana Univ. Press, 1982-), II, 48. Henceforth referred to in the text as Writings.

5. Thomas A. Sebeok, "One, Two, Three Spells UBERTY," in The Sign of Three, ed. Umberto Eco and Thomas A. Sebeok (Bloomington: Indiana Univ. Press, 1983), p. 8.

6. Umberto Eco, "Horns, Hooves, Insteps: Some Hypotheses on Three Types of Abduction," in The Sign of Three, p. 213.

7. Sebeok's article on the connection existing between logical methods and the type of reasoning characteristic of Conan Doyle's Sherlock Holmes and Poe's Dupin is "You Know My Method," in The Sign of Three, pp. 11-54. Eco's is the already cited "Horns, Hooves, Insteps," in the same volume.

8. The edition used in this study is Harold Pinter, The Basement, in Complete Works (New York: Grove Press, 1978), III, 149-72. Further references will be made in the text.

9. See, for instance, Arnold P. Hinchliffe, Harold Pinter (Boston: Twayne, 1981), pp. 113 ff.

10. The point is made by Fred Clark in his "Misinterpretation and Interpretation in Nelson Rodrigues' Álbum de Família," in Semiotics 1983 (forthcoming).

11. In this respect, see the entry for Debussy in David Ewen, ed., comp., Composers since 1900 (New York: H. W. Wilson, 1969).

12. This interpretational possibility was suggested to me by Cláudia S. Neto (personal communication). A discussion of this view of social systems is in Jay Haley, Problem-Solving Therapy (New York: Harper and Row, 1976).

13. William Baker and Stephen Ely Tabachnick defend this position in their Harold Pinter (New York: Barnes and Noble, 1973), pp. 50-51.

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THE FLIES: A TRAGEDY OR AN EXISTENTIALIST DRAMA? *

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— UFMG —

Literary creation relies not only on originality but also, and mainly, on the retaking of a subject matter that undergoes a different treatment according to the different Zeitgeist in which it originates. "Again and again dramatists have retold the ancient stories and have adapted them to a contemporary setting or have interpreted them in the light of contemporary thought," as Clifford Leach has it.¹ Greek mythology, especially, has been proved to be an inexhaustible source of subject matter for Western writers of all times. From the classic Greek to contemporary playwrights, the Hellenic myths have been put to use recurrently so as to satisfy the particular needs of an author and his audience. A deliberate variation in mood may occur, which, instead of diminishing the effect, enhances it through the very difference in treatment. Such is the case of the myth of Orestes and his sister Electra, who avenge Agammenon, their father, by killing Clitemnestra, their mother, and Aegistus, her lover. It was explored by Aeschylus in The Libation Bearers, by Eurypides

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and Sophocles in their respective Electra, and more modernly, by T. S. Eliot in The Family Reunion, O'Neill in Mourning Becomes Electra, and Sartre in The Flies.

In addition to sharing a theme, these plays have in common the fact of having been labeled 'tragedies.' At first sight, the use of the myth might mislead the reader into granting them a tragic status. Modern theorists, like Hegel, Scheler, and Falk, however, have cast a new light upon Aristotle's primordial concept of tragedy. Traditional parameters have been re-evaluated and others, focusing on the human dimension of the tragic hero, have been brought into consideration. If such parameters be taken into account, not all of the so-called 'tragedies' are entitled to such categorization. Such is the case of Sartre's The Flies, which bears some of the characteristics of tragedies but does not prove to be one when compared with the concepts of the theorists afore mentioned.²

On the formalistic grounds of Aristotle's Poetics, tragedy is defined as

an imitation of an action that is serious, complete and of a certain magnitude; in language embellished with each kind of artistic ornament, the several kinds being found in separate parts of the play; in the form of action, not of narrative; through pity and fear effecting the proper purgation of these emotions.³

As far as the Aristotelian definition is concerned, The Flies fulfills some of the requisites of the tragic form, but falls short of satisfying others. It is a serious action, complete in itself, of a certain extension, presented and not narrated.

It is an imitation of people in conflict, with an emphasis more on their action than on themselves as characters. "The plot," states Aristotle, "is the first principle, and, as it were, the soul of a tragedy: character holds a second place."⁴

The Flies diverges from Aristotle's formalistic criteria in some structural points. According to the Poetica, the prologue was the first thing to appear, quite separate from the body of the play. Sartre provides his audience with an account of the facts that brought about the action through a line delivered by Zeus in a conversation with Orestes. This prologue would have been followed by the chorus in the classic tragedy, but this does not occur in Sartre's play. Here, there is no chorus at all. Even though the vox populi is heard in the rite celebrating the dead, it does not express the general opinion nor does it comment on the plot; it introduces the mood. One needs only to remember the Agnus Dei in the Catholic mass: "Agnus Dei, qui tollis peccata mundi: miserere nobis."⁵ Other traditional components, such as melody, stasimon, episode, and exodus are also absent.⁶

Another requisite explicated by Aristotle concerns necessity and probability. Sartre's version of the myth of Orestes and Electra follows the rules of verisimilitude and necessity (or probability). Verisimilitude is fundamental,

the reason being that what is possible is credible: what has not happened we do not at once feel sure to be possible: but what has happened is manifestly possible: otherwise it would not have happened.⁷

Ananke, or the tragic necessity, accounts for the relationship between character and plot, which is so intimate as to determine, in R. J. Dorius's words, "the inevitability of the

series of events and of the particular challenge confronting the hero and the end to which he comes as part of his fate."⁸ By rule either of necessity or of probability it is meant not only that a character should speak and act in a given way but also that an event should follow another by necessary or probable sequence.

In The Flies the tragic necessity is at work by force of the myth; nevertheless, Sartre's Orestes is driven not by fate, but by his free will. The classic tragic hero has a limited range of choice, once his fate is already determined by the Moirai. Clifford Leech explains that

Moirai, at least for the later Stoics, was only roughly equivalent to our 'fate': it meant rather the sum total of all things that have been, are, will be; it can be seen as independent of time, independent of the gods, through whom none the less mediated to men.⁹

The question of Moirai and free will is yet to be solved in tragic writing. Moirai appears as the commanding force of the universe — tragedy allows a minimal free will. Once a particular deed is performed, a chain of events is set off leading to disaster, out of human control.

The tragic hero's actions are motivated by religious, social, and familial precepts on one side, and his make-up on the other. Classic Orestes avenges Agamemnon out of filial duty; his will is neither wholly predetermined nor wholly free. Sartre's hero's range of choice is wider and presupposes a higher degree of awareness and acceptance of responsibility for his deeds omitted and committed. The way in which he responds to that which confronts him makes him more of an

existentialist than a tragic hero. Existentialism has been defined as

a chiefly 20th century philosophy that is centered upon the analysis of existence specif. of individual human beings, that regards human existence as not exhaustively describable or understandable in idealistic or scientific terms, and that stresses the freedom and responsibility of the individual, the irreducible uniqueness of an ethical or religious situation, and usu. the isolation and subjective experiences (as of anxiety, guilt, dread, anguish) of an individual therein.¹⁰

The key concepts that differentiate classic from modern Orestes are those of "freedom and responsibility of the individual," that is, the degree of participation in the process in which he is involved. These concepts can be found in the theories of Hegel, Scheler, and Falk, which, due to their mutually complementary aspects, will be applied simultaneously to the analysis of the development of Orestes's character.

Agamemnon's son went to Argos to claim his kingdom through the killing of the usurper Aegisthus and Clytemnestra, his collaborationist mother. But, at the same time, Orestes is trying to fill the void within him with "memories, hopes, and fears," as he has no referential upon which to build his identity.¹¹ Hegel and Scheler consider the tragic to be a conflict between equally justified powers that demand exclusive right. Up to a certain point, Orestes' conflict is that he is divided between the command of a god that forbade bloodshed and the claim for his father's throne, thus avenging Agamemnon. These antagonistic drives are shown through the

character's hesitation as to staying in Argos or leaving the city. This hesitation is a characteristic of the tragic hero: he deviates from a straight line of conduct only to return completely reassured of his course of action.

Had Orestes chose one of these options, he might have been a tragic hero. Then there would have been the destruction of one of the values and his consequent defeat. But this does not happen. As the conflict reaches its climax, Orestes becomes aware that in committing himself to either course of action he would be a mere puppet in the hands of a whimsical Moirai. Thus, when he understands that there is another way to deal with the world, a reversal takes place and Orestes steps into the realm of existentialism. He refuses the conflict as he says that from that point on, he "will take no one's orders, neither man's nor god's."¹² Orestes recognizes that he is alone in the world, "as lonely as a leper," because of his freedom and his absence of remorse. Whereas in the Greek myth the term 'leprosy' was associated with punishment and damnation for not obeying Apollo's commands, in Sartre's rendering it bears the force of individuation: Orestes is forever marked because he chooses to exert the totality of his being.

It is opportune to point out that these simultaneous anagnorisis and peripeteia, that is, recognition and reversal, are a master stroke of Sartre in handling these structural components of the classic tragedy. Here is the turning point both for the plot and for the hero. Orestes' motivation now is different: he wants to assert himself as a free individual to restore a sense of dignity and integrity to the citizens of Argos. At this point, he must freely choose in loneliness and anguish that course of action which for him is the authentic life. This authenticity embodies the existentialist approach

to the universe; every individual ought to live up to the best that is in him. Orestes can only achieve this by eliminating Clitemnestra and Aegistus. By contrast, Electra's motivation to kill them derives not from any commitment to an ethical value. She is driven by a bitter hatred, a personal vengeance which will add nothing to her status as a human being. While she was stirred by private and uncommitted pettiness, Orestes was moved by a sense of engagement. However, he does not intend to atone for the people but to wring the neck of their remorse.

He refuses the role of Agnus Dei — he is not a Christ figure who will sacrifice himself for the salvation of mankind and relieve man from the burden of the original sin. Whereas the idea of sin is characteristic of the Judaic and Christian traditions, it does not partake in the Greek religion. Sartre denies such burden by creating his Orestes free from any feeling of guilt. Orestes shrugs off the role of Redeemer and takes into his hands the lives of Clitemnestra and Aegistus. The killing of the ruling couple sets him "beyond anguish and memories. Free. At one with himself."¹³ The murder does not bring him any sorrow; rather it engenders his individuation, which is further explicated by Orestes' voluntary exile and his taking the Flies with him.

Even though Orestes meets some of the requirements of the tragic hero, his degree of renunciation is not strong enough to grant him this stature. He ponders, "Who am I, and what have I to surrender? I'm a mere shadow of a man."¹⁴ When he says his youth is gone, he is merely stating a fact and recognizing his commitment to freedom. In fact, he renounces nothing; far from that, he gains dignity, self-centeredness, and the satisfaction of having fulfilled his role.

A final point which denies Orestes the status of a tragic

hero is that he is not defeated. His 'crime' is his glory and his life's work. His "precious load," that is, freedom, endows him with an enormous strength, against which the gods and the Moirai are powerless. This deprives Sartre's version of the capacity of provoking pity and fear in the audience — catharsis is not achieved once the protagonist is not defeated nor does he yield his values.

The change in philosophical approach to tragedy, to use Leech's words,

was of major importance in modern thinking and served to give tragic writing a basis, no longer in a mere tradition where the term 'tragedy' had been so variously applied, but in conceptions of human life intimately associated with the consciousness of the time.¹⁵

Thus, when evaluated under these twentieth century theories of the tragic, Sartre's The Flies is much more of an exposition of the existentialist philosophy than of a modernly rendered tragedy. But this does not diminish the value of the play. On the contrary, human dignity was here enhanced as it had not been in any of the previous versions of the myth.

NOTES

¹ LEECH, Clifford. Tragedy. Manchester, Univ. of Manchester Press, 1969, p. 26.

² SARTRE, Jean Paul. The flies. In: GASSNER, John & DUKORE, Bernard S., ed. A treasury of the theater: from Henrik Ibsen to Robert Powell. 4. ed., New York, Simon and Schuster, 1970. v. 2, p. 1047-73.

³ ARISTOTLE. Poetics. In: ADAMS, Hazard, ed. Critical theory since Plato. New York, Brace and Jovanovich, 1971. VI. 2.

⁴ Id. *ibid.* VI. 14.

⁵ HECKEISEN, Beda. Missal quotidiano. Salvador, Reneditina, 1961. p. 643.

⁶ ARISTOTLE. *Op. cit.* XII seq.

⁷ Id. *ibid.* IX. 6.

⁸ DORIUS, R. J. Tragedy. In: PREMINGER, Alex, ed. Princeton Encyclopedia of Poetry and Poetics. Princeton, Princeton Univ. Press, 1974. p. 861.

⁹ LEECH. *Op. cit.* p. 41.

¹⁰ WEBSTER'S new collegiate dictionary. Springfield, Merriam, 1979.

¹¹ SARTRE. *Op. cit.* p. 1051.

¹² *Id. ibid.* p. 1061.

¹³ *Id. ibid.* p. 1069.

¹⁴ *Id. ibid.* p. 1060.

¹⁵ LEECH. *Op. cit.* p. 22.

SOME MORAL AND SOCIAL ISSUES IN
THE CHILDREN'S HOUR AND DAYS TO COME

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Although The Children's Hour and Days to Come are apparently different plays, and although the first was a great success and the latter a tremendous failure when first produced, they both treat very definite moral and social issues. The Children's Hour (1934) and Days to Come (1936) reflect the 1930's. Meredith Erling Ackley notes that "Many of the members of the Theatre Union, the Federal Theatre Project, the Theatre Collective and the Group Theatre looked forward to an American theatre whose stage would become a platform for agitation and propaganda promoting social awareness and reform".¹ Their plays are often artistically immature, demagogic and stereotyped. Miss Hellman, though not affiliated with any of these collective organizations is perhaps best thought of as one of the "Survivors of the Depression", together with Clifford Odets and Irwing Shaw.² These writers fought for social justice. Miss Hellman's particular fight is to rebel,³ in her plays, against the social system where human relationships become objects for sale. Both The Children's Hour and Days to Come condemn those who cannot comprehend human motives, feelings, tenderness, and friendship. These plays are art, but they are also sociological documents. When The Children's Hour was revived in 1952 during the McCarthy purges, notes E. Ackley, "most of the reviewers concentrated on the relevance of the play" and its conclusion that shows "how calamitously the upright people of the world ... can blunder".⁴ In Days to Come,

some characters are too naïve to understand the social and economic truths of their place and time. Unable to face the competition, they end in public and personal disaster. Such is the pattern for both plays.

The Children's Hour was Miss Hellman's first meaningful work. It ran for 691 consecutive performances in New York, toured the United States, and was quoted among the best plays of the 1934-1935 season. Its success in America and abroad caused Miss Hellman to adapt it to a film. She called the screenplay These Three and United Artists produced it in 1936.

The Children's Hour portrays the personal and social effects of gossip and maliciousness in the guise of righteous responsibility. This first work was a kind of exercise for Miss Hellman to learn how to write a play. Dashiell Hammett had found, in a book by William Roughead, an actual law case, which served as its argument. The true event took place in Edinburgh, in the nineteenth century. It concerned two old maid schoolteachers, the owners of a second rate boarding school, and a troublesome Indian girl, repeatedly punished for her naughtiness. As a revenge she brought charges of lesbianism against her educators. The girl's aristocratic grandmother had enrolled her there. They were both responsible for the defamation and destruction of the school. In an interview Miss Hellman has said that "The two poor middle-aged ladies spent the rest of their lives suing, sometimes losing, sometimes winning, until they no longer had any money and no school".⁵ The play begins and ends in the school grounds, "a converted farmhouse"⁶ close to Lancaster, Massachusetts. The fact that it had once been a farm shows the changing interests of the local people.

Mary is one more little witch grown out of the rocky soil of New England. She, like her Salem female ancestors, slanders

her way to triumph: "Rosalie hates me" (p. 21), "It was Rosalie who saw them, I just said it was me so I wouldn't tattle on Rosalie" (p. 49). She accuses Karen: "You're always mean to me. I get blamed and punished for everything. (To Cardin) I do, Cousin Joe. All the time for everything" (p. 21). She also accuses Mrs. Mortar and Martha: "They were talking awful things and Peggy and Evelyn heard them and Miss Dobie found out, and then they made us move our rooms" (p. 32), "They're afraid to have us near them, that's what it is, and they're taking it out on me. They're scared..." (pp. 32-33). Mary uses both emotional and physical violence to achieve her aims. She says to Peggy: "I won't let you go if I can't go" (p. 22). She slaps Evelyn's face and twists Peggy's arm (pp. 26-27). Like Arthur Miller's Abigail Williams, Mary wins through cunning immoral means. Barrett Clark has considered her "almost a monster"⁷ and Miss Hellman noted that playgoers see the girl as an "utterly malignant creature".⁸ As a matter of fact Mary is a wicked and spoiled child raised by an old grandmother emotionally unable to discipline her. She says: "Grandma's very fond of me, on account my father was her favorite son. I can manage her all right" (p. 25).

Mrs. Tilford, the manageable grandmother, functions as a catalyst who prompts the action. Hidden in her New England mask of righteousness she not only accepts her granddaughter's lies, but also spreads them around causing the school bankruptcy and its owners' destruction.

The other old lady of the play is Mrs. Mortar. She represents omission. Her sin is condemned by Alexandra in the Hubbard Plays (The Little Foxes and Another Part of the Forest): "I'm not going to stand around and watch you do it" (p. 109), and by Griggs in the Mood Plays: (The Autumn Garden and Toys in the Attic): "I've frittered myself away, Crossman" (p. 542).

When Martha asks Mrs. Mortar why she had refused to come back home to testify for Karen and for herself Mrs. Mortar answers: "Why, Martha, I didn't refuse to come back at all. That's the wrong way to look at it. I was on a tour, that's a moral obligation, you know. Now don't let's talk about unpleasant things anymore. I'll go up and unpack a few things, tomorrow's plenty of time to get my trunk" (p. 55).

Since Mary, Mrs. Tilford and Mrs. Mortar stand for evil, Martha and Karen, their antagonists, are good. However Martha's personality is far more developed than that of Karen. Although there is no actual proof of Martha's lesbianism, Miss Hellman provides evidence of at least a latent form of it. Martha does try to delay Karen's wedding:

Martha. I had been looking forward to someplace by the lake — just you and me — the way we used to at college.

Karen (cheerfully). Well, now there will be three of us. That'll be fun, too.

Martha (after a pause). Why haven't you told me this before?

Karen. I'm not telling you anything we haven't talked about often.

Martha. But you're talking about it as SOON now.

Karen. I'm glad to be able to. I've been in love with Joe a long time (Martha crosses to window and stands looking out, her back to Karen. Karen finishes marking papers and rises). It's a big day for the school. Rosalie's finally put an "I" in could.

Martha (not turning from window). You really are going to leave, aren't you?

Karen. I'm not going to leave, and you know it. Why

do you say things like that? We agreed a long time ago that my marriage wasn't going to make any difference to the school.

Martha. But it will. You know it will. It can't help it (p. 14).

Martha does admit her homosexual desires:

Martha. I love you that way — maybe the way they said I loved you. I don't know. (Waits, gets no answer, kneels down next to Karen) Listen to me!

Karen. What?

Martha. I HAVE LOVED YOU THE WAY THEY SAID.

Karen. You are crazy.

Martha. There's always been something wrong. Always — as long as I can remember. But I never knew it until all this happened.

Karen (for the first time looks up). Stop it!

Martha. You're afraid of hearing it; I'm more afraid than you.

Karen (puts her hands over her ears). I won't listen to you.

Martha. Take your hands down. (Leans over, pulls Karen's hands away) You've got to know it. I can't keep it any longer. I've got to tell you how guilty I am.

Karen (deliberately). You are guilty of nothing.

Martha. I've been telling myself that since the night we heard the child say it; I've been praying I could convince myself of it. I can't, I can't any longer. It's there. I don't know how, I don't know why. But I did love you. I do love you. I resented

your marriage; maybe because I wanted you, maybe I wanted you all along; maybe I couldn't call it by a name; maybe it's been there ever since I first knew you - (pp. 62-63).

And Martha, in the end, commits suicide (p. 63).

The two last characters worth mentioning are Dr. Joseph Cardin and Agatha. The first is another in Miss Hellman's long list of weak males, and the latter one more example to reinforce the theme of the servant's superiority over his master. Agatha is kind to Mary, but firm. Unlike Mrs. Tilford, she can see through the child's pretense: "Don't think you're fooling me, young lady. You might pull the wool over some people's eyes, but - I bet you've been up to something again. (Stares suspiciously at Mary) Well, you wait right here till I tell your grandmother. And if you feel so sick, you certainly won't want any dinner. A good dose of rhubarb and soda will fix you up" (p. 29).

The characters of The Children's Hour are listed in two main groups - the good and the evil - recurrent in almost all the plays. These characters are related to recurrent universal themes. Miss Hellman's choice of Massachusetts, of New England, as the setting of such a bitter play, brings Nathaniel Hawthorne and his sardonic studies of a moral law and universal guilt to mind. The Children's Hour, as well as Hawthorne's The Scarlet Letter, deals with symbols of emotional tension or coldness, of secrecy, of guilt and of isolation. This isolation results from pride. The doubts raised in the minds of the audience and of the characters about Martha's sexual perversion reminds us of Hawthorne's device of multiple choice or the formula of alternative possibilities, a technique often used by novelists and playwrights. The ambiguity derived from this

technique adds depth and tone to Miss Hellman's work. Another New England play in this class showing the effects of maliciousness and gossip is Arthur Miller's The Crucible. The Children's Hour points out the subjective as well as the objective existence of man and is rather a psychological and social drama than a local color one. However Miss Hellman's choice of the New England setting serves to relate it more closely to such works as The Scarlet Letter and The Crucible. This device is of course highly suggestive and artistically opportune.

Critics and public were anxiously expecting the opening of Days to Come, Miss Hellman's second work, produced in 1936. They were disappointed. It played only six performances in New York and closed. The press reviews were bad and quoted it among the weakest plays of the season. Richard Moody says that "the more abundant comments centered on the lack of a central idea, on her concessions to melodramatic sensation, on her inability to make a spiritual tragedy out of a labor impasse".⁹ Miss Hellman also recognized its deficiency: "I spoiled a good play. I turned to the amateur's mistake: everything you think and feel must be written this time, because you may never have another chance to write it"¹⁰, "the confusion in the script confused the best director in the theatre, who, in turn, managed to confuse one of its most inadequate casts".¹¹

Days to Come, called Miss Hellman's "one effort to dramatize immediate social forces"¹², focus on the struggle between capital and labor, a theme connected with the revolution of ideas and attitudes resulting from the quick industrial development of the North. It parallels the Hubbard Plays and its study of a similar struggle between the newly rich and the aristocrat, the two economic opposing forces of the South. Although some critics have affirmed that Days to Come is written

more from the industrialists' point of view than from that of the Unions, as I shall show later, Miss Hellman does not really seem to take any side but that of the moralist.

The play set in Callom, Ohio, a town not far from Cleveland, exemplifies what can happen when an industrial population grows rapidly. It tells about the efforts made by Andrew Rodman, one of the owners of a brush factory, to keep it operating in spite of a strike for higher salaries, which he cannot afford to pay. Henry Ellicott, the lawyer of the firm, echoed by Cora, Andrew's sister, has persuaded him to hire strikebreakers from Cleveland, under the command of a certain Wilkie, unknown to Rodman. The men who come are professional killers meant to provoke the workers into starting a fight and so to use "legal" force to squelch the strike. Whalen, the Union organizer, controls the situation for some time, but when Joe (one of the strike breakers) kills his partner, Mossie, Whalen is arrested on suspicion of murder. Violence starts and the workers are forced back into the factory. A subplot develops parallel to this main plot. It portrays the anxieties, hatred, illusions and frustrations of the Rodmans. The two stories are interwoven since Julie, Andrew's attractive wife, falls in love with Whalen. Miss Hellman has repeatedly used this technique of relating the private life of her characters with larger social, economic, political or moral concerns. In the Hubbard Plays, the characters' unrestrained ambition for money and power motivate a family discord which, in national proportions, symbolizes a struggle of classes. Like Regina in the South, Julie represents the Northern liberated woman. She is the most developed character in Days to Come and very different from a Birdie, a Lily, a Lavinia. Liberation is often falsely interpreted as self-certainty, but Julie is as lonely and insecure as the others. She is independent in

proportion to her not obeying pre-established or conventional rules and so Miss Hellman's counterpart. Her calm and gentle attitude hides an inner battle. She is "a brooding, melancholy woman, who conducts a continuing dialogue within herself about herself".¹³ Cora is her antithesis. Like Mrs. Mortar she belongs to Miss Hellman's cast of neurotic women. These two old ladies represent selfishness, omission and deceit. They both contribute to the downfall of their relatives and supporters: Martha and Andrew respectively.

The Rodmans' unsettled lives, like those of the Hubbards, interfere with their business, which, in turn, reflects the family bewilderment. The general dissatisfaction, both private and social, portrays those years between the Civil War and the First World War when the big industries of the North divided the market among them and destroyed the smaller ones by price cutting. America saw her economy controlled by a small number of huge trusts and conglomerates, the Northern paraphrase of the big plantations of the South, tending to find its center in itself and fighting to be an independent social unit. The unrestrained growth of a few industries produced rough edges in the relations between the workmen and employers, as the quick rise of the newly rich had also produced problems between servants and masters. In the North, labor established national organizations and fought for social reform. In the South, plantation had introduced distinctions of wealth and rank between the aristocrat, the newly rich and the common white, and between the white man and the black. The Rodmans' situation in the North parallels that of the aristocratic Bagtrys in the South. Andrew's simplicity and good faith, like that of Birdie, had made him an easy victim to financial speculation. He was in the process of losing his capital and his credit because he could not adapt his moral principles to the new economic

demands. Here Miss Hellman renews Lionnet's situation, synthesized in Birdie's words: "The truth is, we can't pay or support our people, Mr. Benjamin, we can't -" (p. 346), "Forgive me. Would you, I mean your father and you, would you lend money on our cotton, or land, or -" (p. 346). Rodman's brush factory likewise stands among the victimized industries, unable not only to better working conditions but even to operate without the help of unscrupulous financiers. He tries to explain the situation to his friend, Tom Firth, one of the factory workers:

Andrew. Tom, I've tried to explain. I tried from the first day you came to me. (Touches a paper on the desk, looks at it). The figures are here. They're as much yours to see as they are mine.

Firth. I don't have to see them again.

Andrew. You don't. But I have to see them again and again and again. We've got to sell the brushes we make.

Whalen. Some places make what they can sell.

Andrew (sharply). Yes. They make them cheaper because they cost less" (p. 55).

Julie, as well as Tom, reminds Andrew of his duty and his honor. Julie, Tom and Andrew form a triangle of antagonistic combines united by an idealistic quest for truth. In her despair she asks her husband to take a firm stand, to explain his position:

Julie (suddenly, violently). Why didn't you stop it? Why did you let it go on like this? They talked you into it. Why did you let them?

Andrew (smiles). You make me sound like a child. And you're right.

Julie. You didn't want any of this. Why did you ever have to start it? Then why didn't you stop it?

Andrew. There are a lot of reasons. The reason I tell myself is that I couldn't stop anything. I owe money. A lot of money. I've been borrowing it for a long time. I've borrowed on the factory and on this house and on how many brushes I thought I could make in five years --" (p. 117).

Andrew feels his inability to control the family situation, to find an appropriate answer for the workers' demand, to face his financial problems. Like the aristocratic Bagtrys he is good but weak and so an easy prey to the Hubbards and the Marshalls. Like Crossman and Griggs, he illustrates the evil consequences of uncertainty and inaction. Miss Hellman deliberately creates Tom Firth to function as his working-class counterpart: "And so I gave the leading characters their counterparts: Leo Whalen is the good Wilkie; Firth the simple Andrew Rodman; Cora the sick Hannah. I played this theme all alone: a solitary composer with a not very interesting note".¹⁴ The strong character is Whalen, a man of action: idealistic but practical, simple but clean, calm and secure, righteous, noble, attractive, self-reliant. He belongs to the small group of people Miss Hellman most admires -- that of "men who work for other men".¹⁵ It is here that Miss Hellman's symbolism becomes dubious and too ambiguous. She is at the same time for and against the victimized industrialist typified by Andrew. Her indecision weakens the play and clears the way for both literary and social reproach. Richard Moody comments: "Even the left-wing press complained. The New Masses (December 29, 1936) noted the duality of focus in her attempt

'to give dramatic life to the twin phenomena of capitalist society, the outbreak of class strife and the decay of human relations in the bourgeois stratum'. The Daily Worker (December 18, 1936) deplored her treatment of the struggle from the point of view of rotting capitalists. Even a sympathetic audience could not enjoy 'the pallid and vexatious mutterings of these disgusting people'. She could have made a great play with a chorus of workers who reminded the audience that workers must sacrifice everything to attain victory".¹⁶ What Miss Hellman must have wanted to show is that both groups - the workers and the capitalists - are neither good nor bad. The real villains of the play are such hateful, selfish and insensitive people as Cora, Ellicott, and Wilkie, who only see life in terms of profit. She had already focused on this thesis in the Hubbard Plays by suggesting that Marshall, the Northern capitalist, had brought from Chicago the seed of self-centered ambition and of unfair competition. The terms are the same, but Miss Hellman makes it clear that for each Marshall who reaches the South there are many Coras, Ellicotts and Wilkies in the North.

Although Miss Hellman's message in Days to Come is sometimes more obscure than that, her characters are in turn well defined Northern types: the labor leader, the strikebreaker and the "emancipated woman intent on breaking out of conventionality"¹⁷ and seeking "her fulfilment ... regardless of the consequences".¹⁸ These Northern qualities of the characters do not interfere in their classification as either good or evil, active or inactive, neurotic, insecure, lonely. Andrew, like Birdie, is a victim of financial speculation. Hannah, like Addie and Coralee, shows the servants' influence over their masters. Wilkie is an opportunist like Ben and Oscar. Days to Come presents the same themes recurrent in the other plays and deals with the same recurrent types. It could have been a good

play if Miss Hellman had managed to clarify her aims. She tried to say too many things at the same time. The result was a poorly constructed play. Miss Hellman failed: this time complexity and melodramatic morality compromised depth.

NOTES

¹ Meredith Erling Ackley, "The Plays of Lillian Hellman" (Ph. D. diss., University of Pennsylvania, 1969), p. 1.

² Allan Lewis, "The Survivors of the Depression - Hellman, Odets, Shaw" in his American Playwrights of the Contemporary Theater (New York: Crown, 1965), pp. 99-115.

³ John Hersey, "Lillian Hellman, Rebel", The New Republic (September 18, 1976), 25.

⁴ Ackley, pp. 14-15.

⁵ John Phillips and Anne Hollander, "The Art of the Theatre: Lillian Hellman; An Interview, Paris Review 33 (Winter-Spring, 1965), 70.

⁶ Lillian Hellman, The Children's Hour in her The Collected Plays (Boston: Little, Brown and Company, 1971), p. 5. All the quotations from Miss Hellman's plays are taken from this edition. Subsequent references are cited parenthetically in the text.

⁷ Barret H. Clark, "Lillian Hellman" College English (Vol. 6, n° 3, December 1944), 128.

⁸ Quoted in Richard Moody, Lillian Hellman: Playwright (New York: Robbs-Merrill, Pegasus, 1972), p. 56.

⁹ Moody, p. 69.

¹⁰ Hellman, "Introduction", Six Plays by Lillian Hellman (New York: Modern Library, 1942), p. IX.

¹¹ Hellman, p. IX.

¹² Lewis, p. 107.

¹³ Cynthia D. M. Larimer, "A Study of Female Characters in the Eight Plays of Lillian Hellman" (Ph. D. diss., Purdue University, 1970), p. 53.

¹⁴ Hellman, "Introduction", Six Plays by Lillian Hellman, p. IX.

¹⁵ Hellman, p. IX.

¹⁶ Quoted in Moody, pp. 69-70.

¹⁷ Moody, p. 66.

¹⁸ Moody, p. 69.

INTERNAL TEXT ORGANIZATION AS AN OVERALL SCHEMATA
FOR READING RESEARCH ARTICLES IN PSYCHOLOGY

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English, as the language of science, is the medium through which scientists from all over the world present their research results, in the form of published papers. Therefore, the reading of Englishwritten journals is an essential need for those non-native speakers of English who need to be up to date with research findings for either educational or professional purposes. However, it has been evidenced that non-native speakers of English, although understanding all the words of a sentence, still have problems understanding the total meaning of discourse (Selinker et al 1976). In order to facilitate the reading process for these non-native speakers, a number of analyses on the discourse structure of the English for Science and Technology (EST) have been done (Jordan 1980; Selinker et al 1976, 1978; Woods 1981). These analyses have been mostly directed to the analysis of University Introductory Textbooks, and consequently, have left the analysis of the discourse structure of journal articles barely touched. The literature which describes the analysis of journal articles focuses on the description of their organizational structure (Ewer 1976, Hatch et al 1982).

For a meaningful understanding of sentences and their further interpretation, the reader needs information on how the linguistic unit, i. e., the purely structural aspect of language, relates to the extra-linguistic world. Therefore, the analysis of the discourse, which will account for the organization of

research articles and provide readers with background information of their internal structure (Schemata), is essential for diminishing the gap between the writer and the reader.

Providing the reader with this background knowledge (schemata) will facilitate the reading process for non-native speakers of English since the knowledge of the research article organization will develop their reading strategies, and therefore, will facilitate their task of predicting what is coming next in the text.

It was both the difficulty which non-native speakers experience in understanding the total meaning of written discourse and the lack of a more detailed analysis of the internal text organization of research articles which motivated the study which will be presented henceforth. Journal articles reporting experiments in Psychology were selected for such analysis. The choice of Psychology journal articles resided on the availability of an informant with whom to check the results of the analysis as suggested by Cohen et al (1979).

The purpose of our investigation was twofold: (1) to determine what the reader is expected to find in the main sections of research articles, and (2) to determine how the reader can recognize the statement of problems.

Corpus of Data

Six articles were randomly selected from the journal Psychology Reports. Such choice was based on the opinion of our informant which considered it a significant journal in the field. Psychology Reports is considered a general psychology journal which publishes all types of experiment reports regardless of their nature (i. e., behavioral, transpersonal or

psychosynthesis). Therefore, it is considered a journal which is read by most psychologists.

The six articles selected were taken from Psychology Reports, January 1983 issue. No previous criteria had been established before selection except that the articles should report experiments.

Procedures

Each article was analyzed in order to answer the following question: What is the reader expected to find in each of the main sections of a research article, i. e., Introduction, Method, Results and Discussion Sections? The findings of each article were later compared to the others, and from such comparison conclusions were drawn. The same procedure above was followed for determining how the reader can recognize statements of problems.

DATA ANALYSIS

1 - Text Organization

The data analysis showed that the reader can identify a series of important information within each of the sections analyzed.

Introduction Section

The analysis of the Introduction Section which is not explicitly labelled, showed that there are at least five main

kinds of information that the reader can find when reading it. They are: Reason for Study, Past Research, Statement of Problem, Purpose of Study and Hypotheses.

Table I: Information found in Introduction Section

ARTICLE 1	ARTICLE 2	ARTICLE 3	ARTICLE 4	ARTICLE 5	ARTICLE 6
Reason for Study	Reason for Study	Reason for Study	Reason for Study	Reason for Study	Reason for Study
Past Research	Past Research	Past Research	Past Research	Past Research	Statement of Problem
Statement of Problem	Statement of Problem	Statement of Problem	Statement of Problem	Statement of Problem	Past Research
Statement of Purpose	Statement of Purpose	Statement of Purpose	Statement of Purpose	Statement of Purpose	Statement of Purpose
	Past Research	Hypotheses	Statement of Method		
	Statement of Problem		Information on Subjects		
	Statement of Purpose				

In the first information which is given to the reader, i.e., Reasons for Study, the author states why such study is important by making a general statement about the object of Study. For instance, "A relationship between violence and alcohol intoxication has been recognized for centuries. Researches have established that over 50% of murderers have been drinking alcohol at the time of the crime" (Holcomb et al 1953: 159); "there have been

a substantial number of studies examining the effects of fear arousing communications on attitudes and behavior, and the evidence for changes in self-reported anxiety following a fear appeal is well documented" (Watson et al 1983: 139) or, "take two prototypical humorous situations: hat blowing off in the wind and person falling down in the street. Eysenck did just that in 1949, but his twelve examples 'did not reveal a single instance of laughter among the total of more than 100 passersby'" (Sheppard 1983: 299). Such statements are followed by the presentations of Past Research where the reader can find related experiments in the field, a brief description of their results, and furthermore, how they relate to the present study. The following excerpts serve to illustrate the Past Research subsection: "Overall and Eiland (1982) subsequently developed a general psychopathology screening scale (PSY) for the MMPI-168 and Overall, Rhoades and Lloyd (In press) have provided K-scale corrections and percentile norms for the five factor scores and the PSY screening scale with reference to a normal college population" (Lloyd et al 1983: 47), "previous studies (Bach et al 1970, Felzen et al 1970 & Freund et al 1972) showed that younger children the acoustic information and orthographic attributes were dominant while for older children the semantic and the verbal-associative attributes were dominant" (Toyota 1983: 243).

From the review of the literature, the author presents questions that were left unanswered, such questions form the next subsection: Statement of Problems. Here the author states that past research has left unanswered questions which are retaken by the author. E. g. "the assumptions underlying this approach are that individuals reporting indecision either lack knowledge about their personal preferences or lack information about opportunities or both. Although this model works well

for some students, ..., such indecision is a complex multidimensional problem which requires distinctively more diverse approaches than the normal model implies" (Hartman 1983: 95).

Finally, the introduction section is closed by the presentation of the Statement of Purpose. Generally, it follows the Statement of Problems. This provides the reader with the information of what the author attempted to answer or solve. Therefore, the Statement of Purpose tells the reader what motivated the project or what was done. E. g. "In this study we examined the predictive validity of the Career Decision Scale (Osipow et al 1976) adapted with permission of the scale's authors, for high school students to differentiate between career-decided individuals and individuals who suffer from long-term indecision" (Hartman et al 1983: 95).

The four types of information above were found across the six articles analyzed. However, in article #3, we found that after the author presented the statement of purpose, he also included a section where he described which were his hypotheses prior to the experiment (see Table 1). As this was not a pattern found across the six articles analyzed, it was not included as part of the information the reader would be likely to find in the introduction section. However, this can be a consequence of the sample selected, so the statement of hypotheses might occur in the introduction section.

Furthermore, by looking at Table 1 we observe that in article 2, the information on Past Research, Statement of Problem and Statement of Purpose are recurrent. This may be found in articles in which the authors study a second issue within the same subject, therefore, they have to present information on Past Research, etc, again.

The next article which calls attention in Table 1 is

article #4. The authors of such article present information in the introduction which would usually be found in the next section, i. e., a brief statement of the method for analysis and a quite thorough description of the subjects' population.

Method Section

In this section we identified the following information as the most likely for the reader to find; information on Subjects, Procedures and Materials (see Table 2). These are usually subheadings to guide the reader.

Table 2 - Information found in Method Section

ARTICLE 1	ARTICLE 2	ARTICLE 3	ARTICLE 4	ARTICLE 5	ARTICLE 6
Subjects	Subjects	Subjects	Previous Research	Subjects	Subjects
Procedures	Procedures	Materials	(Procedures)*	(Materials)*	Measure
		Procedures	Informa- tion on Control Group	Procedures	Procedures

* Indicates that these were not subheadings but that the author presented information on them.

In the Subjects subheading, the reader will find information on who participated in the research project. Such information will report: the total number of subjects, the number of subjects per sex, the place where subjects were found and, if

necessary, the author may include other information relevant for the study, such as, average IQ scores, average of instruction, or even information on the criteria for separating the subjects into groups, etc.

In the Materials subheading the author will identify which instruments were used during the research project, he will also describe them. E. g. "heart rate was measured using Red Dot ECG electrodes with a bi-polar placement on the upper chest. Trace output was recorded simultaneously onto Kodak direct print linagraph paper, using an EMI IIV oscilloscope" (Watson et al 1983: 140).

In the final subheading, Procedures, the author will describe which steps were taken for collecting the data. "The subjects were tested individually... Each slide was presented successively for three seconds with one sec. interstimulus intervals..." (Toyota 1983: 244).

Table 2 indicates that the information above was found in 3 out of the 6 articles. However, we observe that there was inconsistency for the presentation of that information. For instance, in article #4 the author presented the information on subjects and materials, as we have seen before, in the Introduction Section. In the Methods Section the author started by presenting information on previous research which had used the MMPI (object of the study). Such information was followed by a description of the procedures. It is worthwhile to point out that the authors did not make use of subheadings. Finally, the authors presented information on a control group and on a different test that were going to be included in the study to compare results. Such information should have been placed in the subjects or materials subheadings.

The other article which calls attention is article #6 whose author called the material used for analysis (Career

decision Scale) a measure, therefore, becoming a subheading.

Results Section

The results section was among all the sections analyzed, the one which presented more regularity as far as the information it is supposed to provide the reader with. In this section the reader will find a Description of the Results, generally in statistical form, and a brief Evaluation of their significance. All articles analyzed revealed the same content in this section, except for article #6 in which prior to presenting the results, the author introduced a statement of the hypotheses that had been expected before the experiment.

Discussion Section

In this section the following information was common to the articles analyzed: Interpretation of Results (IR), Contrast with Past Research (CPR), Statement of Limitation (SL), Statement of Application (SA) and Statement of Further Research (SFR), although, some of these types of information were not found in all the articles analyzed (see Table 3).

When the author presents the Interpretation of Results, the reader will find information on the meaning of those results. The presence of reference to Past Research in this section aims at telling the reader how such results fit what other researchers have done before. The author will contrast his results to those of past research by pointing out similarities or differences, so that the reader can have an idea of what is new, in relation to what is being studied or not. "Wolfgang (1958) argued that alcohol at the scene of the crime enhanced

the viciousness of the killing. These results support his conclusions and, in addition, suggest that multiple drug abuse has the same effect but even to a greater degree" (Holcomb 1983:163).

After presenting the results and comparing them to past research, the other type of information is the Statement of Limitation. Here, the author mentions limitations either in the method used for analysis which might have not revealed some of the answers that were expected, e. g. "it is a limitation of this study that no follow up data were obtained on subsequent smoking behavior and attitudes" (Watson 1983: 144). The author may also mention a limitation in the interpretation of results, that is, the author might have reached a conclusion but because he lacks more data to support his interpretation, he may alert the reader to this fact, e. g. "nevertheless, some caution is advised, since the effects were not found in both stimulus series. It may be that particular images within each set were responsible for this differences" (Sheppard 1983: 304).

Statements of limitation also function as a point of departure to suggest further research. It is in the Further Research Statement that the author will mention the areas which still remained unanswered at the end of the analysis. "Future research needs to focus on comparing alcohol and drug use in violent groups with matched control groups before causal inferences can be made" (Holcomb et al 1983:164). In some cases such statement is used to reduce the strengths of the claims made, e. g. "based on our findings we are encouraged about the potential use of this scale in high school settings. More information is necessary before fully evaluating the instrument ..., but the initial indications are promising" (Hartman et al 1983:99).

Another type of information that the reader will find in

the discussion section is a Statement of Application. Such information will discuss the practical implications of the findings, or if the article focuses on a more theoretical issue, will discuss the way such results fit into a broader picture. E. g. "These results suggest that factor-score profile patterns may represent major diagnostic distinctions in simpler form than the traditional clinical-score-profiles" (Lloyd et al 1983:53).

Table 3 shows that all the information presented above may be recurrent throughout the entire Discussion section. This is due to the presentation of interpretation of results in parts. Therefore, for each interpretation of results the author reports past research, states limitations, etc if necessary. However, we observe that authors have a tendency to restate what was previously presented in the discussion section. There are Restatement of Results (article #3), or of Method (article #4) or even of Purpose (article #4 and 5).

Table 3: Information found in the Discussion Section

ARTICLE 1	ARTICLE 2	ARTICLE 3	ARTICLE 4	ARTICLE 5	ARTICLE 6
Restate- ment of Group Division	IR	Restate- ment of Results	Restate- ment of Method	Restate- ment of Purpose	IR
	SL	CPR	CPR	IR	SA
CPR	CPR	Rstmt of Variables	Rstmt of Purpose	IR	SA
IR	SL	Rstmt of Results	IR	CPR	FR
CPR	IR	Rstmt of Hypotheses	CPR	SA	SL
SL	CPR	CPR	SL		FR
SA	Rstmt of Results	SL	SA		
FR	SL	Rstmt of Results			
	SA	FR			
		SA			

11 - Lower Level Organization

Statement of Problem

The statement of problem is expressed by the usage of clauses of concession which express that the author accepts what has been done before but that he sees a problem that is still unresolved. Sometimes the problem is presented by way of an implicit contrast between two sentences. The author may also present the problem by interpreting the meaning of previous results, and from them present the problem through conditional clauses which aim at making the reader realize that there are still issues that need to be analyzed.

By looking at some of the ways statements of problems are expressed by different authors, one can have a good idea of what these sentences look like in the text. In the first article, for instance, the author expresses the problem by starting a paragraph with the following concessive clause: "In spite of the high correlation between murder and consumption of alcohol a single cause-and-effect relationship cannot be substantiated with our current data". The author then continues by presenting another sentence which will put the problem in a more distinguishable form: "Although many serious crimes are committed by men who are drinking, most men who drink do not commit serious crimes and specially not homicide" (Holcomb et al 1983:159).

The second article contains three different statements of problems in the introduction section. The first one is put in a very straightforward way: "What is not clear is the extent to which fear appeals manipulate levels of psychological response." The second problem is also easily identified because is preceded by the phrase 'a second issue'. "A second issue concerns

whether the extent of arousal bears any relationship to self-reports of emotional state", and the third is "These issues are complicated further by evidence that individual differences in reporting emotional states appears to influence or are influenced by the level of arousal, although the mechanism is unclear". (Watson et al 1983:139-140).

In article #3 the author presents the statement of problems by making inferences from the results of previous research which are stated as conditional clauses, these make the reader realize that more data is needed to come to conclusions. "From these explanations of humor's functions, it would follow that artificial and fantasy productions should reduce one's ability to feel superior and, as a result, would affect the degree of humorous enjoyment" (Sheppard 1983:52).

Finally, the last form which was used by an author to state a problem was to contrast the past research results to what happens in real life. From these two sentences the reader can identify that there is a problem which is being implicitly stated through such contrast. "In all studies mentioned above the to-be-remembered words were presented singly but this situation can be regarded dissimilar to that in school learning. In real life situations children have to process the semantic attributes of words in sentences" (Toyota 1983:243).

Discussion

Our analysis provided information which would be extremely valuable to teach reading skills to a very restricted but important population, i. e., non-native speakers of English who are in academic environments, or who needed to read journal articles for professional purposes.

Although we did find some identifiable patterns in the textual or formal organization of these articles, the number of differences across articles was also surprising. Such differences are surprising not because they exist per se, but because they exist in articles which were taken from the same journal. If the same number of articles had been taken from six different journals, these differences would have been explained. However, as such articles were taken from the same journal, one should expect to find an editorial pattern among them.

The identification of subsections within the main sections of a research article can help the learner to form a picture of what a research article contains in terms of valuable information which, in turn, will contribute for a total comprehension of the issue being reported. In this case the access to such information will be essential for the reader to evaluate critically the results reported by the author.

However, not only the learner, but also the teacher must be aware that the identification of patterns and their further categorization will not automatically mean that everything will fit into what the pattern had predetermined. Widdowson (1975) when discussing about communicative acts points out that "description of use in terms of precise rules may give an inaccurate picture of how people use language, ... because exactness is not a feature of normal communication" (:12). Although in written text, one does intend to find more organization than in oral language, it seems worthwhile to remember that there is not regularity in language and in language use.

As it has been pointed out the process of comprehending a text is interactive, that is, when the author writes, he assumes that the reader shares the same knowledge about the

structure of what is being written. Therefore, the value of providing students with the overall structure of the text is that such knowledge will diminish the gap between writer and non-native reader.

Implications for Teaching

Reading as an active process requires the reader to use a number of special skills for successful results. Such skills have to conform to the process of reading in which the reader forms a preliminary expectation about the material, then selects the fewest, most productive cues necessary to confirm or reject that expectation. This is a sampling process in which the reader takes advantages of his knowledge of vocabulary, syntax, discourse and the real world. Providing students with practice in these skills and helping them with consistent strategies to meet such skills should be the focus of a reading program.

Now that we have approximated the reader to the writer by filling the gap between them as far as 'conceptually preparing the readers to the world of the writer', we have to consider what the other areas that need to be 'attacked' are.

Since the population that will read research articles is a very specific one, assuming that what they need is to improve their reading skills in reading research articles, the classroom activities should be as closely as possible to the real world. Therefore, the best materials to use should be research articles. The skills that should be developed are: (1) scanning, (2) skimming, (3) reading for thorough comprehension, and (4) critical reading.

The four main sections of a research article can be approached differently, at first, for the development of

reading skills. For skimming purposes, the best part of the article to work with is the Introduction Section. It is there that the reader will find information on "what is this article about?" and/or on "Is the author for or against X's past research?" etc. The Results Section is ideal for scanning purposes because it contains a number of facts (significant vs non-significant results) and figures. The Method and Discussion Section can be used for developing 'thorough comprehension skills' through questions like "How was the experiment conducted?" or "What were the findings of this study?". The Discussion Section suits itself for the developing of critical reading, since it is there that the reader will find claims, conclusions and the author's point of view.

Furthermore, asking the reader to try to identify Statements of Problem, Limitations, Applications etc, will help them to quickly identify important areas in the article with minimum use of a detailed reading to obtain maximum information.

Conclusion

The presentation of background information on the organization of a text prior to requiring the learner to perform tasks is, therefore, of extreme importance. The knowledge of a textual or formal organization of text (Schemata) will help the reader find the information he needs. If, on the other hand, no background information is provided in advance, the reading tasks may become frustrating, and consequently, it may demotivate the learners. As stated before the gap between the writer and the reader has to be filled before the reading task begins. This will ensure that the reading process will be meaningful, in the sense that the

reader will be sharing the same background information (Schemata) which the writer assumes the reader has.

Finally, by developing reading skills through activities which have to do with the learner's real world, and which are structured in a way to make their learning more productive, the only expected and natural result is, obviously, to have better readers.

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THE INTENTIONAL FALLACY:
A CHALLENGE TO LITERARY CRITICISM.*

Lúcia Helena de Azevedo Vilela

— UFOP —

Whenever a critic proposes the judgment of a literary work based on his assumption of the author's "intention," or aiming at identifying it in the work of art, two questions should emerge: Is this kind of analysis possible and accurate? Is it desirable?

Collingwood's analysis of the expression of emotion will elucidate the first question. He states that "The expression of an emotion by speech may be addressed to someone; but if so it is not done with the intention of arousing a like emotion in him. It is addressed primarily to the speaker himself, and secondarily to any one who can understand."¹ He expounds the process of expression of an emotion. He claims that the poet is not conscious of an emotion until he expresses it. At the moment he expresses his emotion by speaking, he becomes aware of its nature, he individualizes it, but he does not label it as an instance of a general kind. As a result, the audience may be affected by this emotion in a different way from the author himself since he does not describe it. Now we have come to a point that is very important to the matter of "intention." If the poet himself is not aware of an emotion until he expresses it through words, how can a critic determine

* This essay was written under supervision of Prof. Dr. William Harmon, at the University of North Carolina at Chapel Hill.

the source of this same emotion? On the other hand, the audience may be affected by this emotion in a different way from the author. The critic, being part of the audience, may misinterpret the author's "intention" by merging it with his own emotion. In doing so he is violating the work of art. As Wimsatt remarks, "The poem is not the critic's own and not the author's (it is detached from the author at birth and goes about the world beyond his power to intend about it or control it). The poem belongs to the public."² Once an emotion is expressed by speech, it no longer belongs to the author. Consider now our second question: Is there any point in determining what the author's "intention" was even if we were able to ask him? The judgment of a work of art should be done outside the author. Certainly the author's knowledge and experience may lie behind every line he writes, but do they really matter to the understanding of the poem itself? The author's notes and epigraphs should be judged as a part of the poem and not as way of identifying his "intention." A critical inquiry should not take into consideration what was in the author's mind when he wrote a certain poem; otherwise this intentional fallacy will end up obliterating the poem itself.

Collingwood raises the importance of the audience in relation to the work of art when he says that "when some one reads or understands a poem, he is expressing emotions of his own in the poet's words, which have thus become his own words."³ The artists are the ones who express what all have felt, share the emotions of all. The work of art becomes thus the point of intersection between the artist and the audience. If the artist does not bring himself into relation with the audience, his aesthetic experience is incomplete. The emotion expressed by the artist is shared by the audience, but it is

independent of the artist himself. If one of the members of the audience tries to relate the artistic expression to its author, part of its value will be lost, because it will be associated with other factors external to it. The aesthetic experience of the artist and the audience are different. As Collingwood points out, "For the artist, the inward experience may be externalized or converted into a perceptible object. For the audience the outside experience is converted into that inward experience which alone is aesthetic."⁴ This perceptible object, or the work of art, is the only means the audience has to share the emotion expressed by the author. If a literary critic as part of the audience seeks to associate this emotion to what was in the author's mind at the moment of expression, he is interfering in the harmony of the process, and searching for something that is not intrinsic in the work of art itself.

In Robert Penn Warren's "Introduction: Faulkner: Past and Future,"⁵ the reader ascertains how Warren, as a Southerner, came to read Faulkner and how he sees his novels as a reflex of Southern reality. Warren explains that it was by an immediate intuition that he felt the impact of Faulkner's work. He suggests that Southern history is not important to the understanding of his work when he says, "I may add that it is in this perspective that the non-Southern, even non-American, critics have done their greatest service, for, not knowing Southern life firsthand, they have sometimes been freer to regard the fiction as a refraction in art of a special way of life and not as a mere documentation of that way of life."⁶ He seems to contradict himself in the next paragraphs when he looks at Faulkner's work in another perspective.

The way he starts the next paragraph makes evident the

kind of judgment that will follow; he says, "Let us look back to the place and time when Faulkner began to write."⁷ He picks out some important facts of Faulkner's life and relates them to some aspects of his work. From Warren's point of view, Faulkner's sense of "outsideness"⁸ lies in the fact that he belonged to the Royal Canadian Air Force during World War I. Well, this may be an important event in Faulkner's biography, but it cannot be applied to his work and to the characters created by him. Warren even goes as far as to say that Percy Grimm and Hightower, of Light in August counterpart the author. He says that they are "projection and purgations of potentials in Faulkner himself."⁹ In other words, he is identifying the work of art with the author himself. These characters who live in a "dream of sadistic violence" or in a "romantic dream of the Civil War" are, in his opinion, nothing but a reflex of the author's "admiration of the crazy personal gesture."¹⁰ These peculiarities of the characters are part of the literary work and may be a reflex of time and history inside the work of art itself and not of the author's life or intention when he expresses his emotion through words.

Another matter brought up by Warren is concerned with Faulkner's political ideology. He says that the commercial failures of Sartoris, The Sound and the Fury, and As I Lay Dying were due to the current leftist's assumption that these works were an apology for fascism. In both the public's and the critic's arguments, we can see that the search for the author's intention underlies all the discussion. Warren points out the various reasons people had to reject or accept Faulkner's work. Referring to those who reject it, he quotes Norman Podhoretz when he says that Faulkner's work lacks intelligence and meaning. Warren admits that it "really lacks a sense of history."¹¹ He seems to agree with Podhoretz when

he says that "Faulkner "doesn't even hate" the middle class "accurately," his Jason being as much creature of compulsion as Quentin without "sober choice."¹² The reason why Faulkner's work attracted readers is "the sense that the world created so powerfully represents a projection of an inner experience of the author somehow not too different from the one the reader might know too well."¹³ At the end of these psychological and political considerations, Warren leads the reader to the conclusion that he should read Faulkner because his work is a projection of his experience and because "he is an a-political writer."¹⁴ The value of the work of art is then transferred to the author. His novels should be read not because the author is leftist or fascist but because he is a-political. Does this fact really matter to the understanding and appreciation of the work? In order to judge a work of art the critic should avoid taking into consideration the author's ideology, even if he praises it as Warren seems to do when he mentions the fact of Faulkner's being an a-political writer.

Warren finally confirms the idea of interest in the author's intention as being helpful to literary criticism. He concludes that:

Though much has been written about Faulkner and the South, much is repetitious, and there is clearly need for further thinking about the writer and his world. Related to this but not to be identified with it, are the questions of Faulkner's own psychology - his own stance or temperament. Both these lines of interest are primarily genetic, they have to do with the question of how the work came to exist; but if this kind of criticism is

pursued with imagination and tact, it can lead to a new awareness of the work itself,¹⁵ with a fuller understanding of the work as that unity of an art-object and a life-manifestation.¹⁶

As Warren makes clear, the study of the author's psychology and biography may contribute to a fuller understanding of the work itself. The notion of the work of art independent from the author and belonging to the public is thus put aside. According to him, the more we are able to learn about the author the more we will understand his work. In other words, the closer we can get to what his intention was at the moment of the literary creation the better we will be able to judge his work. Even though he defines it as a different kind of criticism, he agrees that it is an important line to be pursued.

It seems doubtful that the matter of intention positively brings any contribution to a critical appraisal of a work of art.

The text itself should be dealt with as the analyzable vehicle. The use of biographical evidence in literary criticism should not be taken into consideration since the author's intention is neither available nor desirable as a standard for judging the success of a work of literary art.

NOTES

- ¹ R. G. Collingwood, The Principle of Art (New York: Oxford University Press, 1981), p. 111.
- ² W. K. Wimsatt, The Verbal Icon (Lexington: The University of Kentucky, 1954), p. 5.
- ³ Collingwood, p. 118.
- ⁴ Collingwood, p. 301.
- ⁵ Robert Penn Warren, "Introduction: Faulkner: Past and Future", in Faulkner ed. Robert Penn Warren (Englewood Cliffs: Prentice-Hall, Inc., 1966), pp. 1-22.
- ⁶ Warren, p. 2.
- ⁷ Warren, p. 2.
- ⁸ Warren, p. 3.
- ⁹ Warren, p. 3.
- ¹⁰ Warren, p. 3.
- ¹¹ Warren, p. 16.
- ¹² Warren, p. 16.
- ¹³ Warren, p. 12.
- ¹⁴ Warren, p. 17.
- ¹⁵ emphasis is mine.
- ¹⁶ Warren p. 21

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JOSEPH CONRAD'S JOURNEY INTO THE DARKNESS OF SELF

Magda Velloso Fernandes de Tolentino

— UFMG —

The depth of Conrad's nature and the foundation of his philosophy remained Slav; he shared the Russian novelist's sense of mystery, their tragic obsession with the unknown, their haunted preoccupation with human misery. His work is steeped in pessimism. He proclaimed that he desired to be first and foremost an artist, and his art is related to Continental realism.

Most of his novels are concerned with the sea. He had an uncommon angle of vision, was original in his narrative craftsmanship. His characters are brought before the reader not directly but through conflicting and fragmentary images formed by various witnesses. He makes, as it were, a preliminary sketch and then proceeds to fill it in and enrich it. Perplexity, apparent contradictions, a kind of mystery, are the result of this method. Even the explanation of the action may be deferred for a long time and the story keeps to the end a certain air of strangeness.

The strange foreign tales are a background for the display of native English character. Conrad admired British sailors for their coolness, for the discipline which ruled aboard their ships. He was equally fascinated by the English language, and by the possibilities it holds for narrative and description, but he enriched it with his characteristic foreign qualities.

Pole by birth, he admired the qualities of courage, capacity for self-sacrifice and staunch silent endurance of the English nature, to which we find rich reference in his novels.

Joseph Conrad is listed by Dr. Leavis (1) as one of the four or five major English novelists who are "distinguished by a vital capacity for experience, a kind of reverent openness before life, and a marked moral intensity, as well as being very original technically".

Conrad writes not about any settled "worlds" (as Jane Austen and others listed by Dr. Leavis), but about the dangerous edges of the earth. He is concerned with codes of honour rather than with manners, with heroism and disgrace rather than with complicated moral success or failure. He took the violence and treachery of man, of nature, of one's own inner nature, for granted.

His technique is very original, the organization in his novels expresses a scrupulous, sceptical intelligence; instead of relating adventures straightforwardly, from one episode to another, he likes to begin in the middle, or at a climax, and then work back to what led up to this climax. See the building up of Kurtz's character in Heart of Darkness, when we know that Marlow's meeting him is the acme of the story. The interest is then shifted from what happens next to satisfying an acute observer's curiosity about what lay behind the happening. Marlow's memory pieces together and relives the journey into the Belgian Congo. Conrad descends narcissistically into his own world by means of Marlow, who in his turn has already descended into a dark, morbid underworld (like that of Virgil, Dante or Faust) and found there a self-sustained world. The experience is hallucinatory, a journey into the unconscious or to the end of the world, Marlow's quest for balance in a black jungle. The African jungle is the "objective correlative" of the possible rankness of the human heart. Marlow's journey upriver follows

(1) Leavis, F. R. The Great Tradition.

the experience of Conrad himself under the same circumstances related: as a replacement for a dead man. The tale handles distressing personal experience such as extends a man's knowledge of himself and of what the world is like. Conrad himself stated that "before Congo he was only a simple animal". (2)

Marlow undergoes a discomposure of the self as he grows, but the feeling of growth and fuller participation in the human condition is valuable to him. He observes humankind as he travels upriver; his companions are disgusting traders, whom he calls "pilgrims", who fire at the natives by the river bank just for the fun of it.

As we approach his destination we experience many penetrations at once: into a wild African territory; into the darks of time; into mingled social forms neither barbaric nor civilized but profoundly disordered and spoiled; into the darks of moral anarchy; and into the darks of the self that the sense at once of repulsion and fascination disturbs.

When Marlow meets Kurtz, in the climax of the tale, he finds an eloquent man who, carried away by loneliness, drink and a growing megalomania, has become a bloodthirsty tyrant, more terrible than the savage chiefs he oppresses. He is regarded with awe. He is dying of fever and has hallucinations; his own diseased mind is taking revenge on him instead of his victims. He stands for a certain hollowness in the heart of darkness, the heart of hell.

Kurtz's fascination for Marlow is the former's will to power, superhuman, brutal. Cruelty and sadism are indistinguishable from the vision Kurtz embodies, a vision of power and control which the ivory provides for him. The ivory,

(2) Karl Frederick R. Joseph Conrad. The Three Lives.

by the way, is a symbol which shows to what extent man will go for something which is neither vital nor an addition to a more comfortable life, but merely an object of ornament. It can also lead us to the "ivory tower" metaphor for unawareness of, indifference to or isolation from concerns held to be important. It stands for egotistical self-isolation, snobbery and dreamy inefficiency, and holds the stigma of pusillanimity, all of which can apply to Kurtz, as we find out through Marlow's unravelling of his personality.

So, in the end, Marlow, once supposed to bring light into darkness, finds, in the core of the forest, civilization among the savages, who have their own code, and savagery among the pseudo-civilized man.

The point of view in Heart of Darkness is dualistically presented through the existence of two first-person narrators: one among the group of listeners who attend Marlow's tale on board a ship on the River Thames, and Marlow himself, who tells of his experience in the jungle.

The first narrator is important inasmuch as he gives the reader an image of Marlow: a contemplative fellow who is always narrating his "inconclusive experiences". He gives us a vision of Marlow sitting in the meditative position of a Buddha and describes him physically as a man with "sunken cheeks, a yellow complexion, a straight back, an ascetic aspect". He is laconic in his description and we feel a considerable distance between them, although we feel that he, the first narrator, is an interested listener.

He yields the narrative to Marlow as soon as we get a shrewd idea of the kind of person Marlow is. Marlow's own account is given in a confidential tone, created with the aim of bringing the listeners to accompany him in his journey into himself. The tone suggests many forms of stillness and inertia

blent with the darkness: a brooding immobility accompanies the unfolding tale. Marlow is the central character and introduces what is most important: the inner tale. The first narrator only makes a frame to what Marlow is about to tell. But all the time it matters to us, readers, whose voice we are listening to or whose tone is prevalent. The shifting of viewpoints has opposite results: it brings some unsureness to the reader at the same time that it elicits an activity of clarification.

Marlow's probing into the forest and into darkness is like the moving of a camera: it is as if Marlow himself were holding the camera and we, readers, were following him as film spectators. He moves forward registering impressions and describing people, scenery and action. We see every one of these elements through the focusing eyes of this camera — Marlow's eyes. And, not unlike a cameraman, he registers the scenery and adds his personal touch — after all, Marlow's remarks on the "inscrutability, inconceivability and unspeakableness" of the situation he is facing is an intrusion in the narrative and an open comment, repeatedly recurrent, on an otherwise merely implied atmosphere of darkness and horror.

Through the narrative Conrad shows how Marlow managed to penetrate into the depths of man's soul, how the experience has shaken him and how it has affected his way of being, even as to his deportment.

So Conrad, in his notable attempt to postpone the crisis, concentrates the force of his narrative on the building up of atmosphere, be it through the medium of one or the other of the narrators. This atmosphere in Heart of Darkness determines the unity and total effect of the story, with the heavy tropical air of the African jungle hanging like a miasma over the uncanny phenomena of nature, twisting humanity, as it were, into weird inhumanity.

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HESTER PRYNNE AND ISABEL ARCHER:
TWO WOMEN SEEKING FREEDOM TO BE THEMSELVES

Maria Helena Lott Lage

— IIFMG —

Nathaniel Hawthorne in The Scarlet Letter depicted Hester Prynne as a woman whose suffering was as great as her strength, and whose dignity overcame the shame to which she was exposed before her neighbors and townspeople. In The Portrait of a Lady, Henry James portrayed Isabel Archer as a young woman whose strong character and independent nature very much reminded us of Hester Prynne. Isabel's main characteristic was, as James himself pointed out, "her markedly individual view of herself and of her relation to life, and her painful fidelity to the ideal she has set for herself."¹

Hester Prynne's story happened in the late 1700's in Boston, then a small New England town. At that time the laws of Puritanism, which were the laws of God, controlled people's lives and behavior. According to the Puritan point of view, the woman was in a position inferior to man. Fidelity was a solemn obligation, which resulted directly from the marriage contract. Adultery was considered the worst of sins, and the person who committed such sin was exposed to public shame, rejected, and severely punished by society. Hawthorne began his story later in Hester's life, after her unfortunate marriage to Roger Chillingworth. Hester had not been prepared for marriage. She was still an absolutely innocent girl when she left her parents' safe and happy home. Roger was much older than she was, and unable to make her happy. The first years of their married life were spent in Europe, "a new life, but feeding

itself on time-worn materials."² Roger did not seem to care much for Hester, since he stayed in Europe and sent her back to Boston, leaving her alone for two years. The result was that she fell in love with another man and committed adultery. The consequences were that she was exposed in the market-place and confined in a prison. With no compassion at all, she was condemned by society.

More than a century separated the worlds of Hester Prynne and Isabel Archer, but the conventions of society concerning the institution "Marriage" changed very little. The woman was still expected to depend upon the husband, who was the head of the family. Marriage was considered not a means to achieve happiness and realization, but an end in itself. Isabel was no exception to this rule. She was at an age when she had already received enough education to follow the common fate of girls — get married and devote her beauty, her knowledge, her entire life to a husband. Her two sisters had already followed the convention. Edith, with her beauty, "formed the ornament of those various military stations, chiefly in the unfashionable West, to which, to her deep chagrin, her husband was successfully relegated."³ Lillian, considered "the practical one," was "a young woman who might be thankful to marry at all... and seemed to exult in her condition as in a bold escape" (p. 38). Neither of them had "brilliant" marriages, but they conformed to the situation they had accepted. Isabel did not want for herself a fate similar to that of her sisters, and in this respect she was luckier than Hester Prynne. When Isabel's father died, she met her aunt, Mrs. Touchett, who opened up a new perspective to her life. She was invited to follow her aunt to Europe, leaving her limited world in New England for the supposedly exciting "Old World."

Like Hester Prynne, Isabel also went to Europe anticipating

that a new and better life would be offered to her. Unlike Hawthorne, however, James described in detail the experiences of his heroine's life in Europe. Isabel was also disillusioned with her new life, as Hester was, but she was in a much better position than Hawthorne's heroine. First of all, she was still single and independent when she left. Next, she was more than a century ahead of Hester. Although the woman was still in a position inferior to man, she had already taken steps towards emancipation. The circumstances, however, were quite different. Unlike Hester, Isabel had already asserted her independence, and she proved this assertion on the very day of her arrival in Gardencourt. Her cousin, Ralph, told her of his impression of her being "adopted" by his mother, and Isabel immediately reacted and explained her position: "Oh, no... I'm not a candidate for adoption... I'm very fond of my liberty!" (pp. 23-24). Isabel's main motivation to follow her aunt to Europe lay in the fact that she did not want a fate similar to that of her sisters. "What it would bring with it was as yet extremely indefinite, but Isabel was in a situation that gave a value to any change. She had a desire to leave the past behind her and... to begin afresh" (p. 41). It would be much better to learn from personal experience. Therefore, while Hester's going to Europe was more an attitude blindly taken as a result of her innocence and inexperience, Isabel's choice was a more mature decision of a woman who was already climbing the first steps to assure her independence.

The fact that there were other women who had the courage to lead their own independent lives might also have influenced Isabel, in the sense that their world was more appealing to her than that of her sisters. After Mrs. Touchett realized that her husband and herself were two completely different individuals, with extremely different tastes and ideas, she decided to have

her own house the way she liked, in a place she liked. Of course she still maintained the appearance of her marriage by going back to Gardencourt regularly. However, what no outsider knew was that she hardly saw her husband while she was there, and those brief and false "visits" were all that remained of that marriage. Henrietta Stackpole, Isabel's oldest and closest friend, was "a woman of the world," in the sense that she had no fixed roots and was independent, both in her private and in her professional affairs. She was, for Isabel, "a proof that a woman might suffice to herself and be happy," (p. 71).

There was a basic difference between Hester Prynne and Isabel Archer. While Isabel learned the importance of independence when she was still free from any compromise with a husband, Hester learned it only after her marriage. Hester was practically "abandoned" by her husband and saw that her free choice of giving herself to a man she really loved was reason enough for her to be cruelly condemned by society. Only then did she start questioning the values of that society and the real meaning of independence. Why should she have to follow a convention that was imposed on her and sacrifice her inner feelings? Her marriage had proven to be a disaster. When she met Arthur Dimmesdale, someone who really cared for her, she was marked as an outcast from society. No one considered her reasons, or her qualities. There she stood on the scaffold, holding her three-month-old baby, and yet with a calm dignity that astonished all who watched her.

Hester was bitterly criticized, especially by those of her own sex. The women of those days were not supposed to exhibit their beauty. On the contrary, they had to hide it, covering as much of their hair and body as they could. On the day of her trial, however, Hester did not hide her beauty, perhaps on purpose. Her sin was stamped on her bosom in the form of the

scarlet letter "A", standing for "Adulteress," but it was "fantastically embroidered" and "it had the effect of a spell, taking her out of the ordinary relations with humanity, and enclosing her in a sphere by herself" (p. 55). She looked very elegant in "her attire, which she had wrought for the occasion in prison, and had modelled much after her own fancy" (p. 55). Affronting the "audience," who mercilessly watched her shameful exhibition, she showed her dark and abundant hair and gazed at them gallantly with her beautiful dark eyes. Her attitude was one of defiance, as if to show that while she might be ashamed of what she had been exposed to, she was not ashamed of what she was, or of what she had done. When the whole town expected her to be humble and pale, she was thus telling them that she would have the courage to face the consequences of her act. She had finally decided that real freedom was faithfulness to her individual concept of freedom, resembling Isabel Archer, who took as her dogma for life the faithfulness to her individual freedom.

Isabel had many chances to assure her independence while she was in Europe. As previously mentioned, she had her aunt and her friend, Henrietta, as models of free women. The attitudes of these two women, however, were somewhat ambiguous. They had apparently changed their concepts of the conventionalized status for women in relation to themselves but, nevertheless, they had plans to marry Isabel according to the conventional common sense. Both women had their favorite candidates for Isabel's hand, and the reasons why these men were their "privileged selections" were not detached from convention. Both Caspar Goodwood (Henrietta's candidate) and Lord Warburton (Mrs. Touchett's candidate) were appointed by them because, first of all, they were wealthy and could provide Isabel with a comfortable life; next, because they seemed to love her; and

finally because they were real gentlemen and occupied privileged positions in society. Neither Henrietta Stackpole nor Mrs. Touchett considered Isabel's inner feelings as a main motif (here they resemble the attitude of the townspeople in The Scarlet Letter, who ignored Hester's sentiments). This puzzled Isabel, who strongly believed that "a woman ought to be able to live to herself, in the absence of exceptional flimsiness, and that it was perfectly possible to be happy without the society of a more or less coarse-minded person of another sex" (p. 71). By no means did Isabel want to have anything forced upon her. She wanted to become a whole and independent human being, acting according to her own decisions and being coherent to her idea of freedom.

This startling feature of Isabel's character was what made her cousin, Ralph, admire her from the beginning of their acquaintance. Ralph was a clever and sensible man. In fact, he had many things in common with Arthur Dimmesdale. Their natural goodness and capacity to understand other people's sentiments were of the kind that developed only through a great deal of suffering. Both of these men's destinies were marked by the inevitable consequences of a serious disease. Arthur's suffering was caused not only because of his feeling of guilt towards Hester and their daughter, but also because of the weak condition of his heart. Ralph's suffering was also caused by the weak condition of his health and, as he had discovered that his illness would kill him soon, he tried to adjust to this fact. Ralph fell in love with Isabel, and if it were not for his disease, he might even have turned out to be Isabel's companion for life. Because of his physical condition, however, he never confessed his love for her. Therefore, she could not even have a chance to consider the possibility. Nevertheless, he was the one who most completely understood Isabel and could

possibly make her happy, if they had gotten married. However, not only was he conscious of his limitations as a sick person, but he was also aware of Isabel's views concerning marriage. They were still in the beginning of their acquaintance, and yet Ralph had already, almost instinctively, understood that she was different from most women in that she seemed to have "intentions of her own" (p. 87). He chose, then, to be a silent observer, and he wanted, most of all, that she meet happiness following her intentions. "Whenever she executes them," he stated, "may I be there to see" (p. 87).

Arthur Dimmesdale also showed that he loved Hester; for instance, when he stood by her side and persuaded the Governor and Reverend Wilson that Hester should be allowed to keep her daughter. Like Ralph, he also renounced his love, but his reasons were quite different from Ralph's. His scruples and cowardice were greater than his love for Hester. He was dominated by the laws of society, and was fearful of his reputation. He was also dominated by what he understood to be the laws of God. It is true that he did beg Hester to cry out the name of Pearl's father at the scaffold on the day of her trial. He might even have been relieved if she had confessed it. But why didn't he do it himself? It is clear that he feared people's judgment and was quite fond of his position. Hester's love for him was much greater, and she would never betray him. She felt sorry for him and chose to sacrifice her own reputation. It is another proof of Hester's capacity and courage to bear suffering. She also kept secret her husband's identity. Roger coldly watched the whole scene pretending never to have seen her before. Hester, then, was denied moral support at the moment she most needed it. She stood alone, having as her close companions only her daughter, fruit of her sin, who gave her more preoccupation than happiness, and the scarlet letter, symbol of her ignominy and of

the sin itself.

Hester was very good at needlework, and that was how she occupied herself, not only during the time she had to stay in prison, but also afterwards, in the seclusion she was forced to live in. Her handiwork brought her some reputation, and she had such good taste that what she made became the fashion of the age. Her only apparent aim in life was to continue living in the town and be able to work for her child and for herself. She actually wanted to stay close to Arthur, and she still had some hope that they would come to terms with each other. It was not easy to remain in the town at first, but because she never complained, never argued with the townspeople, she gradually gained their confidence. Her attitude was humble, but brave. She was always ready to serve and to help the ones in need ("her breast, with its badge of shame, was but the softer pillow for the head that needed one" - p. 160). Although aware of her usefulness and help, Hester never expected any gratitude as reward. She would leave the houses of those she helped as subtly as she had entered them, as a shadow or an angel, bearing only the form of a human being, as a superior entity. Hester was finally assuming her independence and learning its value.

Isabel Archer also assumed her independence, executing her private intentions and being faithful to her ideal of freedom. Her most challenging attitudes were presented through the proposals of marriage she refused. Despite the merits that Mrs. Touchett and Henrietta Stackpole had found in her suitors, there was also the "temptation" that she even liked them and enjoyed their company. Caspar Goodwood was "the finest young man she had ever seen, was indeed quite a splendid young man; he inspired her with a sentiment of high, rare respect" (p. 47). Lord Warburton, on the other hand, was a very charming

gentleman, and Isabel soon "found herself liking him extremely" (p. 91). Both of them proved several times, through their perseverance, the extent of their love for her. Yet, Isabel saw marriage as a limitation of freedom and an unworthy shield for a woman. She was aware that she might have been going too far, but she was firm in her conviction when she told Caspar Goodwood, "I try to judge things for myself; to judge wrong, I think is more honourable than not to judge at all. I don't wish to be a mere sheep in the flock; I wish to choose my fate and know something of human affairs beyond what other people think it compatible with propriety to tell me" (p. 229). Isabel's behavior parallels Hester's courage to assume responsibility over her daughter, to assume her position, to assume her freedom.

Both heroines were courageous and proud. Hester Prynne, for instance, adopted an attitude of apparent humility, changing her physical appearance by keeping her beautiful hair "completely hidden by a cap" (p. 162) and by dressing in a very austere way, perhaps on purpose, to emphasize her good qualities. The contrast of her way of dressing with the elaborate "A" even gave more emphasis to this probable intention of hers. [Even if uncsciously, she wanted to teach the townspeople a lesson - that no one is ever capable of judging others without going deep into the matter and analysing every side of the question. And even though the townspeople never professed it, they might have felt guilt for having condemned Hester to such a cruel fate. Hester changed as her position in society changed, and she was thus proving her emancipation. She did harden her feelings, however. As Hawthorne himself stated, "much of the marble coldness of Hester's impression was to be attributed to the circumstance that her life had turned, in a great measure, from passion and feeling, to thought" (p. 163). Hester hardened

her feelings in order to cope with the hardship of her life, and she could thus be excused. Isabel Archer had also hardened her feelings. She was even sometimes shocked with her own attitudes, and wondered "if she were not a cold, hard, priggish person" (p. 157). But she had concluded, after considering all sides of the question, that she did not want to give up the other chances that life had to offer her. What she valued, most of all, was her personal freedom, the impulse she felt within herself to dive into the world, and both Isabel and Hester were alike in this respect; they would risk anything for it. This apparent hardness, however, did not mean that either of them had turned into an evil person. On the contrary, both Hester and Isabel were naturally good-hearted. It was, rather, a way they found to defend themselves and assure their personal freedom. They wanted to be fully respected as human beings.

Hester proved her goodness by taking care of the sick people of her town, as mentioned above. Some people would even point to her and say to strangers, "Do you see that woman with the embroidered badge? It is our Hester - the town's own Hester - who is so good to the poor, so helpful to the sick, so comfortable to the afflicted!" (p. 161). Like Hester, Isabel Archer also displayed her natural goodness. First, in the way she devoted herself to her uncle during his illness; later, in the way she also stood at Ralph's side when he was dying, and finally through her altruism towards Pansy. Like Hester, Isabel never expected any reward for her good actions. It was, indeed, with real astonishment that she received the news she had been included in her uncle's will, on the occasion of his death. What she did not know, however, was that she had her cousin Ralph to thank for the considerable amount of money she received. Now she could fulfill "the requirements of her imagination" (p. 265), as Ralph always wanted. Yet, she did not know what awaited her.

During the time of her uncle's illness, Isabel met Madame

chance to spend a long time in each other's company, and Isabel immediately liked her. Madame Merle, however, was an "evil" character despite her superficial mask of unpretentious friendliness. As soon as she learned of Isabel's unanticipated wealth, she devised a plan that would solve all her own personal problems. One of her unstated aspirations was to marry Pansy into an eminent family, and, for that reason, Isabel's money and relations would prove very useful. Pansy was actually the daughter born of Madame Merle's carefully hidden love affair with Gilbert Osmond, an American widower who lived in Paris. She soon made arrangements to introduce Isabel to Osmond, and skillfully convinced him to court Isabel. She was a third woman to come up with a candidate for Isabel's husband. Instructed by Madame Merle, Osmond did all he could to give Isabel a good impression of himself, and he succeeded beautifully. Isabel was easily trapped and inevitably fell in love with Osmond. Her so much praised independence was being threatened, but she did not realize that, and gradually let herself be influenced by him. In her eyes, Osmond was different from the other two candidates. She even changed her way of viewing things, with comments such as when she told Osmond once, "I know too much already. The more you know the more unhappy you are" (p. 369). She concluded that "he resembled no one she had ever seen" (p. 376), that "he indulged in no striking deflections from common usage, he was an original without being an eccentric" (p. 276), and she finally decided to accept his proposal of marriage.

Of course Isabel was strongly advised by all her friends that she was being precipitous, but she was blindly convinced that Gilbert Osmond was not at all the "fortune hunter" he seemed to be. She did not even want to justify her sudden change of opinion towards marriage and towards her ideal of freedom. In a frank conversation with Ralph, when he tried to

open her eyes, he reminded her, "you're going to be put into a cage... you must have changed immensely. A year ago, you valued your liberty beyond everything. You wanted to see life."⁴ To which she simply replied, "If I like my cage, that needn't trouble you... life doesn't look to me now, I admit, such an inviting expanse" (p. 65)... "I've only one ambition - to be free to follow out a good feeling. I had others once, but they've passed away" (p. 73). Ralph exhausted all his arguments, even more objectively than the others had tried, but also in vain. He even regretted the fact that he had been the indirect cause of her falling into the abysmal mistake he could foresee. And Isabel's persistence impressed him: "she was wrong, but she believed; she was deluded, but she was dismally consistent. It was wonderfully characteristic of her that, having invented a fine theory about Gilbert Osmond, she loved him not for what he really possessed, but for his very poverties dressed out as honours" (p. 75). Isabel even told Ralph, "I shall never complain of my trouble to you" (pp. 75-6).

Isabel's attitude was ambiguous at this point. Considering that she stood alone against the others, and sustaining her belief in her independent choice, she was being coherent in her search for personal freedom. However, considering the way she switched the facts to maintain her position, added to Henry James' descriptions of Osmond and Madame Merle, Isabel's faithfulness to her ideal might be doubtful. The reader knows not only that she was actually making a mistake, but that she was specifically being wrong in telling Ralph that she would never complain to him. She deserves sympathy because the unmasking of her illusion will be difficult for her to face.

Isabel painfully faced the consequences of her marriage, which she was forced to admit as a mistake. Like Hester Prynne, she was also disillusioned with her marriage, even though she

was not as innocent and inexperienced as Hester when she married. Isabel had already seen much of the world when she met Gilbert Osmond. Yet, like Hester, she also married the "wrong" man. Ralph was, after all, correct in his judgment of Osmond. He was indeed a very selfish, narrow-minded, evil person. In fact, several features of Osmond's personality resembled Roger Chillingworth's. Both were domineering, conventionalized, insignificant men, who placed their ego above everything else in the world. Both Osmond and Roger only showed their real "evil" character after their marriages. It was previously mentioned how coldly and cynically Roger watched Hester's suffering at the scaffold. His later attitudes were disgusting. It was soon apparent the reason why he asked Hester not to reveal his identity. He had a good excuse to remain anonymous, because only then would he be completely free to carry out his plans of revenge. As Hester herself noticed, even Roger's appearance had changed - "there was something ugly and evil in his face" (p. 127), he was even compared to Satan himself. With the excuse that he was taking care of Arthur Dimmesdale's health, they developed a friendship that ended up by bringing the two men to live under the same roof. When Hester realized how much harm Roger's companionship was doing to Dimmesdale, she bravely faced Roger and told him all she felt, thus showing again how independent and courageous she had become. But nothing could soften the man's heart, not even his own misery that Hester showed to him and made him conscious of. Only then did she decide to tell Arthur the truth about Roger. She gave Arthur a new hope by convincing him that they should go to Europe, where they could start a new life together.

This attitude of Hester's was similar to Isabel's behavior. Like Isabel, Hester makes it doubtful whether she was really being faithful to her ideal of freedom. When she found herself

alone with Arthur in the forest, she changed her previous conception of freedom. Such change of attitude was not stated by Hawthorne, as it happened with James, but it was implied. Hester felt so excited about their plans to start all over again, that she took the scarlet letter off her bosom and threw it away, while she also took off the cap that hid her beautiful hair. And she did have a new feeling of freedom which did bring her relief. Arthur's attitude was also changed in this scene. He changed from evading her to being anguished at hearing about Roger, to accusing Hester, and finally to asking her for help. He even pointed to her scarlet letter and confessed: "Mine burns in secret!" (p. 101). Because of her daughter's strange behavior, Hester was forced to put on the scarlet letter and the cap again. Was Pearl's reaction only a child's jealousy, or was it some supernatural force that took possession of her and banished her mother's dream of a free and happy life together with the man she loved? Anyway, Hester continued acting as she had those past seven years. Hester was even more disappointed when she found out about Roger's intentions of following her and Arthur to Europe. The "devilish" manipulator seemed to have no heart at all. How could she ever have married such a man?

Like Hester, Isabel Archer also saw the error of her choice of marrying Osmond. He proved to be, like Roger Chillingworth, a devilish manipulator. The way Osmond controlled his daughter's life was repugnant. Poor Pansy was a puppet in his hands, and he tried to make the same thing of Isabel. It was not easy, however, to force something upon Isabel, who was so used to having her own point of view. Thus, she rebelled against her husband's wish to put an end to her old friendship with Henrietta Stackpole. But only when she saw Madame Merle's and Osmond's machinations concerning the matter of Pansy's marriage did she realize how wrong she had been, thinking that

her money would help her husband. Only then could she see Osmond as he really was: "Under all his culture, his cleverness, his amenity, under his good nature, his facility, his knowledge of life, his egotism lay hidden like a serpent in a bank of flowers" (p. 196). More and more the divergencies between Isabel and Osmond made her come to the conclusion that she had "thrown away her life" (p. 203). However, as she later confessed to Henrietta, she did not want "to publish her mistake." She was too proud to do it.

It was also for self-pride that Isabel decided to disobey her husband and go to England to stay with Ralph, who was dying and wanted to see her. Her sister-in-law had told her the whole truth about Pansy's origin and about Madame Merle's influence on her marriage with Osmond. Madame Merle, too, could be placed, together with Roger and Osmond, in the group of the evil manipulators. Isabel was shocked. She had failed, but she would never submit to the point of confessing it. Thus, she pretended to ignore everything, but defiantly packed her clothes and went to Gardencourt. The only persons whom she told the whole truth were Henrietta and Ralph. They were her only real friends, and she admitted only to them that she had been used. After Ralph died, she remained in Gardencourt for a while, facing the various options that were open to her as to what to do with her life. Caspar Goodwood returned to offer her a new option. Isabel, however, was not the kind of woman who submitted, who embraced any kind of escape. Most of all, she had to be faithful to her own conscience, and her conscience told her to go back to Rome, not specifically to Osmond, who had already been defeated at the death of Ralph, but rather to Pansy, whom she considered her real daughter then. She finally concluded that she had a daughter to be "freed" for normal life. She decided to go back. She knew what awaited her, but she would

face the consequences of her act.

Hester Prynne's story had a tragic end. Arthur Dimmesdale was unable to conceal his guilt any longer. As he was afraid to die before he told the truth, he decided to confess everything during his Election sermon. Only when he finally gave up his cowardice was he relieved from his remorse. And he was so sure of his salvation now, that he did not hesitate to say farewell to Hester as he closed his eyes and died. Roger Chillingworth, like Gilbert Osmond, was also defeated at the death of his rival, though in a different way. It seemed that Roger had lost his own purpose for living when Arthur died because he soon followed him to the grave. His eagerness for revenge was ended on earth. Would it continue after death? Hester, however, was in a different position after that day, at least to the townspeople's point of view. Like Isabel, Hester was also faced with a couple of options as to what to do with her life, after the deaths of her lover and of her husband. The only difference in Isabel's case was that when she lost her true love, her husband was still alive, although it was implicit that he was dead for her. Like Isabel, Hester also had a daughter to be "freed" for normal life, and there was evidence that she succeeded. And like Isabel, Hester also decided to return to her earlier life. After many years, she went back to Boston, put the scarlet letter on her bosom again and wore it for the rest of her life.

This last attitude of Hester's was the result of her own free will. It might have contained some pride in it, but it also contained courage. In the same way that Hester Prynne freely chose to return to the town that had condemned her, Isabel Archer also chose to return to Rome. The real value of their choices was that they did not take the easiest roads. Both of them had been trapped, but they were equally proud and brave.

Their early conception of freedom had changed, and they returned as a kind of self-punishment for having failed. Yet, they were still being faithful to their own conscience in the sense that what they finally chose to do was the result of their own free will. These two major American novels are finally different in their handling of the importance of recognizing one's involvement with evil and then making the corrective choice, but both focus on the career of a strong and attractive young woman faced with society's conventional opposition to independence and freedom.

NOTES

¹ Fred B. Millet. "Introduction," in: Henry James, The Portrait of a Lady. (New York: Random House, The Modern Library, 1951), p. XXV.

² Nathaniel Hawthorne, The Scarlet Letter. (Boston: Riverside Editions, 1961), p. 60.

³ Henry James, The Portrait of a Lady. (New York: Random House, The Modern Library, 1951), vol. 1, p. 38.

⁴ Henry James, The Portrait of a Lady. (New York: Random House, The Modern Library, 1951), vol. 11, p. 65.

SAM'S PILGRIMAGE TO TRUTH.
BASED ON LILLIAN HELLMAN'S PLAY THE SEARCHING WIND.*

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The Searching Wind, Miss Hellman's fifth play, was first produced on April 12, 1944, at the Fulton Theatre in New York City.

The intention of this study is to analyse an aspect of the truth in the above mentioned play, whose plot runs as follows: in 1939, in Washington, D. C., during World War II, Alex, Emily, their son Sam and Mr. Taney (Emily's father) have Cassie, an old friend of the family, as a dinner guest. The play includes three flash-backs: the first is to 1922, in the Grand Hotel in Rome, the day Mussolini marches with his men into the city. The sound of distant guns is heard. Alex is a second secretary at the American Embassy, and Mr. Taney is the powerful owner of a famous and important newspaper in the United States, who has political contacts in Europe. Mr. Taney, Emily, and Cassie are leaving Rome for the United States, but Emily decides to stay, when she knows that Cassie is also interested in Alex, and has been meeting him. The girls are both twenty-two years old, and have been friends since childhood. The second flash-back is to 1923, at a restaurant in Berlin; the noise of a crowd running and shouting is heard outside, during a pogrom. Alex is waiting for Emily. They are married and Emily is expecting Sam.

* Part of Master's Thesis, defended at FALE - UFMG, and prepared under supervision of Prof. Ian Linklater.

They now live in Berlin. Cassie appears and begins to revive their past. She is in Europe for a vacation, but she knows where to find them. Emily arrives. Alex has to leave the restaurant. The two girls talk together, the one provoking the other, and decide not to see each other again. The third flash-back is to 1938, in the Hotel Maurice in Paris, shortly before the beginning of World War II. People are already leaving Paris. Alex is an American ambassador; he and Emily are visiting their children, who live in Paris. Mr. Taney is now retired, and accompanies them. Alex is very busy with war affairs, and he has to send a report to the United States. Emily knows that Alex has been seeing Cassie every summer, but she has not seen Cassie since 1923; she invites Cassie to come to the hotel, but decides not to meet her. Cassie and Alex meet and recommence their old love affair. In 1944, Alex is an ex-ambassador. Mr. Taney's newspaper, which has been leased out, is in a state of decline. Sam is a corporal who has been wounded and decorated for bravery in the war in Italy. Emily has not seen Cassie for about twenty-one years. She knows that Cassie is in town, and invites her for dinner. They talk about the war, world policy, and themselves. Emily reveals that she has known all along about Cassie and Alex. After Cassie leaves, Sam divulges that he has been called to the hospital the following day, to have his wounded leg amputated.

The relationship between the plot and the title of the play is a puzzle to the reader; but Lillian Hellman herself clarifies that connection when, in a passage in one of her autobiographical books, An Unfinished Woman, she partly describes her daily life with a black servant called Helen who worked for her for many years, "The first months had been veiled and edgy: her severe face, her oppressive silences made

me think she was angry, and my nature, alternating from vagueness to rigid demands, made her unhappy, she told me years later. (She did not say it that way: she said 'It takes a searching wind to find the tree you sit in.')

¹ It is from that phrase that Lillian Hellman took the title for this play. Helen Ormsbee quotes Lillian Hellman, "She meant one of those winds that go right through to your backbone. I suppose in my title I was thinking of the wind that's blowing through the world."² Not only through the world, or through the United States during World War II, but also through Sam's life: the adversity that haunts Sam urges him to look for truth, which will lead him to turn his back on his previous life and the false values of his family.

In The Searching Wind, Sam reflects the hope that the younger generations deposit on the more experienced – on those whom they trust and respect. Nevertheless, the world is always the same: older generations giving way to younger generations, that give way to younger generations ... promises, doubts, sorrows, and the unfulfilled confidence anxiously awaited.

In Lillian Hellman's latest book, Maybe, there is a sentence specially significant for this play, " [...] occasionally they got into the dreams, the marvelous dreams of 'true' human connection, or dope or God."³ What happens to this family and those around them (Cassie in particular), tells us of their human connection – but it has not always been a true or trustful connection, although an old one: their dreams and hopes last twenty-two years in the play; moreover, the relationship of Cassie with this family stems from her childhood. Emily comments, "They all seem like figures in a dream. And a dream I don't understand. None of it" (p. 303)⁴. The "dream" and this "human connection" not

only refer to their long acquaintance, but also to the countries and peoples involved in the several wars, revolutions, riots and pogroms that they have witnessed in Europe, which are all related to both Emily and her husband, because they belong to outstanding families whose members have been important figures in the government and in the decisions taken by their country.

Lillian Hellman describes Sam as "Corporal Samuel Hazen, a pleasant-looking young man of twenty" (p. 271). He has physically a small part in the play, since he appears a little at the beginning and even less at the end of the play. But he is the importance of the play. While his parents and Cassie discuss a love affair, and while his grandfather shows his preoccupation with world policy, he suffers from three different sources: he is the son who bears his parents' faults, the grandson who tolerates his grandfather's dreams, and the man who endures his doubts and sickness alone. Nevertheless, he has not been able to be himself. He is actually young, but he has gone through more ripening experiences than the others: he has been in World War II, fighting; the ones around him have been in several wars, but working, or witnessing, or watching – and even wasting money. The play revolves around Emily, Alex, and Cassie, but Sam's misery is the real "fait accompli".

In The Autumn Garden, Sophie is a French girl who has suffered in World War II, but who wants to go back to Europe, where she belongs – and that presents an analogy with Sam's situation. He says, "I belong here. I never liked that school in France or the one in Switzerland. I didn't like being there" (p. 322). Yet, both express the same: Sophie says, "No, I will not judge" (p. 535), and Sam says, "Oh, I'm

nobody to judge" (p. 272); moreover, both have been dominated by their families – and they suffer, "I have not been happy, and I cannot continue here. I cannot be what you have wished me to be, and I do not want the world you want for me" (p. 513), says Sophie to her aunt. And Sam tells his father, "You know, I never felt at home anyplace until I got in the army. I never came across my kind of people until I met Leck and Davis. I guess I never could have belonged to your world nor to Grandpa's, either – I still don't know where I do belong. I guess that's what's been worrying me" (p. 322). Sam can not foresee his future. The United States can not envision the end of war. Sam's name is very meaningful: through it, the author very cleverly makes an allusion to Uncle Sam. This play was written in 1944, during World War II, and Sam represents the young generation of the United States which has been drafted to wars without knowing why, or without understanding it. In An Unfinished Woman, Lillian Hellman says, "But it took us four or five years to realize that we, our own people, my hairdresser's husband, and the son of my friend's friend, and a former student of my own at Harvard, and a garage mechanic who should never have been trusted with a penknife, had all been drafted to murder for reasons neither they nor we understood."⁵ Sam is the younger generation who has to follow what has been prepared by those who make the rules. As Mr. Taney says, "Ah, well, our time likes its old men to run the world. In our world we won't let the young run our affairs –" (p. 279), "We think of young men as fit only for battle and for death" (p. 279). Both the young generations of the United States (Sam) and Europe (Sophie) want to lead their own lives, each without foreign interference. But even if he does not understand, or if he does not agree, Sam has to obey – because he is

involved, "There was a lot I didn't understand tonight, and a lot that isn't any of my business" (p. 321). Anyway, he has to fight, and he is badly injured. Sam does not perceive the significance of his father's and grandfather's real position, conduct or influence in the preceding years, and he does not agree with the consequence of his mother's vanity and worldliness. He looks for his own truth. He wants to understand. He wants to know, "I'd like to learn how to put things together, see them when they come -" (p. 296); I don't know what is happening, but I have a feeling it's got to do with me, too" (p. 298).

Sam's anguish is accidentally released when, talking with his grandfather, he says, "Children of famous fathers and famous grandfathers learn to walk late" (p. 272) - and that, literally, is not the truth about him: paradoxically, he has to lose a leg in order to learn to walk alone. The loss of his leg is going to emancipate Sam from the false world his parents have been living in. He has to be crippled physically to be released spiritually.

At the beginning, through the French butler Ponette, the author gives us a veiled indication of Sam's destiny, when Ponette pushes a tray, and a glass falls but does not break, "In my country to drop and not to break is thought to be ill-luckness" (p. 274). Along the play, several suggestions arise about Sam's illness through his own speech, "It's not simple to me" (p. 272), "I'll have plenty of time to read it. I think they'll discharge me soon" (p. 273), "I'm tired of bed" (p. 275), "I'm not going to be a diplomat, but that won't be my reason" (p. 276), "Two years ago, Grandpa, I'd have yawned or laughed at that. I won't do either now" (p. 279), "Anyway, it's kind of an important night for me because - well, just because" (p. 298), "I don't know what I'll do

with myself after two years of the army" (p. 273). When his father asks him, "The doctor told you not to walk much. Why are you doing it?" (p. 321), he answers, "It feels good" (p. 321). It is good because it is the last time. Neither his father, nor his mother, nor his grandfather is able to perceive Sam's involuntary hints; he comments, "I was thinking that you often know more about people in books than — than I've known about any of you, I guess" (p. 296). Of course he changes his vocables from "than you've known about me", exactly to the opposite: he shows both respect and diplomacy. He does not admire the diplomatic career; nevertheless, his distortion of sentences happens to be a diplomatic one, and that shows how much he is involved by the environment of his family. Two other important traces of his diplomatic behavior occur during the play: although he suffers, he is in a good humor; and he hides that his leg has to be amputated. All these repressed feelings, plus his doubts, plus his perception of his parents' problems make Sam express himself frankly at the end of the play. He has not said much. But he has heard a lot. What Emily says to Mr. Tancy referring to her discernment about her parents, might be said by Sam, "Children don't miss things like that" (p. 295). Sam has been away for two years, and most of his life has been spent away from home: after being educated in Europe, he goes to war in Italy; but in just one evening he learns more than he has ever learned, and he begins to comprehend and solve doubts, however in a very painful way, especially for one who is already suffering physically.

Most of Sam's distress comes from the confrontation between his and his father's experience of Europe: "Mr. Hazen has just returned from a tour of Africa and Southern Italy" (p. 272), says the newspaper; and Emily tells Cassie,

"Then Alex went to Italy as an observer — Sam and Alex were there at the same time, but they didn't see each other — and then Sam came back wounded and Alex got back last month" (p. 279). By and by Sam begins to question about his father's presence in Europe, "Did you tour around that part of Italy, Father? They call the place Bloody Basin now because it's a sort of basin between two hills and so many guys got killed there that we called it Bloody Basin" (p. 323). Sam questions his grandfather, "What did I see of Italy? The people in a little town, a river, some hills, a hospital. Father is an important man, he saw important people. I —" (p. 272). He does not know that his father was in Rome in 1922, "I didn't know you had been in Italy when Fascism first started. There you were on such a big day and I think so because I was there and saw what it did —" (p. 296). He feels depressed because he begins to piece together his thoughts. The following passage between parents and son show how difficult it is for them to realize their responsibility:

ALEX. You mean that if people like me had seen it straight, maybe you wouldn't have had to be there twenty-two years later.

EMILY (softly). But most people don't see things straight on the day they happen. It takes years to understand —

SAM. If that were true then everybody would understand everything too late.

ALEX. There are men who see their own time as clearly as if it were history. But they're very rare, Sam. (p. 296)

Alex tries to understand Sam because he was once in a similar situation, when his father was also a diplomat:

SAM. There were some things I didn't understand. We didn't see Italy the same way -

ALEX. Then it must be that I saw it wrong. (Smiles) Funny. I remember my father telling me about France. I kept wanting to say, for God's sake, I fought there: you can't know about it the way I do. (p. 276)

In their recollections, the flash-back of 1938 presents Alex and Emily in a conversation about a report that he has to send to the United States:

ALEX. I've always tried to push aside what I am, or where your money is, or how we live, and see what's best for my country. I've tried to do that.

(Sharply) I'm going to keep on trying.

EMILY (slowly). Can you push aside your son?

ALEX. What's Sam got to do with this?

EMILY. If there is a war, he'll soon be old enough to fight in it. (Tensely) I don't want my son to die. I don't want you to have anything to do with his dying. I don't like Nazis any better than you do. But I don't want a war. I love Sam, and I want him to be happy, in a peaceful world.

ALEX (very sharply). I love Sam too. But I'll report what I think is the truth. And it will have nothing to do with my desire to keep Sam alive. I fought in a war and I wouldn't have wanted my father - (Desperately) What are we saying to each other?

We've never had fights, we've never talked to each other this way. (pp. 315-16)

In the above conversation the author reaffirms Alex's will to fulfill his obligation in relation to his country, as he has said to a German envoy, "I am an oldfashioned man. After all these years in Europe, my roots are still deep in America" (p. 311), in a sentence that reminds us of Sam's feelings; two other aspects of the above dialogue show us the same confrontation between his and Sam's experience with fighting in war and having a diplomat as father, and his straightness and perseverance in telling the truth, as he himself affirms again, "One minute I say to myself, what difference does it make what you write back? It'll be one of many reports coming in this week. But that's not true because I've got to do my best, even if it isn't important to anybody but me -" (p. 312), "the truth is I don't know what's best" (p. 312). (Italics mine). There is again an analogy between truth and importance in his speech and in Mr. Taney's speech: "Sorry, sorry, Sam. At my age you forget what's important and - [...] - and remember what isn't" (p. 272) - and what is important then is the truth of Sam's friend's death. These statements remind us of two of Lillian Hellman's considerations, "The truth was more important [...]"⁶, and "[...] the daily stuff that is the real truth, the importance."⁷

This importance is the one for which Sam is struggling. But to spare his parents from suffering with him, he lies, "I didn't go to the hospital. Sears was mistaken" (p. 276), and he reaffirms, "He was mistaken, Father" (p. 276). Lillian Hellman deliberately contrasts truth and lie; but Sam's lie does not indicate that he is trying to escape or that he is

a coward — on the contrary: the motive of his lying helps to create a more realistic and effective character: it shows Sam's emotional stability and wisdom.

There is a parallel between Alex and Sam: both have doubts, both love their country, both love truth. Alex tells his secretary, "I can't put the pieces together, or maybe I don't want to. I don't know. I can't believe in villainy. I can't. I always want to laugh when somebody else believes in it" (p. 307). This speech might well have been delivered by Sam, because he seems a replica of his father. However, he begins to realize that he is involved in an environment of hypocrisy, which means exactly the opposite of the truth that he has been looking for. Sam is surrounded by fake: diplomats and newspapermen frequently have to twist attitudes and facts to please those whom they work for, or the public, or "the unknown forces". Nevertheless, both belong to special societies in which they are respected and considered. And they are powerful. Curiously, Mr. Tancy adverts Sam about these professions, and tells him not to follow any, "If you turn out to be a diplomat, I'll cut you out of my will" (p. 276), and, "Go sit in the library and read. You smile, but that would be a serious thing to do and you're going to be a serious man. If I'm wrong and you're not serious, I'll give you the newspaper and you can spend the rest of your life acting important and misinforming folks. That would break my heart, Sam" (p. 273).

Most of Sam's life has not been spent with his family. They do not know about him — but he does not know about them, either. When he says, "There was a lot I didn't understand tonight, and a lot that isn't any of my business" (p. 321), he means that he is not interested in his parents' love triangle affair (moreover, they have just unburdened themselves

of their "secrets" — as well as his grandfather, "[...] two hours of your mother at dinner were long enough. Emily, you're old enough for me to tell you that I didn't like your mother" (p. 295), "I felt sorry when she died, but I said, to myself, of course, 'Really, my dear, you didn't have to go that far to accomodate me. You could have moved across the street'. It's a bad thing not to love the woman you live with. It tells on a man" (p. 295) — which is a prelude of Mrs. Ellis speech in The Autumn Garden, "Happiest year of my life was when my husband died. Every month was springtime and every day I seemed to be tipsy, as if my blood had turned a lovely vin rosé" (p. 467), "Do you know I almost divorced your grandfather, Frederick? During the racing season in 1901" (p. 467); listening to his grandfather's sarcastic, humorous, and ironic commentary towards someone so close helps Sam in his psychological development and discernment of facts throughout the course of the play). After the news of Sam's imminent operation has slipped out, he is moved to action: there are three decisive "mysteries" for the causes which originated his sacrifice in war which he has to solve so that he may find the tree he needs to sit in.

The responsibility of Sam's grandfather lies in the fact that, in 1922, with the advent of Fascism in Italy, he does not act; instead, he decides to lease his newspaper and make "it an excuse to just sit back and watch" (p. 322). Sam wants to know why the newspaper is no longer his, and why he has leased it, and how that could have contributed to war. As Mr. Taney himself confesses, "I decided to retire and let the world go to hell without my help" (p. 280), his lemma becomes (although through Sam's interpretation of his grandfather's words), "nothing anybody can do makes any difference, so why do it?" (p. 322). But if "the masses of

people" (p. 321) who do not act, had done something, the war might have not come, and Sam would not have gone to war and been wounded. An appropriate commentary is in An Unfinished Woman, "Liberal pigs. Pigs. They will kill all the rest of us with their nothing-to-be-done-about-it stuff. They will save themselves when the time comes, the dirty pigs".⁸

The responsibility of Sam's father lies in the fact that, in 1938, just before World War II, on the eve of the Pact of Munich, he does not give the necessary importance to the report that he sends to his government, "And I am an unimportant man sending back an unimportant report" (p. 310), "One minute I say to myself, what difference does it make what you write back? It'll be one of many reports coming in this week" (p. 312). Sam needs to know whether in that report his father recommended appeasement. In his conversation with Sam, Alex says, "There are men who see their own time as clearly as if it were history. But they're very rare, Sam" (p. 296), "You mean that if people like me had seen it straight, maybe you wouldn't have had to be there twenty-two years later" (p. 296). This burden comes not only from World War II, but from all his life as a diplomat. He tries to excuse himself from responsibility. He tells his secretary, "There's something crazy about sitting here and thinking that what I say makes any difference. What do I know? What does anybody know?" (p. 317), and he tells Sam, "Sometimes I was wrong because I didn't know any better. And sometimes I was wrong because I had reasons I didn't know about. But -" (p. 324). Again, if "the masses of people" who do not know, or who do not care, or who do not understand had given more importance to truth, the course of war might have been different, and so might Sam's life.

Sam's mother is worried about the social aspect of

diplomacy and of her private life. Two of the three flashbacks refer to Emily in fancy dinner parties in which she meets what Alex calls, "The Renaults and Melchior de Polignac and the fashionable society trash who run with them" (p. 314). An instance of her personality is noticed when, during a conversation in which the subject is important, she tells her son, "Stop frowning, Sam. It's bad for the young" (p. 295). Sam's interest remains on the newspaper clipping that one of his comrades in Italy gives him. This clipping, written by a woman columnist, tells of his mother at a worldly dinner party in the United States, circled by international and charming people, in what the columnist calls "a brilliant gathering" (p. 323), while Sam and his friends are battling in war. At home, Sam expresses his thoughts frankly, "I don't think I ever in my life was really ashamed before. After all the fine talk I'd done about my family - God in Heaven, it did something to me - (Stops abruptly)" (p. 323). That clipping becomes the detonating fuse for Sam, and he reveals the anger that has been hidden by his sullen quietness. After more than six months, he still has that clipping in his pocket. In war, Sam met Leck, who became his friend. He tells of his admiration for Leck, "[...] all of us pretended we knew more than we did. But not Leck. He never pretended to anything because he really knew a lot" (p. 323). Leck is the absence of pretense, the truth that inspires Sam to face his family. Sam gives details of that conversation in Italy, when Leck tells him about the kind of people whom that clipping focuses, and comments, "My God, Sam, [...] if you come from that you better get away from it fast, because they made the shit we're sitting in" (p. 324).

Sam's final speech is the final speech in the play. In it, Sam shows his strength and denounces his family, wielding a final blow:

Well, for a couple of days I thought about what Leck said and I was going to tell him something. But that afternoon we went down to Bloody Basin and he got blown to pieces and I got wounded. How do you say you like your country? I like this place. (With great passion) and I don't want any more fancy fooling around with it. I don't want any more of Father's mistakes, for any reason, good or bad, or yours, Mother, because I think they do it harm. I was ashamed of that clipping. But I didn't really know why. I found out tonight. I am ashamed of both of you, and that's the truth. I don't want to be ashamed that way again. I don't like losing my leg, I don't like losing it at all. I'm scared - but everybody's welcome to it as long as it means a little something and helps to bring us out someplace. All right. I've said enough. Let's have a drink..

(p. 324)

Leck is blown to pieces, and so is truth. Sam now tries to pick up the pieces and make them a unity.

NOTES

¹ Lillian Hellman, An Unfinished Woman (Little, Brown, 1969; rpt. New York: Bantam), p. 203.

² Helen Ormsbee, "Miss Hellman All But Dares Her Next Play to Succeed!" New York Herald Tribune, 9 April 1944, sec. IV, pp. 1-2.

³ Lillian Hellman, Maybe (Boston: Little, Brown, 1980), p. 90.

⁴ Lillian Hellman, The Children's Hour in her The Collected Plays (Boston: Little, Brown, 1972), p. 7. All subsequent page references for Lillian Hellman's plays are to this edition.

⁵ Hellman, An Unfinished Woman, pp. 55-56.

⁶ Hellman, Pentimento, p. 259.

⁷ Hellman, Pentimento, p. 107.

⁸ Hellman, An Unfinished Woman, p. 78.

JAMES JOYCE'S HOME

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"Once upon a time and a very good time it was..." A Portrait of the Artist as a Young Man has a fairy-tale beginning. And as we surrender ourselves to the first page we enter into an almost mythic Eden, where moocows walk down the road while Betty Byrne sells lemon platt and "the wild rose blossoms / On the little green place." There are singing and dancing and tenderness.

There is a good reason why Joyce began his spiritual autobiography in the age of innocence and with this sense of pleasure and comfort and security. It seems important for him to stress the fact that Stephen was a happy child by nature and might have developed happily and harmoniously if the world had only let him. But the world would not. A great deal of the Portrait is taken up with the account of the knocks and bruises that young Stephen received from his surroundings, the disappointments and disillusionments, the sordid realities that took such an unfair advantage of a spirit whose only fault was being too sensitive. There were the pandying at school, the quarrels at home, the bankruptcy of his father, the horrified fascination with the revelations of his own body, and much else.

The whole emphasis is on external guilt and subjective

* This paper has been written for rating after the course given by Professor Thomas LaBorie Burns: Seminário de Vida, Literatura e Pensamento de uma época: Joyce e a Literatura Irlandesa.

innocence. We are made to feel that even Stephen's self reproaches are due only to a cruel illusion of personal guilt imposed on him by his education, and to no real or innate wickedness. The portrait of the artist as it emerges shows a temperament determined by the buffetings of the world and by its selfprotection against them.

We may very well question this emphasis. Stephen's temperament and outlook could not be explained by his experiences alone. But we need not go too deeply into the problem of heredity versus environment, nor have we the means to do so. It seems clear enough that there was a period of childhood contentment which might have stamped the developing character more enduringly if the boy's history had been different.

A Portrait of the Artist as a Young Man and Stephen Hero give many instances of Stephen as being, at least outwardly, a docile child, who accepted the injunctions of his parents and the instruction of his Jesuit teachers without much questioning. His attitude to authority was at first predominantly acquiescent, and his inclinations, on the whole, were pacific and conciliatory.

Thus, at Belvedere College he was ragged by three classmates, and some time afterwards was surprised to find that "he bore no malice now to those who had tormented him. He had forgotten a whit of their cowardice and cruelty but the memory of it called forth no anger from him."¹ Then he was sent for in a peremptory way, and his friend Heron said he ought to take his time in order to demonstrate his independence. But "this spirit of quarrelsome comradeship which he had observed lately in his rival had not seduced Stephen from his habits of quiet obedience. He mistrusted the turbulence and doubted the sincerity of such comradeship

which seemed to him a sorry anticipation of manhood."² Incidentally, he reveals here that his docility was not just timidity. It was a conscious and reasoned attitude, that of an already maturing mind able to distinguish between the important and the trifling.

He did not always forget his chagrins, however, as is clearly proved by the pandying episode, which is still remembered in Ulysses. Very likely he was set somewhat apart from his companions by his enjoyment of learning. Teachers were not, as to many other boys, his natural enemies. But precisely for that reason they aroused his indignation if he found them unjust or malicious. His companions he could afford to ignore, feeling superior to them, and having learnt to put his trust in intellectual rather than physical activity. His teachers he could not just ignore. He bowed to their authority as long as his intellect agreed. After that he still went through the gestures of acquiescence for some time, but his mind was free.

In Stephen as a young man, in Ulysses, there remained a sort of meekness, particularly noticeable in his relations with the domineering Buck Mulligan which can be considered unnatural that covered a tumult of protest. Stephen seems to have developed a way of retaliation other than direct recrimination. He avenged himself in his works, where he could chastise whom he pleased. That is probably what he meant when he determined to make his weapons "silence, exile, and cunning."³

Possibly the dutiful Eveline in the story of that name, and an extremely meek character, Leopold Bloom, represent to some extent, Joyce's realisation of what, under different circumstances, he might have become. But the belligerency of his character was brought out by humiliations and worries,

and he became a man of fierce intransigence.

There are some people who may seem obedient enough where obedience is due but who are really intensely independent and obstinate; they simply reserve their opinions because they do not wish (and in some cases do not dare) to enter into an argument or become too intimate with other people. Their docility may be essentially a kind of superiority. A moment's reflection will show us that Joyce was not really spiritually obedient. He belonged to the type of people with whom reserve is the curbing factor.

This mixture of meekness and stubbornness is only one of the ambiguities involved in Joyce's work, ambiguity being one of his qualities as an author. And in particular nothing could be more ambiguous than his emotional attitudes to his parents, his church and his country, the three powers that represent his home, physically and spiritually, which exercised simultaneous attraction and repulsion over Joyce. But it is important to remember that ambivalence of emotions does not mean indifference. On the contrary, it is quite consistent with the powerful sway of that object over one's passions. A particular emotion can quite well exist and be denied at the same time. Such a situation obviously causes acute tensions of the spirit, and that is precisely what can be found in James Joyce. We shall see that Joyce's double attitudes of rejection and retention are characteristic of some of the major aspects of his writing.

Joyce's books often deal with friendship, love and marriage. But he seems to have had very little faith in friendship, which is almost uniformly shown to be treacherous; and the love theme is remarkably less prominent in the Portrait and Ulysses than in the earlier Stephen Hero. As for the relation of husband and wife, it is the subject of an

unconvincing play and appears in Ulysses as a "marriage manqué". Compared with these relationships, those of father and son and mother and son seem to have engaged the author far more intimately.

In the Portrait, Stephen was surrounded, from infancy, by the idea of fatherhood. There was not only Simon Dedalus but there were the Jesuit fathers, and on another level, God the heavenly father. His filial position could not have been more strongly impressed upon him. So strong were his filial connections that they served to isolate him from other children: "All the boys seemed to him very strange. They all had fathers and mothers and different clothes and voices."⁴ Those who had other parents could only be strangers to him.

While Stephen was acutely aware of himself as a son, both physically and spiritually, the idea of the father tended to become more and more abstract. This does not mean that it became less vivid, for Stephen had a natural aptitude for abstraction. But Simon Dedalus certainly recedes into the background as we progress from Stephen Hero to the Portrait and from the Portrait to Ulysses. James Joyce's emotional detachment from his real father may have been to blame. John Stanislaus Joyce was probably a charming and entertaining companion to his friends, but he could not have been a very impressive personality to anybody who was dependent on him, least of all to a critical son. Stephen Hero has only bitterness for a Mr. Dedalus who cherishes a fatuous and purely egoistic hope that his home affairs will right themselves "in some divine manner" through the agency of his son. In the Portrait Stephen defines his father vaguely as a little of everything and not much of anything:

A medical student, an oarsman, a tenor, an amateur actor, a shouting politician, a small landlord, a small investor, a drinker, a good fellow, a storyteller, somebody's secretary, something in a distillery, a taxgatherer, a bankrupt and at present a praiser of his own past.⁵

The author's attitude to Mr. Dedalus in the Portrait does not seem to be without affection. Yet his affection was undoubtedly mixed with contempt, for the reign of John Stanislaus was friendly but thriftless. And Stephen's fond thoughts of his father are quickly eclipsed in moments of gravity by those of his mother. So, in a revealing passage, are those of Richard Rowan in Exiles. Richard's father is dead, but Richard gazes at a drawing of him and says "calmly, almost gaily," "He will help me, perhaps, my smiling handsome father." A knock is heard at the hall door, whereupon Richard exclaims suddenly, "No, no. Not the smiler, Miss Justice. The old mother. It is her spirit I need."⁶

The idea of motherhood is much more concretely real to Joyce than that of fatherhood and at least equally obsessive. It is represented variously by May Dedalus (or Mary Jane Joyce), mother Ireland, the mother Church and the mother of Jesus. Joyce seems to have been very intimately attached to his mother and altogether very responsive to the maternal in woman. Harry Levin says that Joyce's heroes are sons and lovers at the same time and his heroines are always maternal.

Stephen's earliest memories were quite naturally connected with his parents. And his mother was singled out from all other people. "His mother had a nicer smell than his father,"⁷ "His mother had told him not to speak with the rough boys in

the college. Nice mother!"⁸

His love of his mother probably took its strength from his dependence upon her as a refuge and sanctuary established for his benefit while he needed her. "He longed to be at home and lay his head on his mother's lap."⁹ And he demanded that she be loyal to him without imposing a complementary obligation on himself. When his friend Cranly asked him whether he loved his mother, he answered, "I don't know what your words mean;" and it was left to Cranly to pay tribute to motherhood:

Whatever else is unsure in this stinking dunghill
of a world a mother's love is not. Your mother
brings you into the world, carries you first in
her body. What do we know about what she feels?
But whatever she feels, it, at least, must be
real.¹⁰

Actually, Cranly gave utterance to what was already becoming an obsession with Stephen. In Ulysses we find him asking himself that very question about a mother's love, "Was that then real? The only true thing in life?" And what about a son's love for his mother? — for "amor matris" was both "subjective and objective genitive."¹¹

It is no easier for us than for Stephen to determine whether he loved his mother with more than a purely egoistic love. From Stephen's later torments we are led to suppose that either he did not really feel affection for her and reproached himself for his inability to reciprocate her love of him, or he loved her and was tortured by the idea of hurting her by abandoning her faith. Possible both explanations are right, by the illogicality of human emotions.

The relationship was complicated by its associations.

Parallel to Stephen's strong emotional attachment to his mother ran the awareness of the Virgin Mary. This was especially intense after he had sinned sexually. "His sin, which had covered him from the sight of God, had led him nearer to the refuge of sinners."¹² Aesthetically, too, he was attracted to the cult of the Virgin, which was obviously one of the things that tied him most powerfully to the Church and to the Catholic faith. "The glories of Mary held his soul captive ..."¹³

From the age of six and a half to the age of twenty, Joyce, as well as Stephen, attended Jesuit schools and a Jesuit university: Clongowes Wood College, Belvedere College, Dublin, and University College, Dublin. Thus he received his education from the representatives of a keen proselytic order. He took part in the religious ceremonies and observances of his schools. He became a prefect of the sodality of the Virgin Mary and at the climax of his religious development at Belvedere, was asked to consider entering the Society of Jesus.

The Jesuits are regarded as excelling both in discipline and in tact, and till he was sixteen Stephen accepted their teaching without too much difficulty. "His masters, even when they had not attracted him, had seemed to him always intelligent and serious priests, athletic and high-spirited prefects."¹⁴ He sometimes doubted their statements, but he would have thought it presumptuous to doubt openly.

In the Roman Catholic faith Joyce apparently found so many avenues of approach to religion and so many easy stages in it that belief did not appear an impossible proposition. If the idea of God was too difficult, there was Mary, and there were the saints to think of and to turn to. And if words were austere to the intellect, they were voluptuous to the ear.

First and foremost, of course, religion filled the place

accorded consciously or unconsciously by most human beings, perhaps by all, to the mysterious and the supernatural. Secondly, it gave a sense of security against real and imagined fears, as when Stephen "heard the voice of the prefect of the chapel saying the last prayer."¹⁵ And, thirdly religion was drilled into the boys until it existed in their lives as a "fait accompli." God was the great and ultimate reality, whose presence the boys were made to see behind everything, and before whom they were taught to stand in veneration and awe.

It would be wrong to suppose that Joyce was scared into belief by sermons on hell and the fear of eternal torment. There is too much to prove the positive attractions that Catholicism held for him. He certainly must have heard fire-and-brimstone sermons that made a profound impression on him, partly because they struck terror into his soul, partly, because they also appealed to the imaginative artist in him. But what occupied his imagination most constantly was the idea of the sacred. His innermost being seemed to be fascinated by the mysteries embodied in and guarded by the Church.

Joyce's aesthetic sense and sensibility were as ravenous as they were delicate. They seem to have developed out of his acute perception of and response to sensations, especially perhaps those of sound and smell. Now, obviously there is in Roman Catholic religious practice much that will appeal to a sensitive lad, avid for impressions of beauty and, in a complementary way, for experiences of ugliness and horror. The legends and symbols, the vestments of mauve and gold, the incense and candles, above all the chants and responses held the boy in a spell from which we can safely assert that he never really freed himself. In picturesque terms Joyce renders Stephen's thoughts of -

the unseen Paraclete, Whose symbols were a dove and a mighty wind, to sin against Whom was a sin beyond forgiveness, the eternal mysterious secret Being to Whom, as God, the priests offered up mass once a year, robed in the scarlet of the tongues of fire.

The imagery through which the nature of kinship of the Three Persons of the Trinity were darkly shadowed forth in the books of devotion which he read ... were easier of acceptance by his mind by reason of their august incomprehensibility than was the simple fact that God had loved his soul from all eternity, for ages before he had been born into the world, for ages before the world itself had existed.¹⁶

The passage indicates the artist, who wishes to admire rather than to understand. And it indicates the priest, who wishes to worship rather than to understand. With Joyce the priest and the artist were fundamentally the same person, and the main duties of the priest as he saw them were those that were carried out in artistic form.

He had seen himself, a young and silentmannered priest entering a confessional swiftly, ascending the altarsteps, incensing, genuflecting, accomplishing the vague acts of the priesthood which pleased him by reason of their semblance of reality and their distance from it ... He longed for the minor sacred offices, to be vested with the tunicle of the subdeacon at high mass, to stand aloof from the altar, forgotten by the people,

his shoulders covered with a humeral veil, holding the paten within its folds or, when the sacrifice had been accomplished, to stand as deacon in a dalmatic of cloth of gold on the step below the celebrant, his hands joined and his face towards the people, and singing the chant "Ite missa est."¹⁷

There is hardly reference at all, in Joyce's books, to the social and humanitarian obligations of priesthood; though there is a clear recognition of the austerities with which the Church counterbalanced her indulgence in softness and splendour, and which utilitarian principles are lost to view. A savage witchdoctor has a more utilitarian attitude, for at least he thinks he tries to cure disease or to secure good hunting. Yet there is in Joyce, too, something impervious to rational activity. The symbolical gestures and vestments, the phenomena of ecstasy, the abundant paraphernalia of worship are common features of magic. Leopold Bloom, watching the communion service in All Hallows Church, definitely sees it as a magic rite: "Shut your eyes and open your mouth. What? 'Corpus,' Body. Corpse. Good idea the Latin. Stupefies them first."¹⁸

More obviously than the modern priest the magician possesses immediate power. And the ambition to wield a supernatural influence was very strong in Stephen. "How often had he seen himself as a priest wielding calmly and humbly the awful power of which angels and saints stood in reverence!"¹⁹ Everything goes to prove his continued belief in the reality of that power, long after he had repudiated the angels and the saints.

Joyce's attachment to his family and his church and his subsequent detachment from them are paralleled by his

attitudes to his geographical surroundings. He does not say much about Dublin or Ireland in the early parts of the Portrait, but he does indicate that after a very brief period of enchantment, Dublin began to repel him.

We must remember that he moved with his family from the attractive suburb of Blackrock, where the road led off to the mountains, where he walked with his great-uncle and where he was allowed to make the rounds at night in the adventurous chariot of the milkman. He was only about ten at the time, and very impressionable; and the removal to Dublin remained stamped on his memory together with the sordid associations of his father's bankruptcy which necessitated it.

He was always a great explorer, spiritually, sensually and locally; and he now explored the streets of Dublin as he was later to explore the doctrines of the Church and the sensations and smells of his body.

And amid this new butling life he might have fancied himself in another Marseilles but that he missed the bright sky and the sunwarmed trellises of the wineshops. A vague dissatisfaction grew up within him as he looked on the quays and on the river and on the lowering skies and yet he continued to wander up and down, day after day as if he really sought someone that eluded him.

Marseilles and the "someone that eluded him" are references to The Count of Monte Cristo and to the ideal world of romance which Stephen was seeking about him. He did not find it in Dublin, and in a full and positive sense he never learned to feel at home in the Irish capital. Nevertheless he continued to roam its streets and record every sight and sound and smell

that met his senses. And in time Joyce must have developed the affection which is bred by familiarity and inescapable association even when the object is unattractive, even when, side by side with the affection, there lingers a deeper and primary repulsion.

Joyce was not devoid of patriotism. Numerous pieces of description show his fondness for Irish scenery, as well as his disgust with certain of its man-made aspects. He obviously took a real interest in the ancient myths and the history of his country and drew upon them extensively. He scorned the thriftless patriotism of his father or of such as Michael Cusack and the Catholic patriotism of the Gaelic League. But he felt himself to be an Irishman, and, next to his art, his main preoccupation seems always to have been the cultural state of his country. Ireland might suffer from cerebral paralysis, but professor MacLugh was possibly right in thinking that the Irish, like the Jews and the Greeks, were the heirs of spiritual values unknown to the materialistic mentality of the Egyptians, Romans or English.²⁰

Dublin always remained the real home to Joyce and the geographical centre of his imaginative world, in spite of his absence from it. His absence was an exile. In the same way, his family and his church remained home to him, and absence from them was exile. It is impossible to ignore the strength of the attachment to them that was formed in childhood and early youth. His sallies against them in the Portrait spring from vexations of a son who cannot deny his origins.

We must consider that Joyce wrote his books in retrospect and trying to show how an originally pacific disposition was gradually embittered by events beyond his own control, and how a young lad was alienated from his city, from his family, and last of all from his religion. It was natural

that he should bring into prominence the events and emotions that explained this development, whilst perhaps omitting a good deal that would emphasise his loyalty.

On the whole, it is probably true that to young Joyce, before puberty and self-searching had activated his revolt, his home and his church gave satisfaction and adequate encouragement, whilst his country and his city at least did not seem too oppressive. Had certain things been different he might have followed his original inclination and become either an opera singer or a priest among his countryman. Failing that, he might have taken refuge in the neutral territory of medicine, as he sought refuge during two wars in neutral Switzerland. But the faith and emotional habits of childhood were too deeply ingrained to be simply shaken off. Besides, Joyce was a puritan, almost fanatic, in his idealism; as puritan and fanatical, perhaps, as Richard Rowan in his play, who wished to explore the utmost limits of freedom and of love. With Joyce there was no compromise. There had to be either acceptance or revolt. The balance tipped to the side of revolt; and a change began in which nothing was quite effaced. Home and exile became the two great poles of his life and of his authorship.

He denied Dublin and became a cosmopolitan — but he was Dublin haunted. He denied his family and became pseudonymus in his account of himself — but he was parent-haunted. He denied God and became in his art, and seemingly in his consciousness of himself as an artist, a rival god, or a Lucifer — but he was almost pathetically God-haunted.

NOTES

¹ James Joyce, "A Portrait of the Artist as a Young Man," in The Essential James Joyce (London: Granada Publishing Ltd., 1981). p. 235.

² Joyce, Portrait, p. 236.

³ Joyce, Portrait, p. 361.

⁴ Joyce, Portrait, p. 181.

⁵ Joyce, Portrait, p. 356.

⁶ James Joyce, "Exiles," in The Essential James Joyce (London: Granada Publishing Ltd., 1981). p. 375.

⁷ Joyce, Portrait, p. 176.

⁸ Joyce, Portrait, p. 178.

⁹ Joyce, Portrait, p. 181.

¹⁰ Joyce, Portrait, pp. 356-7.

¹¹ James Joyce, Ulysses (Harmondsworth, Middlesex: Penguin Books, 1982).

¹² Joyce, Portrait, p. 252.

¹³ Joyce, Portrait, p. 252.

¹⁴ Joyce, Portrait, p. 291.

¹⁵ Joyce, Portrait, p. 284.

- 16 Joyce, Portrait, pp. 285-6.
- 17 Joyce, Portrait, p. 293.
- 18 Joyce, Ulysses, p. 82.
- 19 Joyce, Portrait, p. 293.
- 20 Joyce, Ulysses, pp. 132, 143.

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ROME IN HAWTHORNE'S FRENCH AND ITALIAN NOTEBOOKS
AND IN THE MARBLE FAUN

Regina M. Przybycien

- UFOP -

In comparing Hawthorne's The Marble Faun with his French and Italian Notebooks, I have two purposes in mind: the first is to look at the author's impressions of Rome (its scenery, its art, and its religion) as he presents them in the Notebooks and incorporates them in the novel; the second purpose is to evaluate Hawthorne's effectiveness in using the Roman background for his story in The Marble Faun.

When Hawthorne goes to Italy in 1858, he is fifty-four years old. His most significant works are all written and his views on art and morality are deeply set. Therefore, it is with his New England Puritan background that he is going to judge the works of art and the Roman character. On the other hand, sharing with his contemporaries an admiration for the classical tradition, Hawthorne is specially fascinated by the prospect of visiting that cradle of the classical culture that is Rome. His Notebooks indicate that he arrives in Italy full of anticipation to unfold the mysteries of the Roman past. During his whole stay in Italy (one and a half year), he tries to recapture that past in the ruins and decadence of modern Rome, a very difficult task, as he soon finds out, because the present usually appalls him. In fact, much of the Roman glamour disappears as soon as Hawthorne arrives at the city. In the Notebooks he describes the dirty and dangerous streets, the shabby and cold houses, the strange

mixture of ancient art and the most prosaic contemporary activities in the Roman scene:

The first observation which a stranger is led to make, in the neighborhood of Roman ruins, is that the inhabitants seem to be strangely addicted to the washing of clothes; for all the precincts of Trajan's Forum, and of the Roman Forum, and wherever else an iron railing affords opportunity to hang them, were whitened with sheets, and other linen and cotton, drying in the sun.

Another aspect of Rome which shocks Hawthorne's Puritan mind is the dishonesty of its people, specially of the people occupying official positions, like the custom-house officers, who seem to consider a matter of course that the tourists should give them bribes.

Disillusioned with his experiences, Hawthorne concludes his first notes about Rome with a melancholy tone: "And this is sunny Italy and genial Rome."²

These discouraging first impressions are heightening during his whole stay in Italy due to frequent sicknesses in his family — his own and specially his daughter's, who gets the Roman fever and almost dies of it. The mixture of fascination for the past and distaste for the present pervades the descriptions of Rome in the Notebooks, and the same mixed feelings are transferred to the characters in The Marble Faun.

During his whole stay in Italy, Hawthorne never ceases to be a tourist. Pilgrimages to historical places, art galleries, and churches constitute his daily routine. Being unable to speak the language, he never really gets to know the Italians, and therefore, is not interested in their lives. Several times

in the Notebooks and in the novel he mentions with a certain impatience the annoying crowds of beggars who infest the Roman streets everywhere; however, he does not try to explain their existence, but regards them with the eyes of his New England puritanism for which beggary is a sin. Likewise, he constantly refers to the presence of French soldiers in Rome without mentioning the political and social problems which are shaking Italy during these troublesome years of the war for unification. Hawthorne remains an outsider, and the only people with whom he relates are the American and English artists who live in Rome. From the world of these artists he picks up the material for his scenery and characterization in the novel.

Hawthorne's feelings about art are also mixed. He dutifully visits every museum, every palace and art gallery, and every church he thinks represent that old Rome he tries to recapture. His views, however, are very provincial. He soon discovers he has no taste for the artists of the Renaissance. Michelangelo, Raphael, Rubens, and the other masters fail to move him. He prefers the works of the contemporary American artists who live in Rome to those of the old Italian school. He calls the pictures of the Renaissance "grim masterpieces," and in a passage that Mrs. Hawthorne deleted from the Notebooks when she published them, he adds, "There is something forced, if not feigned, in our tastes for pictures of the old Italian school."²

Similarly, he finds the Roman ruins ugly as compared to the English: "Whatever beauty there may be in a Roman ruin is the remnant of what was beautiful originally; whereas an English ruin is more beautiful often in its decay than even it was in its primal strength."³

A picture of the Renaissance which does exert a special

fascination to Hawthorne is Guido Reni's "Beatrice Cenci". Although it has never been proved that the portrait is of Beatrice, it attracted many people in the nineteenth-century who, unquestionably, had heard the story of the Cenci's incest. Hawthorne obviously knew the story, as he indicates in his Notebooks. As Robert L. White suggests, he probably learned it from Shelley's verse drama The Cenci.⁴ Hawthorne recognizes that the attraction of the picture lies in its legend:

I wish, however, it were possible for some spectator, of deep sensibility, to see the picture without knowing anything of its subject or history; for, no doubt, we bring all our knowledge of the Cenci tragedy to the interpretation of it.⁵

The idea of Beatrice's corrupting innocence so fascinates Hawthorne that he decides to use it as an underlying theme in his portrayal of Miriam in The Marble Faun. He makes Hilda describe Beatrice in the novel as "a fallen angel, fallen, and yet sinless."⁶

But it is the classical sculpture which catches Hawthorne's attention more than any other work of art because it relates him to that antiquity he vainly tries to capture in Rome. Visiting the Capitol, he lingers in front of the busts of the old Romans thinking that "These stone people have stood face to face with Caesar, and all the other emperors, ... and have been to them like their reflections in a mirror."⁷ In the Capitol he also sees Praxiteles' statue of the marble faun which inspires him to write the romance. His entry in the notebook that day reads:

It seems to me that a story, with all sorts of fun and pathos in it, might be contrived on the idea of their [the fauns'] species having become intermingled with the human race; a family with the faun blood in them having prolonged itself from the classic era till our own days.⁸

This becomes the embryonic plot of The Marble Faun. The human faun is the character Donatello.

One of the things which deeply impresses Hawthorne in Rome is Catholicism. Certain aspects of the Catholic devotion, specially individual prayers and confession, appeal to him. Commenting on the way the Italians pray, he writes: "Unlike the worshippers in our own churches, each individual here seems to do his own individual acts of devotion, and I cannot but think it better so than to make an effort for united prayer as we do."⁹ In The Marble Faun he makes Hilda, a New England Puritan girl, seek the comfort of the confessional for her troubled soul. That Hawthorne was deeply impressed by the rituals and the icons of the Catholic Church we have enough evidence in the numerous passages that he dedicates to them in the Notebooks, and in the long discussions his characters have about them in The Marble Faun. Furthermore, even though Hawthorne himself is too old to be influenced by Roman Catholicism more than to a general curiosity concerning its external forms, it does have an impact on his family: his youngest daughter Rose becomes a Catholic nun. Later in her life, she works with the victims of cancer in the slums of New York City and starts an organization which becomes a religious order - the Servants of Relief of Incurable Cancer, a Dominican Third Order.¹⁰

On the other hand, some of Hawthorne's reactions to the

Catholic Church are typical of someone with his Puritan background. His narrative is pervaded with an extreme dislike for the clergy and specially for monks. He describes these as dirty and sensuous. The light way in which the Italians take their religion also appalls him. He comments on the strange mixture of business, sport and religion in the Roman scene, and on the way people kneel down and pray "between two fits of merriment, or between two sins."

Like Rome itself, Catholicism seems to Hawthorne full of contradictions, and he feels attracted and repulsed by it. He thinks the Catholics have rituals which help them relieve the burden of sin, while the Protestants have to bear that burden alone. Nevertheless, Catholicism as an institution partakes of the corruption of Rome — like the city, it had its moments of glory which are now gone forever.

It remains for us to analyze how Hawthorne utilizes the Roman background in the design of The Marble Faun. Like most of his previous works, this romance deals with a recurrent theme in Hawthorne: the Fall of man and its consequences. If we have any doubts about the author's intentions in creating the story, we have only to quote one of Miriam's sentences in the novel: "The story of the Fall of Man! Is it not repeated in our romance of Mount Beni?" (p. 434) In fact it is, and with suggestions that Hawthorne never dared have before.

In his preface, Hawthorne tries to explain why he chose Italy as the scene of the romance:

Italy as the site of his Romance, was chiefly valuable to him [the author] as affording a sort of poetic fairy precinct, where actualities would not be so terribly insisted upon, as they are, and must needs be, in America. (p. 3)

Hence, freedom from actualities was one of his reasons for conceiving the story in Rome. The main reason, however, is closely related to the theme. Hawthorne not only repeats his favorite theme in The Marble Faun but makes an association between it and the history of Rome. In his creation of Donatello, the author conceives a legend by which this character's ancestry has a kinship with the fauns of antiquity. Donatello, therefore, has a double nature: he is Man and Faun. The characteristics of the faun are innocence, absence of pain, and a total unawareness of evil, characteristics which identify him with the primeval man, or Adam. Thus, Hawthorne associates the classical era with the Golden Age. The man in Donatello, who arises after he commits murder and becomes aware of his sin, is the postlapsarian man of the Christian era, a man with a conscience and an ability to determine his own destiny. In Roman mythology, the fauns were deities who followed Dionysus, the god of wine. Thus, symbolically, the story of The Marble Faun is the story of the struggle of the pagan god Dionysus with the god of Christianity. In the supreme moment when Donatello kills a man and becomes conscious of his sin, the pagan god is dead, and the new man is born.

The idea of the awakening of a conscience in its struggle with evil seems particularly fascinating to Hawthorne, and in this romance, it acquires a new dimension which he did not dare pursue in his previous works.

In the beginning of the story, Donatello, who physically resembles the faun of Praxiteles, is a man without a conscience. He acts as impulsively and as innocently as a child and is unaware of evil or suffering. All things related to him remind us of Arcadia: the castle of his ancestors in the campagna, his ability to communicate with the animal world,

the wine produced in Monte Beni, which has a divine flavor and is called "Sunshine." The author insists on the associations between Donatello and the faun even to the point of making Kenyon, the American artist in the romance, exclaim about the Monte Beni wine: "This is surely the wine of the Golden Age, such as Bacchus himself first taught mankind to press from the choicest of his grapes." (p. 224) It is when he kills Miriam's model that Donatello changes. His act is like the Fall of Man from primeval innocence to knowledge. The author reinforces the similarity through Miriam's words: "Yes, Donatello, you speak the truth!" said she. "My heart consented to what you did. We two slew yonder wretch. The deed knots us together for time and eternity, like the coil of a serpent!" (p. 174) Thus, Donatello acquires the consciousness of evil, and the pagan god in him is dead. By this great metaphor of the death of the faun, Hawthorne intends to introduce a new, more daring conception of the Fall: he suggests that sin and pain are somehow necessary for man to become complete. Instead of a curse, the Fall becomes a blessing to mankind. This suggestion he puts into Miriam's words when she talks with Kenyon about Donatello's transformation:

Is he not beautiful? ... So changed, yet still, in a deeper sense, so much the same! He has travelled in a circle, as all things heavenly and earthly do, and now comes back to his original self, with an inestimable treasure of improvement won from an experience of pain ... Was the crime — in which he and I were wedded — was it a blessing in that strange disguise? Was it a means of education, bringing a simple and imperfect nature to a point of feeling and intelligence, which it could have reached under no other discipline?" (p. 434)

Miriam's questions seem to be Hawthorne's questions as well. His attempt to reformulate the story of the Fall and the concept of sin is, no doubt, a daring thesis, and he knows it. Because he knows it, he does not dare pursue the subject too far. It is Kenyon who has the last word in the discussion with Miriam, and he unquestionably reflects the author's own doubts and fears: "You stir up deep and perilous matter, Miriam," replied Kenyon. "I dare not follow you into the unfathomable abysses, whither you are tending." (p. 434)

Nonetheless, the question of good and evil is no longer so clearly cut out as in Hawthorne's early works. Somehow, there is a reconciliation between the characters and this mixture of good and evil which is everywhere present in Rome. The acquisition of knowledge and experience is no longer totally destructive as it was in "Young Goodman Brown." Yet, these rather un-puritan theories are very contradictory in the book, and the writer's proposition remains unresolved.

Hawthorne's inability to deal with his theme is one of the problems of The Marble Faun. Is Donatello's metamorphosis from innocent faun to conscious human being through a murder good or bad, moral or immoral? The novel does not say, probably because the author does not know.

In addition, the idea of relating classical Rome to the Garden of Eden and modern Rome to Christianity and symbolically incorporating both in Donatello seems too ambitious a project for Hawthorne to handle effectively. Donatello's murder, we are told, includes him in the brotherhood of sinners who, for centuries, have corrupted and stained the streets of Rome. His acquired humanity makes him partake of the legacy of human sin. It is Miriam, again, who gives us a vision of this heritage: "It is a terrible thought, that an individual wrong-doing melts into the great mass of human crime, and

makes us — who dreamed only of our little separate sin — makes us guilty of the whole." (p. 177) Thus, Donatello's crime is linked with all the crimes of old and modern Rome.

Like Donatello, Rome has a double nature. It contains an innocent, prelapsarian past, related to Arcadia, where fauns and nymphs played in the woods and Bacchus made his wine from divine grapes. But it also contains a present corrupted by the sins of many generations and heavy with the burden of many deaths. A reflection of Hawthorne's puritanism in the Roman scene he describes is his association of corruption and moral decay with sickness and physical decay. Thus, Rome is an unwholesome city, cold in the winter and plagued by malaria in the summer. In the story, modern Rome is a diseased city as compared to its glorious past; for example, after Miriam and Donatello dance in the woods like a nymph and a faun, they are suddenly thrown into Rome's present reality:

Just an instant before, it was Arcadia, and the Golden Age. The spell being broken, it was now only that old tract of pleasure-ground, close by the people's gate of Rome; a tract where the crimes and calamities of ages, the many battles, blood recklessly poured out, and deaths of myriads, have corrupted all the soil, creating an influence that makes the air deadly to human lungs. (p. 90)

This association of the present with moral and physical decay constitutes a problem in relation to the theme. If the Roman scene is to be taken symbolically (and we are told it is), how can we conciliate the theme of the fortunate Fall and Donatello's moral growth with this grim description of modern

Rome? If modern Rome is the "better civilization of Christianity" in which man acquires a moral conscience that he did not possess in Arcadia, then it should have something more than the heavy burden of past and present sins. Hawthorne's ineffectiveness in relating Rome to his theme is due to several causes, of which I think three are the most important.

First, he leaves the question of the fortunate Fall unresolved. He does suggest that the Fall was necessary and that primeval innocence is an unenviable form of innocence. Yet, since this assumption brings all sorts of philosophical and theological implications which Hawthorne cannot cope with, he leaves further speculations to the reader and ends the question with Kenyon's remark: "Mortal man has no right to tread on the ground where you now set your feet!" (p. 435)

The second problem of the novel is that it is difficult to associate the Roman background with the theme because the author's feelings toward Rome are contradictory. We saw, in the beginning of this paper, some of the causes for such feelings: personal problems, sickness, disillusionment with the much anticipated visit to the Roman ruins and art treasures. At the same time, the thought that so many generations came and passed through that site is overwhelming, specially for an American who frequently complains of the lack of history and tradition in the American soil, which has just "a common place prosperity." Hawthorne justifies his use of the Roman landscape in the preface of the book, where he writes that "Romance and poetry, like ivy, lichens, and wall-flowers need Ruin to make them grow." (p. 3) But because he feels repulsion for these ruins, because they are ugly, old, and broken instead of splendid as he envisioned them in his dream, he has all kinds of mixed feelings about them, and he projects these feelings into his characters. It seems

that Hawthorne has a fierce battle with Rome, and that we do not know who wins the battle.

The third problem in The Marble Faun has often been pointed out by several critics. It is the incredible amount of details which Hawthorne puts into the romance, most of them taken directly from his Notebooks. Harry Arader mentions that more than three hundred passages of various lengths have been directly copied from the Notebooks. He calls the story "a kind of eclectic pastiche of their [the Notebooks'] material."¹¹ Another critic, Pérez Gallego, argues that the writer regarded his romance as a kind of museum where every beautiful piece has its place.¹² Both critics, of course, are right in their evaluation. The excessive details, the long descriptions of the Roman scenes, ruins, art galleries, churches, and museums not only are tiresome, but they considerably weaken the story. Among so many details, the story of Donatello is just another additional fact, and The Marble Faun becomes what it has been taken for since its publication: a sort of travelogue of Rome, much to Hawthorne's indignation because he considered it his best book. However, the main reason why the book is a failure is the transposition of the dichotomy of good and evil to a Roman background. While the distinctive line between good and evil is clearly and visibly cut in a New England village, it becomes quite another matter in the thousands of years of Roman history. Therefore, while Hawthorne was effective in dealing with this dichotomy in his homeland, he fails to convey it in Rome. As a result, his characters lack a perspective and an identity. Each one in turn conveys the author's thoughts exactly as he recorded them in the Notebooks. The romance becomes a dialogue between the author and the reader, the author trying to justify his reasons for thinking the way he does.

In the last analysis, Hawthorne's Roman experience does not change him much. As an American in quest for identity in the old Continent, he regards everything with his puritan morality. Although he makes an effort to understand all the mixtures of the Roman scene, his simple existence of an American Adam prevents him from appreciating the contradictions of that much older civilization in Italy. He tries hard to grasp the meaning of those contradictions, but the experience is too painful, so he decides to return to America before his years in exile could unsettle him. He recognizes the danger of becoming an expatriate, which makes a man lose his identity.

NOTES

¹ Nathaniel Hawthorne, Passages from the French and Italian Notebooks (Boston and New York: Houghton Mifflin Co., 1883), p. 84.

² *ibid*, p. 56.

³ *ibid*, p. 61.

⁴ Robert L. White, "Rappaccini's Daughter", The Cenci and the Cenci Legend, Studi Americani, 14, (1968), 63-86.

⁵ Notebooks, p. 90.

⁶ Nathaniel Hawthorne, The Marble Faun, ed. William Charvat et al. (Columbus: Ohio State University Press, 1968), p. 66. All other references to this book have their page numbers given in the body of the text.

⁷ Notebooks, p. 155.

⁸ *ibid*, pp. 172-73.

⁹ *ibid*, p. 95.

¹⁰ Harry Arader, American Novelists in Italy: Hawthorne, Howells, James and Crawford, Diss. (Ann Harbor: University Microfilms, 1953), p. 36.

¹¹ *ibid*, p. 739.

¹² Cándido Pérez Gállego, "Los Prólogos de Nathaniel Hawthorne a sus novelas." Revista de Literatura, 29 (1966), p. 119.

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EFL TEACHING APPROACHES AND THE ROLE OF READING*

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1. Preliminary Remarks

This paper makes a survey of some theoretical issues related to the scientific study of language and their influence on FL teaching methods. We will lean towards historical and interdisciplinary matters by fitting the teaching of reading within the broader context of second language teaching. We will discuss some important issues - linguistic, psycholinguistic, sociolinguistic - and use them as frameworks to explain the evolution second language teaching has undergone - from a mechanistic approach to a more mentalistic one. This means that language teaching has shifted from a view of language as an automatic phenomenon to a thinking one. In our diachronic orientation - from the 40s and 50s to our days - we mean to show that language teaching has shifted from a formalistic orientation with particular emphasis on language structure to a more communicative one with a primary concern with the communicative features of language.

Attention will be restricted only to the major and more

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recent trends in language teaching since this does not mean to be an exhaustive survey. Therefore, no reference will be made to the grammar-translation method. Neither will we make reference to sub-trends such as situational and notional syllabuses.

2. Structuralist Linguistics and Behaviorist Psychology

Let us begin by presenting some tenets of Behaviorism – a school of psychology which establishes the psychological rationale for Structuralist Linguistics. Behaviorist Psychology and Structuralist Linguistics, in turn, provide the rationale behind the so-called audio-visual and audio-lingual methods for the teaching of languages. The main assumption in Behaviorism is that observed behavior provides the only valid data in psychology; it rejects concepts such as consciousness, introspection, and intuition because they are subjective and unmeasurable. Behaviorists are committed to what can be observed, measured, and manipulated experimentally. On the other hand, the privateness of mental processes make behaviorists assert that these experiences are not reasonable topics for scientific study. Behavior they say, "is to be analyzed into a set of responses that are assumed to be governed by stimulus conditions in the environment."¹ In a behaviorist view, the process of learning is seen as the establishment of associations or bonds between stimuli and responses – little or nothing is said about the complex reasoning processes which are an integral part of any kind of learning. In the attempt to explain human learning, behaviorists thus adopt a strict empirical position: observable and measurable behavior is the only data concerning them.

Leaning heavily on the fundamental assumptions of behaviorist theories, the structuralist linguist sets forth his goal the objective description of languages, leaving out consideration thinking and value judgements. For the structuralist, language is a system of forms — elements or items combined in certain regular ways to produce acceptable sentences. The role of the linguist is to build up an objective and comprehensive description of this system excluding almost completely meaning from the linguistic enterprise; the analysis is more concerned with the observable sides of language, that is, the sound system and the grammatical structure rather than with problems of meanings. Speech is the data from which the linguist deduces the system of the language he is describing.

From the point of view of language teaching, Structural Linguistics represented a major theoretical landmark: despite its limitations, it supplied the language teacher with more precise and objective descriptions of languages than had previously been available to him.

As pointed out before, the combination of the assumptions of behaviorist theories, on the one hand, and of Structural Linguistics, on the other hand, gave rise to the so-called audio-visual method and its variants. In other words, this teaching method is an amalgam of the principles of Structuralist Linguistics and Behaviorist Psychology in relation to the nature of language and the nature of the learning process.

The acceptance of the systematic and objective nature of language in the structuralist view led language teaching to emphasize the sentence patterns of the language rather than isolated words as had been done before. The language teaching content is also defined in terms of formal items relying on

the criterion of grading of difficulty. The idea is to present very easy and simplified material at the beginning taking into account the most frequent sentence patterns. Thus, the criteria for the choice of material are based on the everyday use of language by native speakers and not on the learner's actual needs.

Considering the behaviorist belief that any kind of learning is achieved by building up habits on the basis of stimulus-response chains, the teaching of language rests upon the idea that the learner must be provided with a great amount of practice in order to acquire appropriate linguistic responses. This practice is obtained through repetition - sentence patterns are repeated and drilled until they become habitual and automatic even though this is done in a repetitive or mechanical way. Thus, it does not involve the learner's reasoning and thinking; memorization of the very structure is the goal. Accordingly, the focus of attention is more on language forms to be learned than on meanings to be communicated. Therefore, the fundamental belief is that an automatic manipulation of different linguistic structures constitutes the real ability to communicate in a foreign language. Drills and exercises are primarily designed for this purpose.

Based upon the maxim that the written system of the language is only an approximation to the spoken form, the emphasis in language teaching is set upon speech; this accounts for the importance given to pronunciation. Thus, a great amount of time is devoted to tasks which emphasize the oral component of language. Reading, for instance, plays a minor role since priority is given to oral communication. Generally, the reading passages are made up in order to fulfil the author's purpose, that is, the teaching of a particular

grammatical point. The texts, usually presented after oral dialogues and drills, are built up to illustrate the sentence patterns the learner has already memorized. Thus, those texts are not authentic and they cannot be said to be actual instances of written discourse. Those constructed texts neither use nor add to the learner's previous knowledge — in other words, there is no new information. A direct consequence of this contrivance is that the passages do not have the usual layout or text iconography — thus titles, inverted commas, italics, dashes, notes, underlining, different typefaces are not generally present.

It should be pointed out that genuine and actual instances of written discourse usually make use of two main semiotic devices: the verbal text — its linguistic component proper and the graphic language of diagrams, graphs, illustrations, etc. Those constructed texts in the audio-visual methods rely only on the verbal component, that is, one of the two semiotic devices. Sometimes we find illustrations to go with the text. However, the illustration, rather than complementing the text, just provides the context of the situation. By providing the context of situation, the teacher does not have to make use of the native language for explanation, something which is not acceptable in this method.

As the sentence represents the unit of learning in the audio-visual method, reading is therefore viewed as the decoding of individual sentences in the text, in the hope that it will lead to a full comprehension of the passage. All the interconnections of a text grammar or discourse are thus artificially excluded from the teaching-learning situation.

Widdowson, for instance, argues that the basic flaw in this approach to language teaching is that

... it represents language in a way which dissociates the learner from his own experience of language, prevents real participation, and so makes the acquisition of communicative abilities particularly (and needlessly) difficult.³

3. Transformational-Generative Linguistics and Cognitive Psychology

The 1950s saw the emergence of this influential school of linguistics whose main assumptions challenged not only the prevailing beliefs of Structuralist Linguistics but also the maxims of Behaviorist Psychology. Rather than holding a behaviorist orientation, the emergent trend leaned towards a new rationalism. This doctrine

... maintains that the mind is constitutionally endowed with concepts, or innate ideas, that were not derived from external experience. Thus, according to this doctrine, knowledge is regarded as being organized in terms of highly specific, innate mental structures. Knowledge, then, does not depend on the observation of external facts for its justification, but on mind processes which are the source of human knowledge, superior to and independent of sensorial perceptions.⁴

Thus, language is not seen just as another form of behavior; it is, rather, seen as a highly complex skill which requires an interrelated set of psychological processes for its use.

Noam Chomsky of the Massachusetts Institute of Technology is the leading name in this new trend: Transformational

Generative Linguistics. Since the publication of his major concepts on language, his work has had a revolutionary impact on linguistics and a remarkable influence on cognitive psychology.⁵

It is Chomsky's claim that we possess some innate knowledge about language structure which is part of all possible human languages. At the time a child is acquiring a language, he makes use of this knowledge in order to check his hypotheses about the structure of the language he is learning - he then "only progresses further with hypotheses that do not conflict with universal features of human language."⁶

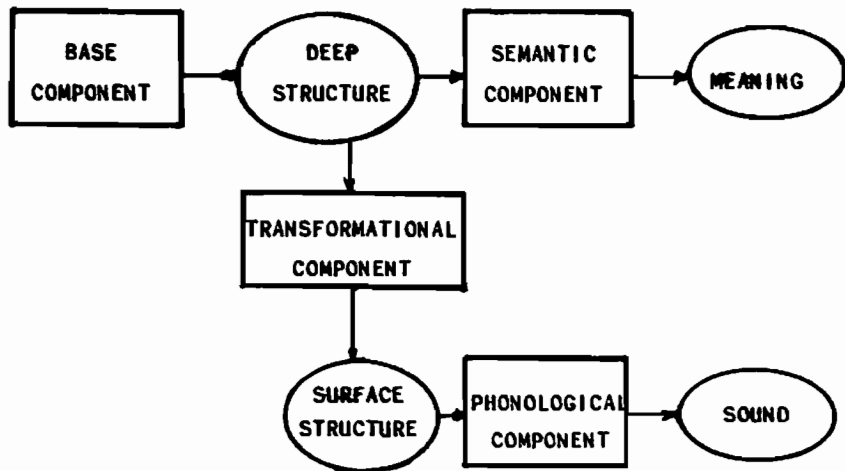
Chomsky also accounts for the highly productive and creative character of language. He states that every natural language has a potentially infinite number of sentences. Though the components that make up sentences are small in number, the ways they may be combined into sentences are infinite. Another point Chomsky calls attention to is that natural languages are rule-governed. In spite of the fact that a native speaker is primed with the ability to create an infinite number of sentences, rules exist that limit the way he may combine words into sentences. Despite the constraints of the rules of a language, a native speaker is capable of generating and comprehending novel sentences he has never used or heard before.

Another important idea propounded by Chomsky is that language is a mental phenomenon - internal processes occur when language is either produced or comprehended. Language is then considered primarily as a thinking process. Considering only the behaviorist view that language is a mechanical activity which can be controlled by linguistic prompts does not do justice to the complex set of inner cognitive abilities which come into play when one is using language.

In his description of language, Chomsky distinguishes between competence, the abstract linguistic knowledge an individual possesses in order to use the language, and performance, the actual production or comprehension of speech or writing. In setting up this dichotomy, Chomsky makes us realize that language is much more complex than previously believed. Therefore, it cannot be described solely in terms of its own, overt forms as done before; some way of describing the knowledge that underlies it is also needed.

In Chomsky's view, the goal of linguistic theory is to describe and explain competence, that is, our abstract knowledge of the structure of language, while it is the domain of psychology to develop a theory of performance, that is, the actual application of that knowledge in speaking and listening. A theory of competence will thus account for the structure of the language while a theory of performance will study the processes which make use of that structure, namely, production and comprehension processes. Note that Chomsky's theory takes into account the abstract knowledge that underlies language use; it does not describe actual language use.

In developing his linguistic theory of competence, Chomsky considers the relation between syntax, semantics and phonology. The diagram below illustrates how these three elements are related in Chomsky's view of language:⁷



It should be noted, however, that in spite of the fact that phonology and semantics are given some consideration in his theory, Chomsky centers his proposal on syntax. As mentioned before, Chomsky describes competence and not performance — syntax is thus the starting point in his theory. He proposes a transformational grammar which is a device consisting of a set of rules that will account for both the productivity and regularity of a natural language and also for the linguistic intuitions of speakers of a language. The ultimate goal of this grammar is to generate all the acceptable sentences of a language and no unacceptable ones. As Bell points out "a transformational grammar is a logical specification of the syntactic knowledge which the learner needs in order to produce grammatical sentences."⁸

Two types of rules are present in a transformational grammar: phrase structure rules and transformation rules. The first type generates the underlying deep structure of a sentence and the second generates its surface structure. As

mentioned before, a separate set of semantic rules interprets the phrase structure to generate the meaning of the sentence. Thus, the basis for arriving at meaning lies in the syntactic relations of the sentence represented in its phrase structure.

As with the structuralist view the sentence remains the unit of linguistic analyses; a consideration of discourse as a whole has not yet received any recognition.

There is also a clear change in the focus of investigation. As mentioned before, in structuralist terms, the task of the linguist is to describe language as a coherent system of formal signs leaving out of account any reference to historical antecedents or comparisons with other languages. On the other hand, the focus of analysis in a transformationalist standpoint is on the abstract knowledge which underlies language use — what counts is the nature of the linguistic knowledge that underlies what is said. The logical result of that is twofold: the structuralist is concerned with features that make a language different from another and the transformationalist with the characteristics that are common to all natural languages as universal phenomena.

With these highlights on Transformational Grammar as background, we can say that it has brought about a revolutionary shift of orientation in linguistics and has also shed light on obscure points influencing research in other fields of study as well. Moreover, it has also provided a new way of looking both at language and at language learning. It should be remarked that the indirect influence of Transformational Grammar on language teaching has been quite remarkable.

Thus, from this new attitude different assumptions emerged: learning ceases to be a matter of habit formation to involve the learner's thinking, creativity and analysis.

It should also be noted that the model for the learning process is no longer behaviorist psychology. The model now is supplied by cognitive psychology whose primary attempt is to understand the workings of human intelligence and how people think and learn. The main concern of this field of enquiry is the understanding of higher mental processes. It deals primarily with mental organization, thought, and knowledge of the world. Montaner puts it in the following way:

Cognitive psychologists ... centre their work around the mental processes underlying responses, concept formation and the nature of human comprehension. They are sometimes called "mentalists" because of their concern for the mental processes and because their theories rest on thought and language.⁹

Therefore, the acceptance of a cognitive view of the learning process makes the teacher realize that important thinking processes are involved in language learning and that learning is not just a matter of habit formation but, rather, a process of hypothesis-testing on the part of the learner. Moreover, the teacher is made aware that the second language learner is not a "tabula rasa" — in fact, not only has he full command of his own language but also already developed cognitive abilities. The task of the teacher is to capitalize on that when teaching a second language.

Another point to mention is that although mastery of linguistic structure remains the focus of attention in teaching, there is some further concern with the creative aspect of language. Thus, the exercises — whose primary

function is still to develop the learner's grammatical competence — seem to be less mechanical than the ones presented under a strict structuralist orientation. Some kind of reasoning processes are also required from the learners when they are engaged in doing the exercises.

It seems we can also add that up to the 70s the teaching of reading remains almost the same as before. The reading material is still constructed around a specific grammatical point and the learner's needs are seldom taken into consideration.

In closing, we should remark that in setting up the distinction between competence and performance, Chomsky takes into consideration what really happens in our everyday use of language: the complex interaction of knowledge of language structure and a set of psychological processes required for its use. Cognitive psychologists set out from the ideas provided by Chomsky to seek an understanding of how these inner processes occur in the production and comprehension of language. Chomsky, on the one hand, provides a conceptualization of our abstract knowledge of language structure. Cognitive Psychology, on the other hand, influenced in part by Chomskyan ideas, conceptualizes human internal mental functioning.

Unlike behaviorist psychology which is entirely engaged in the study of external behavior, failing to take into account any reference to internal processes, cognitive psychology uses overt behavior as a starting point for its theories on the abstract mechanisms of the human mind when it is engaged in the production or comprehension of language. What concerns cognitive psychology is "the nature of human intelligence and how people think."¹⁰

4. The Communicative Approach to Language Teaching

The former prevailing formalistic view in language teaching began to be questioned on the grounds that the ability to express in a given language requires more than just knowing the rules which generate well-formed sentences. Language also performs a communicative function and, as such, involves other elements like the addresser, the addressee, the setting, the code and so on. This means that knowing a language also means knowing how to deal with language in its normal communicative use. Communication entails more than a purely linguistic basis; in its complexity, language came to be regarded as interdisciplinary, involving insights from sociolinguistics and psycholinguistics.

However, as pointed out earlier, for many decades the prime concern in language teaching was towards the development of the learner's ability to handle language structure. Language learning was seen primarily as a question of acquiring structures and lexical items. Widdowson, inter alia, argues that language teaching has given priority to the development of the ability to handle "language usage" rather than "language use."¹¹

Therefore, expressions like This is a book, That is a window were previously used with the purpose of providing a contextual situation for the teaching of grammatical items such as the demonstrative pronouns and lexical items like book and window. However, as Widdowson remarks, although these expressions are meaningful as "sentences" because they indicate the "signification" of grammatical and lexical items, they are meaningless as "utterances" since they do not carry much communicative verisimilitude and do not have any communicative "value" for the individual learner.¹² In short,

they are meaningful as sentences because they carry linguistic and grammatical signification, but are meaningless as utterances because they bear little value as communication. Therefore, the prime concern in teaching was on signification and not on communicative value and the usual strategy works in the following way: the structure is first presented, then it is drilled, next it is practised in context and then, finally, the circle is started again. The predictable outcome is a learner who is structurally competent but unable to communicate appropriately.

Although mastery of language use has not been entirely neglected since it is impossible to completely dissociate form from meaning, it is true to say that in important respects it has not received the required and adequate treatment.¹³ There has been a clear imbalance between the teaching of structures and the teaching of use – form rather than communicative use – clearly tended to dominate foreign language teaching for many years. A reaction against this view has been reported by Criper and Widdowson, inter alia, who contend that knowledge of the rules of grammar will ensure that each sentence generated is correctly formed but it will not ensure that the forms of the utterances are appropriate.¹⁴ In other words, grammatical competence does not automatically entail “communicative competence.”¹⁵

As pointed out before, this mode of thinking in language teaching which emphasizes structure runs parallel to a similar concept of languages as structures which has dominated linguistic study. It is clear that although there is an advance from Structuralism to Transformational Grammar in that the latter has so revolutionarily changed the aims and techniques of linguistic study and has shed light on language teaching, both theories deal primarily with the

study of sentence structure to the detriment of discourse and pragmatics. In both analyses, language is almost exclusively seen as a set of structures — the fact that language also carries functional and social meanings is not taken into account. Hymes, for instance, calls attention to the following fact:

... a normal child acquires knowledge of sentences, not only as grammatical, but also as appropriate. He or she acquires competence as to when to speak, when not, and as to what to talk about with whom, when, where, in what manner. In short, a child becomes able to accomplish a repertoire of speech acts, to take part in speech events and to evaluate their accomplishments by others.¹⁶

Thus, a reaction against this prevailing emphasis on form is naturally taking place not only in descriptive linguistics and in applied linguistics but also in language teaching. It is a reaction which is prone to recognize the prime importance of the communicative features of language; "it is a reaction towards a view of language as communication, a view in which meaning and the uses to which language is put play a central part."¹⁷ It is a reaction against the view of competence as knowledge of the grammatical rules of a language. Widdowson, inter alia, argues that

... some of the features listed under performance are also systematic and form a part of the speaker's knowledge of his language (in any normal sense of knowledge), and should also therefore be considered as part of his competence. It is then part of the

speaker's competence to be able to use sentences to form continuous discourse, as Halliday points out; it is part of his competence that he should know how to use sentences to perform what Searle calls speech acts, Lyons calls semiotic acts, and I call rhetorical acts.¹⁸

In language teaching it is the communicative approach which embodies a reaction against the widespread methodology which has primarily emphasized language structure.

The paramount assumption which stands out as the most revolutionary in this approach to language teaching is its prime concern with the communicative features of language. It is an approach which has formulated its aim towards communicative competence — rather than a Chomskyan grammatical competence. Knowledge of language is no longer equivalent to knowledge of syntactic structures, but it means knowledge of how to deal with language in its normal communicative use relating forms with the communicative functions they perform. In expressing doubt, for instance, different linguistic forms may be used to fulfil the same basic function. One might use one of the following alternative ways: I might go, or Perhaps I'll go, or I'll go, I don't know, or still I'm not sure I'm going. Language learning has then been geared to developing the learner's communicative proficiency focusing central attention on "the development of strategies for dealing with language in use", rather than the development of grammatical proficiency.¹⁹ It seems true to add that knowledge of the elements of a language is useless unless the learner is capable of dealing with them creatively and appropriately to perform its social function according to his specific communicative purposes. Widdowson,

for instance, calls attention to the fact that "grammatical competence remains in a perpetual state of potentiality unless it is realized in communication".²⁰

The communicative approach to foreign language teaching is thus oriented towards restoring the balance between grammatical forms and language use — it has thus extended from linguistic structures to communicative activities aiming at developing in the learner the ability to use the language as a means of communication.

It might be appropriate to remark that in this approach the foreign language is taught as a whole. This means that the language is not divided into isolated segments and taught gradually, additively and linearly up to the acquisition of a finite number of rules which, it is believed, will give the learner the ability to use the language appropriately when the need arises. Quite differently, the communicative approach presents language from the very beginning in "semantically-homogeneous" but "structurally-heterogeneous" units.²¹ The result is thus a lack of preoccupation with simplification of materials and situations which dissociates language from its true communicative purposes — in the same piece of teaching unit different grammatical items co-occur allowing for a more real instance of language in use. In other words, authentic samples of language are used to the detriment of graded syntactic structures.

This view of language as communication has further implications when translated into a teaching methodology. A question immediately arises as to the students' communicative needs. It may be for social interaction, for international communication, for the transmission of science and technology, and so on. The analysis of communicative needs is important in the specification of the course content, for, as Candlin

remarks, "a view of language as communication implies teaching materials which relate form, function and strategy."²² Mackay and Mountford also point out that

... the possession of accurate, objective information about the learner, his specialism and his needs, enables the course planner to narrow down the area of language use and usage — and of course the mode, spoken or written — from which the linguistic items in communicative patterns of language use should be drawn.²³

This more accurate objective information about learner's communicative needs and a greater concern with them gave rise to the teaching of ESP, a branch of communicative language teaching.²⁴ Since it is the written communication in English learners often have to cope with, ESP, as it stands now, is primarily concerned with developing the learner's ability to handle written scientific discourse in an effective way. This learner-centered approach represents a movement in the direction of the teaching of discourse as a whole and it aims at developing the learner's "ability to understand the rhetorical functioning of language in use."²⁵

5. Final Remarks

This paper has described some major theoretical issues concerning the scientific study of language and their influence on second language teaching in the last 40 or 50 years. This survey reveals that second language teaching has shifted from a mechanistic view towards a more mentalistic one. It has also shown a recent shift from sentence-based materials towards

discourse-based ones, a shift that has resulted from a view of language as communication.

This paper has also shown the place reading has in each of these approaches. If reading held a marginal place in audio-visual and audio-lingual methods, it tends to receive full attention in the communicative language teaching, as the result of accurate needs analyses carried out in order to specify the learner's communicative needs.

A point must also be made about the kind of text used in the teaching of reading. If the audio-visual/lingual methods used texts constructed to exemplify a given grammatical point, communicative language teaching uses authentic instances of discourse, be it written or spoken, regardless of grammatical grading. Artificial texts devised around a specific grammatical point thus tend to be replaced by authentic texts which are not grammar-based but discourse-oriented.

NOTES

¹ Danny R. Moates and Gary M. Schumacher, An Introduction to Cognitive Psychology (Belmont, California: Wardsworth Publishing Co., 1980), p. 3.

² Gérard Vigner (Lire: du Text au Sens, Paris: CLE International, 1979, p. 117) adds a third semiotic device in scientific discourse, that is, the formal language made up of formulas and conventional symbols.

³ G. H. Widdowson, Explorations in Applied Linguistics, 2nd. ed. (Oxford: Oxford University Press, 1980), p. 246.

⁴ Armando Humberto Baltra Montaner, "Reading for Academic Purposes", Diss. Pontifícia Universidade Católica São Paulo, 1982, pp. 26-27.

⁵ It is not always easy to tell cognitive psychology from linguistics and psycholinguistics since there is a lot of common ground. R. J. Harris in his article "Cognitive Psychology and Applied Linguistics: a timely rapprochement" (in Ensaio de Lingüística, Ano IV, 7. 1982, p. 154) has remarked: "In recent years it is becoming more difficult totally to separate linguistics and psycholinguistics, or, more generally, linguistics and cognitive psychology. To truly understand how language works requires the consideration of psychological factors, such as the intention of the speaker, the context of the utterance, and the knowledge in the mind of the hearer."

6 Steven H. McDonough, Psychology in Foreign Language Teaching (London: George Allen & Unwin, 1981), p. 98.

7 John R. Anderson, Cognitive Psychology and its Implications (San Francisco: W. H. Freeman and Co., 1980), p. 381.

8 Roger T. Bell, An Introduction to Applied Linguistics (London: Batsford Academic and Educational Ltd., 1981), p. 107.

9 Montaner, p. 33.

10 Anderson, p. 3.

11 H. G. Widdowson (Teaching Language as Communication, Oxford: Oxford University Press, 4th ed., 1983, p. 18) explains that "language usage" refers to "the citation of words and sentences as manifestations of the language system" and "language use" refers to "the way the system is realized for normal communicative purposes."

12 Widdowson (Teaching, p. 19) distinguishes "signification" from "value" in the following way: "The term signification" refers to the kind of meaning "that sentences have in isolation from a linguistic context or from a particular situation in which the sentence is produced." The term "value", on the other hand, refers to "the meaning that sentences take on when they are put to use in order to perform different acts of communication."

Widdowson (Explorations, p. 8) distinguishes not only "signification from "value", but also "sentences" from "utterances" in the following way: "Language can be manipulated in the classroom in the form of text-sentences which exemplify

the language system and thus indicate the signification of linguistic items. This is not the same as language use — the use of sentences in the performance of utterances which give these linguistic elements communicative value. In the classroom, expressions like "Come here", "Sit down" are utterances because they have a communicative import in the classroom situation, which provides a natural social context for their occurrence."

¹³ C. J. Brumfit and K. Johnson, "The Linguistic Background," in The Communicative Approach to Language Teaching, eds. C. J. Brumfit and K. Johnson, 2nd. ed. (Oxford: Oxford University Press, 1981), p. 1.

¹⁴ C. Cramer and H. G. Widdowson, "Sociolinguistics and Language Teaching," in Papers in Applied Linguistics, Vol. 11 of The Edinburgh Course in Applied Linguistics, eds. J. P. B. Allen and S. Pit Corder (London: Oxford University Press, 1975), p. 155.

¹⁵ For further discussion of the term see D. H. Hymes, "On Communicative Competence," in Brumfit and Johnson, pp. 4-24.

¹⁶ Hymes, p. 15.

¹⁷ Brumfit and Johnson, p. 3.

¹⁸ Widdowson, Explorations, p. 12.

¹⁹ Widdowson, Explorations, p. 249.

²⁰ H. G. Widdowson "Directions in the Teaching of Discourse," In Brumfit and Johnson, p. 50.

²¹ Terms borrowed from Keith Johnson, "Communicative Approaches and Communicative Processes," in Brumfit and Johnson, p. 203.

²² Christopher Candlin, Pref., English for Specific Purposes, 2nd. ed., by Ronald Mackay and Alan Mountford, eds. (London: Longman, 1979), p. VIII.

²³ Ronald Mackay and Alan Mountford, "The Teaching of English for Special Purposes: Theory and Practice," in Mackay and Mountford, p. 10.

²⁴ This approach has been coined ESP (English for Specific Purpose), sometimes EAP (English for Academic Purpose), EST (English for Science and Technology), etc. depending on the teaching situations and learner's requirements.

²⁵ J. P. B. Allen and H. G. Widdowson, "Teaching the Communicative Use of English" in Brumfit and Johnson, p. 124.

THE POET AS A "LIBERATING GOD" IN
19TH CENTURY AMERICAN LITERATURE

Sigrid Renaux

- UFPR -

Most critics agree nowadays that American literary independence was achieved during the 19th century, through the writings of such great authors as Melville, Hawthorne, Poe, Emerson, Whitman and Thoreau, for their oeuvre, as a whole, presented "a new way of perceiving reality"¹ in subject matter and in form. But looking back from our 20th century perspective into the past seems relatively easy. It demands "only" a broad grasp of the social, political, and cultural forces that have influenced the writers of a certain time, i.e., a synthetic capacity to perceive the main trends that delineate themselves during a particular period, besides knowing the works of such writers. Much harder, it seems to me, is the task of the literary historian or critic who tries to prognosticate from the data he has available and from his perspective, how a certain literature will develop, and to set certain expectations for the writers to come.

This is the topic I am concerned with: to present the expectations that Alexis de Tocqueville and Ralph Waldo Emerson had for the emerging poet of the New World, as seen from their 19th century historical and literary perspective. Their predictions will then be applied to the oeuvre of Edgar Allan Poe and Walt Whitman, not only because they are the first truly "American" poets but also because they represent, in their aristocratic and democratic tendencies, the extreme answers to those anticipations. Substantiating Tocqueville

and Emerson's arguments with specific examples of Poe and Whitman's poetry, we hope to establish points of similarity and contrast between different aspects of form and content, in order to see how far both poets succeeded, fell short of, or surpassed Tocqueville and Emerson's predictions. In our conclusion, reference will also be made to the points of view of William Carlos Williams, a famous poet and critic himself, and Larzer Ziff, a contemporary literary historian, looking back on Poe and Whitman's achievement.

Alexis de Tocqueville, the young French aristocrat who visited the United States in 1831 with his friend Beaumont, on an official mission to study the prison system in America, had as his real purpose in coming here "to discover the inner meaning and the actual functioning of democracy in action, in a country which had never known aristocracy"². The ensuing oeuvre, Democracy in America, published in 1835 in France and in 1838 in America, continues to be a classic. The first book of Volume II, "Influence of Democracy on the Action of Intellect in the United States" contains several chapters dealing with literature and the arts, but I shall concentrate on presenting Tocqueville's ideas in relation to the literary characteristics, the English language, and the sources of poetry in democratic nations, shown always in contrast to the same issues in aristocratic nations.

Concerning the first topic, Tocqueville already realized, at the time he was visiting the United States — when Bryant, Irving and Cooper were writing — that it was still England that supplied American readers with most of their books; and, even more, that Americans not only drew constantly upon English literature but actually engaged in the composition of literary works that were "English in substance and still more so in form"³. As a consequence, American writers are seldom

popular, for by following a strict and traditional literary code, there would be no place for the "too startling or too acute"⁴; besides, this kind of literature could become gradually remote from the natural language spoken by the people. But he allows for one exception in this picture: the journalists, for "they speak the language of their country and make themselves be heard"⁵.

Contrarily, he goes on saying, it is from a democratic society prepared by tradition and culture to take part in the pleasures of the mind, from a "motley multitude whose intellectual wants are to be supplied"⁶, that new authors arise. This new literature would not any more be subjected either to strict or to permanent rules; for, as the pleasures of belles-lettres are considered only as a recreation among the struggling everyday life of Americans, they would require a literature that is strong and startling — the opposite of what English models did provide. As a consequence, literature in democratic ages can never present "an aspect of order, regularity, science and art", its form will be "slighted" and its style will be "vehement and bold", for the object of the authors will be "to astonish rather than to please, and to stir the passions more than to charm the taste"⁷. Nevertheless, Tocqueville acknowledges that writers might appear who still follow a different path, but these would be rare exceptions. And he ends this chapter by predicting that in the progress that nations make from aristocracy to democracy, "there is almost always a moment when the literary genius of democratic nations coinciding with that of aristocratic nations, both seek to establish their sway jointly over the human mind"⁸.

Turning now briefly to what Tocqueville has to say about the changes that have occurred in language in democratic

America, he starts by affirming that, in contrast to American authors who copy the English, the mass of the population is subjected to the influence of their social conditions and institutions as these become apparent in the language. Thus, it is here that we can detect changes, for a greater number of words is brought into use, as well as the nature of ideas these words represent. But Tocqueville considers it deplorable that democratic nations thus innovate their own language, by fitting an unwonted meaning to an expression already in use, because "without clear phraseology there is no good language"⁹, which reminds us of his strict intellectual standards and methods of research, which could not allow for a word to have an indeterminate meaning. But he sees a more positive aspect in the fact that in democratic societies all words of a language are mingled, for as there is no difference in classes, men meet on terms of constant intercourse, and this revolution is felt as much in style as in language.

Let us now present Tocqueville's expectations and inquiry into what might be the natural sources of poetry among democratic nations, which will constitute the main topic for our discussion of Poe and Whitman. But as his arguments coincide rather surprisingly with the topics Emerson proposes in his essay "The Poet"¹⁰, I shall present them together, in their interpenetrations; in fact Emerson's essay, published six years after Tocqueville's oeuvre, can be seen as a companion piece to Tocqueville's.

In his characteristic objective manner, Tocqueville defines poetry as "the search after, and the delineation of, the Ideal"¹¹, while Emerson's definition is interspersed throughout his argument: poetry is Beauty, the ideal, truth, a universal symbolic language, "the path of the creator to his work"¹². Both definitions seem to touch each other, as

both search after the Ideal, and this relates again to what Emerson says later in the essay, that "poems are a corrupt version of some text in nature with which they ought to be made totally"¹³; nevertheless, we can participate in the "invention" of nature when the "symmetry" and "truth" that regulate nature also penetrate our spirit.

Tocqueville's description of the poet as he "who, by suppressing a part of what exists, by adding some imaginary touches to the picture, and by combining certain real circumstances that do not in fact happen together, completes and extends the work of nature"¹⁴, shows clearly well the figure of the poet as an artificer who, more than a mathematician — who only suppresses, adds, and combines — completes and extends the work of nature. This seems also to be Emerson's concept, although he gives us several related versions of the poet, in accordance with his tendency to reiterate with many illustrations: the poet is the man of Beauty, the interpreter, the sayer, the Namer or Language-Maker, he who re-attaches things to nature and the Whole, he who uses forms according to the life and not according to the form. Besides, the poet is also the transcendency of man's own nature, capable of a "new energy", and thus poets are "liberating gods", they are free, and they make free, by reading the meanings of color and forms and making them "exponents" of their "new thought"¹⁵.

Emerson also seems to agree with Tocqueville's assertion that the object of poetry is "not to represent what is true, but to adorn it and to present to the mind some loftier image"¹⁶, when he states that all facts of human life are "symbols of the passage of the world into the soul of man, to suffer there a change and reappear a new and higher fact"¹⁷; for both definitions are corollaries to their descriptions of the poet.

Even more interestingly, the means of poetry receive converging definitions from both writers, for when Tocqueville states that "verse, regarded as the ideal beauty of language, may be eminently poetical; but verse does not of itself constitute poetry"¹⁸, we can immediately refer back to Emerson's famous lines "for it is not metre, but a metre-making argument that makes a poem"¹⁹. Emerson even goes so far as to say that, as thought makes everything fit for use, obscure words become illustrious when spoken in a new connection, and bare lists of words can be suggestive to an imaginative and excited mind. Both Tocqueville and Emerson thus tend to disregard technical considerations, anticipating new trends which will lead into 20th century experimentations, in which content creates form.

But it is when we come to discussing Tocqueville's sources among democratic nations that we discover once more how close he and Emerson are in venturing judgments on the issue, considering their different backgrounds and consequently their different Weltanschauungen. Tocqueville's inquiries whether one can find among the actions, sentiments and opinions of democratic nations, any which lead to a conception of poetry, leads him to a preliminary conclusion that, as imagination is used mainly to devise what is useful and represent what is real, poets are drawn to the visible world, avoiding the past, supernatural beings and man in isolation as subjects for poetry. But, if the principle of equality has dried out the old springs, new ones are disclosed: as a first step to replacing the gods and heroes, democratic nations turn to inanimate nature; nevertheless, this is a transitory period for men soon discover that they are interested only in a "survey of themselves". As Tocqueville emphasises, "here, and here alone, the true sources of poetry among such nations

are to be found²⁰, and poets who neglect this, will lose all power over the minds of their readers.

Yet Tocqueville qualifies this disregard for nature per se, when he admits further on that the Americans have poetic ideas, but no poets, because their eyes are not aware of the wonders of nature, their eyes are fixed upon their own march across the wilderness, "draining swamps, turning the course of rivers, peopling solitudes, and subduing nature"²¹. Tocqueville thus does allow for nature, but in intimate relationship with man, as a background for poetry. It is Emerson who will develop this idea much further, for nature is for him, in the whole and in every part, a symbol of the supernatural, offering all her creatures to the poet as a picture-language²². Moreover, in contrast to Tocqueville, who asserts democratic men do not perceive wild nature about them till it fall "beneath the hatchet"²³, Emerson goes so far as to say that "every man is so far a poet as to be susceptible of these enchantments of nature; for all men have the thoughts whereof the universe is the celebration"²⁴.

As democratic nations care little for the past, they open up the future for the poet, and this "vision of what will be" is considered by Tocqueville to be "the widest range open to the genius of poets" as they can see their performances from a distance²⁵. Emerson also speaks of a poet to come who will sing the present, which is nothing else but the future being lived day after day. The time seems to him to be ripe for a poet to appear who would raise his eyes from work, and sing his own present; as Emerson declares: "We do not with sufficient plainness or sufficient profoundness address ourselves to life, nor do we chaunt our own times and social circumstance. (...) We have yet had no genius in America, with tyrannous eye, which knew the value of our incomparable

materials (...) Yet America is a poem in our eyes; its ample geography dazzles the imagination, and it will not wait long for metres"²⁶.

This national note on which Emerson ends receives an even wider connotation in the other source of poetry which he and Tocqueville share, and which is nothing else than an extension of the two first sources: "all that belongs to the existence of the human race taken as a whole, to its vicissitudes and its future"²⁷. It is no longer the individual, but the whole assemblage that presents to the spectator one vast democracy, that should be sung by Tocqueville's poet, in the same way that for Emerson, even "the poorest experience is rich enough for all the purposes of expressing thought"²⁸ and the Universe is "the externalization of the soul"²⁹, if only the poet can articulate it. This same idea is carried even further by both authors, when Tocqueville states that, as men have a far broader idea of Providence and of its interference in human affairs, they conceive that the destinies of the human race are regulated by God ruling the world by means of a universal and eternal design — thus another source of poetry. Emerson adds a transcendental touch to this last idea, when he says that man has a great power inside himself when he allows "the ethereal tides to roll and circulate through him", for then he is "caught up into the life of the Universe" and his speech, his thought, and his words are universally understood³⁰.

The last prediction Tocqueville makes is actually a restatement of his first one, when he cites as still another source for poetry the "delineation of passions and ideas" instead of that of "persons and achievements", for as every day language, dress, and actions are distasteful to the conception of the ideal, the poet is always searching below the surface, to read "the inner soul"³¹. As it is inside

himself that man can discover everything capable of exciting feelings of "pity, admiration, terror, contempt", man needs nothing more than man, alone in the presence of Nature and of God, as "the chief, if not the sole, theme of poetry"³². Emerson, in his final advice to the future poet, translates Tocqueville's reading the "inner soul" when he tells him to persist, "until at last rage draw out of thee that dreampower which every night shows thee is thine own"³³, thus acknowledging the divine "madness" that suffuses the poet, this great intensity which he discovers when he reads his inner soul and which draws out of him his dream-power, which Poe and Whitman were so imbued with.

There seems to be thus a progression, inside Tocqueville and Emerson's prognostications as to the sources of poetry, which starts with nature, either as the scenery suffering transformation as man progresses through the "wilderness", or as the scenery with which man communes as an emblem of God; moving on to man surrounded by his own time and circumstance, as well as pointing to his inner self to find his passions and ideas; to then reach that larger realm of the future and the destinies of the human race, which reveal the thoughts of a Supreme Mind governing the universe.

With these concepts in mind, let us now examine how some of Tocqueville and Emerson's foretellings can throw light on the oeuvre of Poe and Whitman by juxtaposing the different themes these two extreme examples of a rising American poetry present, and try to see if they can be considered "liberating gods" through their achievements.

Whitman, Emerson's "disciple" as he himself acknowledged, is the incarnation of what Emerson and Tocqueville anticipated as the poet of democracy. As a start, he shares Emerson's transcendental relationship with nature, full of life and

meaning, as a symbol of God's presence and power, and in his poems visible nature is celebrated in conjunction with man, as several passages in "Song of Myself" exemplify:

Press close bare-bosom'd night — press close
magnetic nourishing night!
Might of south winds — might of the large few stars!
Still nodding night — mad naked summer night.
Smile o voluptuous cool-breath'd earth!
Earth of the slumbering and liquid trees!
Earth of departed sunset — earth of the mountains
misty-topt!
Earth of the vitreous pour of the full moon just
tinged with blue!
Earth of shine and dark mottling the tide of
the river!
Earth of the limpid gray of clouds brighter and
clearer for my sake!
Far-swooping elbow'd earth — rich apple-blossom'd
earth!
Smile, for your lover comes.

Prodigal, you have given me love — therefore I to
you give love!

O unspeakable passionate love. (section 21)³⁴

In this passage, nature, having given love to man, is addressed by him in his indebtedness, as he returns his love to the earth by describing her in terms of sensory and sensual impressions, which suggest the image of female beauty. Voluptuous and cool-breathed, she is referred to in terms and

images of color, movement, fragrance and touch, and the synaesthetic potential of the whole is emphasized by the parallelistic structure of the lines, which are themselves enveloped by the poet's invocation to the earth to "smile".

This transcendental communion with nature is taken a step further in another passage, which almost literally transposes Tocqueville's prediction that Americans would prefer to chant their own march through the wilderness, subduing instead of admiring nature:

(...) in log huts, camping with lumbermen
Along the ruts of the turnpike, along the dry
 gulch and rivulet bed,
Weeding my onion-patch or hoeing rows of carrots
 and parsnips,
crossing savannas, trailing in forests,
Prospecting, gold-digging, girdling the trees of
 a new purchase,
Scorch'd ankle-deep by the hod sand, hauling my
 boat down the shallow river, (...)
Scaling mountains, pulling myself cautiously up,
 holding on by low scragged limbs,
Walking the path worn in the grass and beat through
 the leaves of the brush, (...)
Approaching Manhattan up by the long-stretching
 island, (...)
Walking the old hills of Judaea with the beautiful
 gentle God by my side,
Speeding through space, speeding through heaven
 and the stars, (...)
I tread day and night such roads. (section 33)³⁵.

As can be seen, the physicality with which the passage describes man's progress from the wilderness to the city, is matched by the physicality of moving from America back to the hills of Judaea and forward to achieve an almost mystical communion with the cosmos.

A kind of simultaneity seems also to be achieved here, for past, present, and future are welded together through the device of the parallelistic use of the gerund, while the use of the simple present in the last line, reinforces the habitual action of treading the same roads day and night.

But if for Whitman marching through the wilderness is a real and contemporary event, which takes place in a real America fighting for survival in an incipient democracy, for Poe, this same march becomes a metaphor for his search after the ideal, for his own struggling self and for his own lack of roots. In Poe, natural landscape and geographical America do not exist, and in its place his poems "develop a geographical conceit" and "read like the map of a maze or the arranged irrationality of a surrealist scene"³⁶. Here we have, as in "The City in the Sea", a landscape located "far down within the dim West", in which "a strange city" is surrounded by "melancholy waters"³⁷. And even when the scene is more congenial, as the beginning line of "The Haunted Palace" would suggest, — "in the greenest of our valleys" — we are immediately made to know that this is no verdant American valley, but is placed in "Monarch Thought's dominion" only to become infested by evil things, and its "blush and bloom" become a "dim-remembered story"³⁸.

Nature is thus always removed from reality, in time and space, even when a longer description could suggest a more realistic place. But Poe makes it a point to assert that this place is again out of place and time, as in "Dream-Land",

where the poet is wandering "by a route obscure and lonely",
and where he only sees

Bottomless vales and boundless floods,
And chasms, and cares, and Titan woods,
With forms that no man can discover
for the tears that drip all over;
Mountains toppling evermore
Into seas without a shore;
Seas that restless aspire,
Surging, unto skies of fire;
Lakes that endlessly outspread
Their lone waters, lone and dead, —
Their still waters, still and chilly
With the snows of the lolling lily³⁹.

What a contrast to Whitman's "walking the path worn in the grass", in which all the details recall a living and amiable nature! And even if Whitman's reaching out through space, in this desire to experiment cosmic consciousness, makes him speed through the heaven and stars, these are part of the visible world, whereas Poe's landscape of the imagination can only be reached in dreams, as "Ulalume" and "Eldorado" attest. In the first,

The skies they were ashen and sober;
The leaves they were crisped and sere — (...)
It was night, in the lonesome October
Of my most immemorial year:

But these skies and leaves and October night do not interact with the poet in a positive relationship, as in Whitman, they

are only a projection of the poet's own soul, as stanza IX of the same poem confirms:

Then my heart it grew ashen and sober
As the leaves that were crisped and sere - (...)
And I cried: 'It was surely October
On this very night of last year
That I journeyed - I journeyed down here! - 40

They only serve as an indefinite and somber background reflecting Poe's own desperate thoughts on death.

"Eldorado" too, presents a landscape of an unattainable ideal, set "over the Mountains/ Of the Moon, /Down the Valley of the Shadow"⁴¹, in which the details of the moon and the shadow, instead of adding concreteness to the scene, as in Whitman, further remove it from reality or locate it firmly in myth.

The contrast between Poe and Whitman can be further observed if we move into the next topic proposed by Tocqueville and Emerson; namely, the first in relation to the future, the second in relation to the present as sources for poetry - both times related again to man, as he stretches his imagination and ideas towards progress. Whitman again seems to be foregrounded in this new frame, for his whole oeuvre is hailed as a celebration not only of himself, but of democracy and the American nation, as a direct answer to Emerson's call for a poet chanting "our own times and social circumstance." As this excerpt from "By Blue Ontario's Shore" so well corroborates,

Others take the finish, but the Republic is ever
constructive and ever keeps vista,

Others adorn the past, but you O days of the present,
I adorn you,
O days of the future I believe in you - I isolate
myself for your sake,
O America because you build for mankind I build
for you.
O well-beloved stone-cutters, I lead them who plan
with decision and science,
Lead the present with friendly hand toward the
future⁴². (section 8)

The same kind of loving relationship established between the poet and Earth, in "Song of Myself", seems to take place here, in which the interchange of friendship and trust between the poet and the land is set in a democratic context of present times, but pointing towards the future.

Actually Whitman's whole poetry is interspersed with scenes from everyday life, mirroring not only the present, but making the past and the future become alive and near, as another excerpt, this time from "Crossing Brooklyn Ferry" so well confirms:

Others will enter the gates of the ferry and cross
From shore to shore,
Others will watch the run of the flood-tide,
Others will see the shipping of Manhattan north
and west, and the heights of Brooklyn to the
south and east,
Others will see the islands large and small;
Fifty years hence, others will see them as they
cross, the sun half an hour high,
A hundred years hence, or ever so many hundred

years hence, others will see them,
Will enjoy the sunset, the pouring-in of the flood-
tide, the falling-back to the sea of the
ebb-tide⁴³. (section 2)

If most of Whitman's poetry thus attests to his singing the present while at the same time displaying the other characteristics Tocqueville and Emerson predict American poetry would present, not so with Poe. His natural landscape is located in his own imagination, and thus removed from us, as seen, but there is also another removal from us, in time, for the past is the means through which he presents to us the delineation of the ideal. Again, not a historical past, as there was no geographical landscape, but an imaginative past, in which even countries such as ancient Greece and Rome acquire a larger and more obscure and remote connotation than they would in our everyday language.

From "Annabel Lee"'s "It was many and many a year ago,/
In a kingdom by the sea"⁴⁴, through "The Raven"'s "Once
upon a midnight dreary"⁴⁵, in which the narrator not only
retells a past experience but further removes it from us by
his being himself immersed in "many a quaint and curious volume
of forgotten lore", we are inside an untouchable past, farther
removed than the "once upon a time" of fairy-tales, and much
more hopeless. Even the evocative power of the famous lines
in "To Helen",

On desperate seas long wont to roam,
Thy hyacinth hair; thy classic face,
Thy Naiad airs have brought me home
To the glory that was Greece
And the grandeur that was Rome.

does not bring the home the wanderer was brought to any nearer to us, for "glory" and "grandeur", as mentioned, transmit an abstract quality to the cities, making them even more unreal in time.

Deprived of his present, as most critics agree, "without family, home, income, position"⁴⁷, this wanderer found refuge in an imaginary past, whose ties to any real past are filtered again through classic lore. It is the contemplation of the past, associated by Tocqueville with aristocratic nations, that is present in Poe's poems, but the past as background for his dreams of another world, the past as artifact and artifice to hold the suggestions and sensations conveyed by his poems, not the historical or even mythic past suggested by Tocqueville. There is though a poem, "Al Aaraf", in which Poe escapes into an imaginary future, but again, it is used as a means of escape, and not in any way related to our human experience.

Another contrasting issue concerning Whitman and Poe's poetry is Tocqueville and Emerson's prediction that in the long run, it is no more the individual but actually the destinies of the human race which will be sung by the democratic poet, if he allows "the Universe" to circulate through him, in Emerson's perceptive insight.

Whitman's major concern is his own individuality and personality, as his "Song of Myself" so abundantly corroborates. But for Whitman, by the fact that his self is also universal, as part of the Divine, it seems to merge with the "other", with the "you", as the so often quoted beginning of "Song of Myself" brings forward:

I celebrate myself, and sing myself,
And what I assume you shall assume,

For every atom belonging to me as good belongs
to you⁴⁸.

Or, further on, when the poet sings through himself the
plights of the human race, which he again has made his own:

Through me the afflatus surging and surging, through
me the current and index.

I speak the pass-word primeval, I give the sign of
democracy,

By God! I will accept nothing which all cannot have
their counterpart of on the same terms.

Through me many long dumb voices,

Voices of the interminable generations of prisoners
and slaves,

Voices of the diseas'd and despairing and of thieves
and dwarfs,

Voices of cycles of preparation and accretion,

And of the threads that connect the stars, and of
wombs and of the father-stuff (...) ⁴⁹ (section 24).

Whitman wants to be the lyre, through which inspiration, like a
flowing river, will pass, and his "word primeval", his
"barbaric yawp" is nothing more than the resounding of all
these voices which again are presented with the power of
an uninterrupted flow, one wave of voices following another,
until the whole human race seems to be contained in them.

This characteristic all-embracing stance also works the
other way round, Whitman fuses the individual with the
community, in the same way that he filters the universe
into the "you":

Underneath all, individuals,
I swear nothing is good to me now that ignores
individuals,
The American compact is altogether with individuals,
The only government is that which makes minute of
individuals,
The whole theory of the universe is directed
unerringly to one single individual — namely
to You⁵⁰.

But what does Poe filter through his individuality?
Can we perceive in him any sense of "en masse" brotherhood,
of identification with each single individual and with the
whole of the American people? His poems only reveal his
concern for the individual, for man isolated in time and
space from his contemporaries; he stands "separate and aloof
from all others"⁵¹, a characteristic of the poet in
aristocratic ages, and his poetry is filled not with the toils
and pleasures of his fellow Americans, but with the
supernatural beings, discovered by the mind, related to
aristocratic peoples.

Be it the spirit Israfel, or the supernal beauty of
Annabel Lee, Lenore, or Ulalume, there is no sociability
of meeting between the poet and his fellow beings, but only
with the projections of his own mind. There we meet ethereal
beings and beautiful deceased women, as remote from us as the
spirits that inhabit his dreamland, as his only communion is
with death, the death of his ideals metaphorized into these
beings. As the end of "Annabel Lee" testifies,

And so, all the night-tide, I lie down by the side
Of my darling, my darling, my life and my bride,

In her sepulchre there by the sea —
In her tomb by the side of the sea.⁵²

Or as the poet asks the raven,

"Tell this soul with sorrow laden, if, within the
distant Aidenn,

It shall clasp a sainted maiden whom the angels
name Lenore —

Clasp a rare and radiant maiden whom the angels
name Lenore."

Quoth the Raven, "Nevermore."⁵³

It is this complete disregard for the concrete sources of poetry that America had to offer him, and which Whitman made so great a use of, which sets Poe apart from Tocqueville and Emerson's generalizations concerning the democratic poet singing not only Man but man inserted in the destinies of the human race, in a context of historicity. But we believe that, when Tocqueville affirms that the democratic poet would prefer to depict passions and ideas instead of persons and achievements, which forces him to always search below the external surface, and if we remember that Tocqueville also allowed space inside a democratic community for writers who would choose a different track, we see again that he did not deny, in broad terms, the presence of a Poe in his panorama of future American bards. And it is exactly this last source which Tocqueville envisages for poetry in democratic nations that becomes the spring for all of Poe's poetry: the "pity, admiration, terror, contempt" that man discovers inside his soul, "the hidden depths in the immaterial nature of man"⁵⁴. Looking only at himself, Poe

has probed deep into his soul, but, as he lacked "a center grounded in the actuality of real life"⁵⁵, his creative work could not sustain itself artistically, for there was no compromise with the anti-poetic world which furnished Whitman with so many of his main themes.

Poe's poem "Alone", considered by Allen Tate to be a key to his single symbolic matrix — the vortex, the grave, the pit⁵⁶ — can actually be seen for our purposes to project his "otherness", his isolation and realization of this difference, such as when he says:

From childhood's hour I have not been
As others were — I have not seen
As others saw — I could not bring
My passions from a common spring —
From the same source I have not taken
My sorrow — I could not awaken
My heart to joy at the same tone —
And all I lov'd — I lov'd alone.⁵⁷

Pearce calls Poe's poems "disembodied creativity"⁵⁸, which I think is a good means to contrasting them with Whitman's creativity, so clearly embodied in his place and time.

Paradoxically, this last source for poetry into which Poe seems finally to fit, in relation to democratic nations, is exactly the one I would have some reservations in including Whitman, for he seems more intent on describing the everyday actions of men in democracies — repugnant in Tocqueville's view to conceptions of the ideal — than on probing deeply below the surface to read the inner soul. Although he considers himself to be the poet of the body and soul, and although he has expressed poetically his thoughts on birth, death, rebirth,

leading to a cosmic consciousness, he does not seem to have reached the depths that Poe has, in exploring and depicting a human soul, according to critics.

We can also see how the two chapters dealing with literary characteristics and with the use of the English language in democratic nations provide us with a good survey to evaluate Poe and Whitman's achievement, for each poet, in his own way, has produced a new literature which is "startling and acute"; one disregarding "order, regularity, science and art" and whose "slighted" form is actually the projection of his "untutored and rude vigor of thought", of so "great variety and singular fecundity"⁵⁹ and whose "barbaric yawp" has really sounded and still sounds "over the roofs of the world"⁶⁰; the other, an artificer whose "slightest work" is "carefully wrought in its least details;" and whose "art and labor will be conspicuous in everything"⁶¹, in accordance with his aristocratic posture and wit his superior abilities; and who, even if he was called, in contrast to Whitman's yawp, "the Jingle Man", his mastery of form is only surpassed by the suggestiveness of his imagery and his skill in creating moods.

In the same way, the use both poets have made of the English language shows again how true Tocqueville's prophecies have become, as well as Emerson's, for Whitman has used copiously from the vocabulary of different social classes, as befits a poet of democratic times, and his picturesque descriptions of the world around him as of the life of his times, allowed him to use even, for his time, "obscene" words. Poe's use of indeterminate words, on the other hand, to enhance the mood he was trying to create, offers another perspective to the users of the English language; at the same time, "he spent more time in analyzing the construction of

our language than any living grammarian, critic, or essayist⁶²; he wanted language "to impose order on the tumult of experience and draw from it the beauty of design"⁶³ in contrast again to Whitman's apparently "crude" enumerations and planless listing of details.

This brings us back to Tocqueville and Emerson's definition of verse, for both not the primary requirement for poetry, and in this way paving the way for Whitman's achievement but somehow ignoring Poe's craftsmanship; and, to round up our topic, Tocqueville and Emerson's visualization of the poet and his objectives: Whitman, in his exuberant and apparently indiscriminate use of the physical world around him, seems not to fit so well as Poe does, into Tocqueville's assertion that something has to be changed, in order to complete and extend the work of nature, and in this aspect Poe would be the perfect poet. On the other hand, Emerson's concept of the poet is actually so all-embracing that we believe any poet would fit into it, either as the man of Beauty, or as the interpreter, or the Language-Maker, so there would be no difficulty in trying to frame either Poe or Whitman inside this concept. This is why Poe and Whitman also concretize, each in his own peculiar manner, Emerson's image of the poet as a "liberating god"; for both have freed American poetry from the conventional forms and subject-matter prevalent in their day and have, through their effort to lay hold on some completer notion of man's being⁶⁴, allowed their contemporaries to discover a new world, real and imaginary, inside the New World which surrounded them.

Thus, having followed closely and literally Tocqueville and Emerson's predictions in the first part of this paper, as they were going to be the basic text for our discussion of Poe and Whitman's achievement, to then discussing the

several aspects in form and content which characterize and contrast their poetry, we hope to have shown some of the ways in which both poets would be framed, or not, inside Tocqueville and Emerson's expectations as to the image of the poet in democratic times.

Looking back on Poe and Whitman's achievement from our 20th century perspective, Tocqueville and Emerson's views receive again corroboration, from Larzer Ziff and W. C. Williams. Ziff confirms Poe's aristocratic image, by asserting that he is a negative response to the democracy in which he was mislocated, for his fictive world did not correspond to the real world around him,⁶⁵ while W. C. Williams feels that Poe's greatness in "having turned his back and faced inland, to originality" is the very reason for Americans not being able to recognize him. He makes a very original point, though, in considering Poe a real American in his literary criticism and in his tales, for in this aspect Poe is "the astounding, inconceivable growth of his locality"⁶⁶. And Ziff summarizes Whitman's achievement in words which again recall Tocqueville and Emerson's democratic predictions, by saying that Whitman, viewing man "from the midst of the jostle in the street, did not call forth that man to a different way of life but revealed to him the strength that lay hidden in what he was"⁶⁷.

If Poe the aristocrat was caught up in his time while Whitman the democrat grew in his very environment, one singing his isolation, the other his integration in place and time, there are two points in which these two liberating gods do come together: in their power and in their originality. And this corroborates Tocqueville's most ambitious prediction, for that moment to come when both the democratic and the aristocratic literary genius coincide, to establish their

ascendancy over the human mind; for this moment, we believe, was achieved in 19th century American literature, when Poe and Whitman were writing their poetry.

NOTES

- ¹ ZIFF, L. Literary Democracy. New York, Penquin , 1981. p. VII
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- ³ Ibid., p. 59.
- ⁴ Ibid., p. 60.
- ⁵ Ibid., p. 59.
- ⁶ Ibid., p. 61.
- ⁷ Ibid., p. 63.
- ⁸ Ibid., p. 63.
- ⁹ Ibid., p. 71.
- ¹⁰ EMERSON, R. W. "The Poet" in The Complete Essays and Other Writings of Ralph Waldo Emerson. New York, The Modern Library, 1940.
- ¹¹ TOCQUEVILLE, p. 75.
- ¹² EMERSON, p. 338.
- ¹³ Ibid., p. 331.
- ¹⁴ TOCQUEVILLE, p. 75.
- ¹⁵ EMERSON, p. 336.

16 TOCQUEVILLE, p. 75.

17 EMERSON, p. 329.

18 TOCQUEVILLE, p. 75.

19 EMERSON, p. 323.

20 TOCQUEVILLE, p. 77.

21 Ibid., p. 78.

22 EMERSON, p. 325.

23 TOCQUEVILLE, p. 78.

24 EMERSON, p. 326.

25 TOCQUEVILLE, p. 78.

26 EMERSON, p. 338.

27 TOCQUEVILLE, p. 79.

28 EMERSON, p. 327.

29 Ibid., p. 325.

30 Ibid., p. 332.

31 TOCQUEVILLE, p. 80.

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- 38 *Ibid.*, p. 106.
- 39 *Ibid.*, p. 110-11.
- 40 *Ibid.*, p. 122-4.
- 41 *Ibid.*, p. 134.
- 42 WHITMAN, p. 245.
- 43 *Ibid.*, p. 116.
- 44 POE, p. 139.
- 45 *Ibid.*, p. 113.
- 46 *Ibid.*, p. 69.
- 47 GELPI, A. p. 115.
- 48 WHITMAN, W. p. 25.
- 49 *Ibid.*, p. 41-2.
- 50 *Ibid.*, p. 249.
- 51 TOCQUEVILLE, p. 79.

- 52 POE, p. 140.
- 53 Ibid., p. 118.
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- 57 POE, p. 141.
- 58 PEARCE, R. H., p. 152.
- 59 TOCQUEVILLE, p. 63.
- 60 WHITMAN, p. 68.
- 61 TOCQUEVILLE, p. 60.
- 62 GELPI, A. p. 131.
- 63 Ibid., p. 133.
- 64 TOCQUEVILLE, p. 80.
- 65 ZIFF, p. 75.
- 66 WILLIAMS, W. C. In the American Grain. New York, New Directions, 1956, p. 233.
- 67 ZIFF, L. p. 257.

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T. S. ELIOT: CRITIC AND POET

Solange Ribeiro de Oliveira

— UFMG —

Talking about Wordsworth in 1955, Eliot said of the elder poet: "his name marks an epoch." The same can of course be said of Eliot himself. Like Dryden in the seventeenth century, and Johnson in the eighteenth, his name as poet and critic (we may here forget Johnson's poor show as a poet) is an essential part of literature in English in the twentieth century. One may even dislike him —but Eliot, poet and critic, perhaps also dramatist, can not be evaded. In each of these three fields, which may be separate for some, but, for him, are organically interlocked, he has left the imprint of his genius. In each, this imprint invariably meant renovation.

To start with the critic, we can briefly discuss three of his seminal essays, starting with the 1919 one, Hamlet and his Problems. Here the famous concept of the "objective correlative" was first expressed: the only way of expressing emotion in the form of art is finding an objective correlative, in other words, a set of objects, a situation, a chain of events, which shall be the formula of that particular emotion, such that when the external facts, which must terminate in sensory experience, are given, the emotion is immediately evoked. We may disagree with the final judgement on Hamlet, which condemns the play, on the argument that the emotion is in excess of the action, as expressed. What we cannot do is ignore that, with this comparatively simple statement, Eliot unfurls the flag which marks the end of romanticism in the mainstream of English poetry. After all, even war poetry

could still be romantic — as in the voice of Rupert Brooke — and the Imagists' attempt at renovation was not far removed from Romanticism. The attitude underlying the doctrine of the objective correlative would have none of it. No more narcissistic contemplation of the self, no outpouring of emotion in lyrical personal effusions, no self-indulgent spleen would be tolerated in "serious" poetry any more. When Eliot says "I", we know that this is not the transparent mask, the persona lying close to the lyrical speaker behind it. This "I" may be simply modern man, alienated, isolated, fragmentary, who may be called Prufrock or Sweeney, but is certainly not the legend of the poet about himself. With the concept of the objective correlative, romantic poetry receives a final blow.

Another aspect of the Hamlet essay is its correlation with Eliot's own poetry. In an interview given many years later to the Paris Review, he comments on how it was that, when he was writing The Waste Land, his meaning seemed to exceed his ability to express it — in short, he groped with difficulty towards the finding of his own objective correlative. Eliot's criticism thus reflects his preoccupation with his work as a poet. This feature, which he shares with so many other critic-poets in the English tradition, is an aspect of his oeuvre which has not yet been properly investigated.

In another seminal article, Religion and Literature, Eliot touches on the central issue of the need for intrinsic criticism, side by side with the call for criteria of evaluation exceeding the purely formal. He says that the greatness of literature cannot be determined solely by literary standards, though whether it is literature or not can be determined in no other way. The essay then proceeds to its other main concern, i.e., defining the proper meaning

of religious literature. To my mind, the initial statement is the basic one. The concept of literariness as the touchstone by which a literary work is to stand or fall — the essential concern with form that, regardless of the paraphraseable content, is indispensable to the creation of the literary work of art — is apparent here. Eliot anticipates or/and supports many of the central conclusions that the New Critics in America and the Russian Formalists were independently arriving at — even though, unlike the latter, he is not making modern linguistics the starting point of his critical journey. On the other hand, he is doing something that not even more recent trends in criticism have yet dealt with: the fact that subject matter also counts, and that moral and spiritual concerns play an important part in the literary artefact. The saying that form is content can be easily turned around.

Another critical essay which can hardly be ignored, even in the most cursory treatment of contemporary criticism, is Tradition and the Individual Talent. Defending his basic tenet that no poet can continue to be one after he is twenty-five years old, unless he has thoroughly digested the literary tradition to which he belongs, Eliot develops his brilliant argument for the unbroken continuity of the literary series. He discusses the naive concept of originality, which centres on the poet's difference from his predecessors, arguing, however, that if we approach a poet without this prejudice we shall often find that no only the best, but the most individual parts in his work may be those in which the dead poets, his ancestors, assert their immortality most vigorously. The essay goes on talking of the poet's need for a historical sense, which is a sense of the timeless as well as of the temporal and of the timeless and the temporal together. (This

preoccupation with the connection between the timeless and the temporal is going to emerge again, now in the poet's work, in Four Quartets — another point showing the organicity of the critic's and of the poet's output.) Further on, Eliot declares: The existing monuments form an ideal order among themselves, which is modified by the introduction of the new, the really new, work of art among them ... Whoever has approved this ideal of art will not find it preposterous that the past should be altered by the present as much as the present is directed by the past.

In these statements, Eliot again clearly and briefly expresses one of the concepts laboriously proposed by the Russian Formalists and the Prague Structuralists, about literary evolution and the structural character of diachrony: any change in any part of the literary series will inescapably change the whole. So also with the statement that art never improves, but ... the material of art is never quite the same Eliot deals a blow on the naive idea of historical evolution as a synonym of improvement. But his contribution to the formation of contemporary criticism does not stop here. In Tradition and the Individual Talent, some aspects of the question of intertextuality are hinted at in the sentence: I have tried to point out the importance of the relation of the poem to other poems by other authors, and suggested the conception of poetry as a living whole of all the poetry that was ever written ... Towards the end of the essay Eliot returns, in different words, to the idea of the need for impersonality in art, which had already been advanced with the concept of the objective correlative: Poetry is not a turning loose of emotion, but an escape from emotion; it is not the expression of personality, but an escape from personality ... To divert interest from the poet to the

poetry is a laudable aim...

These concerns, central for contemporary literary studies, explain Eliot's presence in almost any modern anthology of criticism. That he should have advanced so many important views in a lucid, eminently readable prose, free from abstruse terminologies and classifications, only adds to his credit, and makes him truly classical.

It is still useful to note the simple but graphic terms in which Eliot anticipated the recent concept of a literary artist's oeuvre as what one might call an extended speech act. In another essay, Eliot insists on the notion that the entire output of certain writers constitutes a single whole, in which meaning is cumulatively built. In such oeuvres, latter works make earlier ones more cogent, with a kind of retroactive effect, which critics will ignore at their peril. This can certainly be applied to a brief discussion of Eliot's own poetry and thus provides a convenient turning point to the second part of this paper.

Not least among the difficulties of dealing with Eliot's poems is the paradox of coping with a body of work by somebody who calls himself a classicist in literature and yet certainly marked the beginning of modern English poetry with the publication of The Waste Land, who advocates "impersonal" writing and still created a highly personal style, regardless of the complex echoing of multiple sources (for which he was the first to provide clues). Trying to cope with the complexity of a poetic output that, beginning with the earlier Prufrock, Gerontion and The Waste Land, emerging with the solemn meditation of Four Quartets, is inseparable from his five plays, we shall try to show that this output, comparatively meagre in bulk, has an organic significance, cumulatively built and modified retroactively by each series of poems.

The publication of The Waste Land was received with astonishment — some critics even thought of it as a hoax. The apparent fragmentariness of the poem, the fact that its composition might be said to consist of an amalgam of quotations, including echoes of the anthropologist's Frazer's The Golden Bough, echoes of these echoes in Jessie Weston's From Ritual to Romance, of Jacobean dramatists, Shakespeare, Baudelaire, Laforgue and Dante — and, perhaps, chiefly of all, the lack of syntactical links among the parts of the poem, which then seemed to make it almost hopelessly obscure — all this and more came to the front of adverse criticism. The use of sordid, disgusting images also played a part in the rejection of the poem. In fact, it was launching a kind of revolution in taste, which seemed all the more strange for the fact that so much of the best in the past of international literature had been incorporated.

The shock caused by The Waste Land is now of course long gone. Even the ordinary reader has come to accept that the seeming formlessness and fragmentariness of the poem is part of its significance: the technique of collage is justified, or rather, is brilliantly resourceful, once one realizes that Eliot is talking about what he sees as the fragmentariness and formlessness of modern life. And the incorporation of so many fragments from previous poets is in turn instrumental to drive home the notion of the mediocrity and sordidness of the contemporary world and of the heroic stature of the past. The poem uses so many images of broken objects — the broken images of Part I, The Burial of the Dead, which are to be recalled by the broken columns of London Bridge, and then, in The Hollow Men, by broken columns, broken glass, broken stone, and, in Ash Wednesday, broken jaw — because its theme is incompleteness, disarticulation, isolation. (We can

here also remember the scattered bones of Ash Wednesday, which are glad and sing of their isolation. The imagery centering on the idea of fragmentariness in The Waste Land also relates to the lyrical speaker himself — the heap of broken images partly relates to his despair of ever succeeding in articulating his meaning. That the effect of fragmentariness is also due to Ezra Pound's "il miglior fabbro" of the dedication, severe editing, is here irrelevant.)

In fact, the effect of fragmentariness permeates not only Eliot's major poem in his early period but also the transition represented by Ash Wednesday. It is here related to another emerging theme: the failure of communication, notably between man and woman, but not restricted to that. There is the impossibility of communication with the hyacinth girl, a symbol of erotic love to reappear in later poems:

When we came back late, from the hyacinth garden
Your arms full, and your hair wet
I could not speak, and my eyes failed. (I, The Burial
of the Dead)

This theme — which, like the echoes of genteel conversation in the poem, recall Henry James's influence — reappears in the series of ghostly characters parading through the poem, all locked within themselves, unable to communicate. Madame Sosostriis, the famous clairvoyante, her Egyptian glory now punctured by the indignity of a bad cold, the drowned Phoenician sailor —, the Hanged Man and the Fisher King, who, unlike their predecessors in myth, cannot bring water, redemption, salvation, new life to their people — the girl who talks about Lil's demobbed husband, all these and others go their way alone. Besides, like the crowd that flowed over

London Bridge, they are moving towards hell, as the echo from Dante will not let the reader forget:

I had not thought death had undone so many.

The theme of isolation pervades the whole of Eliot. (We must remember he himself tells us that certain poets are to be read as wholes.) It is one of the strongest notes in his plays. In The Confidential Clerk, for example, Colby leaves his new-found parents to become the lonely church organist. The Cocktail Party strikes the note of inescapable solitude inseparable from man's fate — be it the endured married loneliness of Edward and Lavinia or the chosen solitude of Celia, the saint.

The Waste Land might, in a way, with the multiplicity of references to earlier literary masterpieces, be called an anthology of Arnold's touchstones. Witness, for example, the magnificent line starting the second part of the poem, A Game of Chess:

The chair she sat in, like a burnished throne
Glowed on the marble . . .

This allusion to Enobarbus's description of Cleopatra in her golden barge from Shakespeare's Antony and Cleopatra again contrasts the heroic past with the insignificant present: not Cleopatra's, but another, jarring voice, is soon heard:

My nerves are bad tonight. Yes, bad. Stay with me.
Speak to me. Why do you never speak? Speak.
What are you thinking of? What thinking? What?

(Here the theme of incommunicability crops up again. These questions are never answered, and words are cut off from the sentences, as the attempt at communication dies down. Another mark of the anticlimax represented by the lines on Cleopatra and the following voice is the mention of the synthetic perfumes among the rich profusion of satin cases and vials of ivory of the modern woman's toilet table — a sorry attempt at imitation of the great Cleopatra. Everything about the modern woman seems fake, like her perfumes. The same sad contrast can be seen in part III, The Fire Sermon. Here Elizabeth and Leicester go down to Greenwich, the London south borough (one of the many references to London, though the poem is also set in ancient Egypt, Alexandria and primitive places where Spring is still announced by human sacrifices which fall to bring life back). Elizabeth's and Leicester's romantic shades contrast with the view of a Thames undignifiedly soiled by oil and tar. In the poem it is a prosaic, dirty river, from which Spenser's nymphs have forever fled.

The Waste Land is an inexhaustible poem and time prevents that it should be commented on at greater length. It is impossible, however, not to mention, besides the structural devices of past myth and literary allusion on which the vision of fragmentariness is framed, the use of the figure of Tiresias, the androgynous seer. In the middle of the poem it works as a central observer, a focus, which hints at the paradoxical unity of this fragmentariness, dreariness and desolation which have made the modern world into a Waste Land. (Here the similarity with Henry James's use of a character, Strather, as a central focus in The Ambassadors can also be recalled.) One cannot refrain from mentioning, either, the rag-time rhythm which finds its way into the poem.

that Shakesperean Rag -

It's so elegant

So intelligent

"What shall I do now? What shall I do?"

This is in turn picked up by the landlord's voice in the London pub, with its sinister denotations of the shortness of human life:

HURRY UP PLEASE IT'S TIME

HURRY UP PLEASE IT'S TIME

This rhythm, so tellingly modern, again reminds the reader of the modern city, the city made unreal by its lack of glory or values or love. The rhythms associated with the glorious past do not prevail:

Elizabeth and Leicester

Beating oars

The stern was formed

A gilded shell

Red and gold

The brisk swell

Rippled both shores . . .

This will stay with the reader as simply another nostalgic echo, which again emphasizes the dreariness of the present.

The ironic contrast between past romance and present dreariness rings in other early poems as well. In Prufrock, where the central character has measured his life in coffee spoons - a statement of the narrowness of modern man's outlook - the contrast begins with the very title, The Love

Song of J. Alfred Prufrock. Love Song forms an absurd collocation with the prosaic modern use of the initials, which foretells the underlying meaning of the poem. As we know, no love song follows. The mermaids, Prufrock says, will not sing to him.

The Hollow Men, published a few years after The Waste Land, is another poetic statement about the emptiness of modern life. The technique of collage is used again. Here Guy Fawkes, which can also be taken as the guy of children's games at Easter Time, or the echoes of a nursery rhyme turned to sinister account, recalls the theme of emptiness, while fragmentariness and isolation are again both form and theme of the poem. The images of desert, rock and of water that will not quench man's thirst likewise reappear. The causes of this unquenchable thirst can be read in Ash Wednesday, the 1930 poem of transition, following on Eliot's conversion to the Anglican Church in 1927. The title announces the religious theme of penance — and hope, which can derive from atonement. At the same time, the beginning of the poem contains a statement about the difficulty of the poet's craft, his doubts about his achievement. The persona of the poet — now in his middle age, the aged eagle — starts off as if finding it hard to phrase his saying:

Because I do not hope

Because I do not hope to turn again

Because I do not hope to turn . . .

Again not an absolutely clear poem, Ash Wednesday leaves little doubt about its religious meaning. The image of the rose in the garden, the Lady — who is Dante's Beatrice and also the Lady of the Rocks (as in Da Vinci's painting of the Virgin

in London's National Gallery) hint at the hope of salvation. So does the multifoliate rose, the hope only of desperate man. And the images of rock, water, desolation and broken bones likewise reappear, making a connection with The Waste Land, and suggesting the cause of its desolation. The poem ends with a Biblical echo: And let my cry come unto thee, where the implied speaker expresses both his hope and the fact that his voice rises de profundis.

If Eliot wrote his Inferno in The Waste Land and The Hollow Men, and his Purgatorio in Ash Wednesday, his last sequence of long poems, The Four Quartets, marks his reaching for Paradise, which completes this modern Divine Comedy. Part of the beauty of the sequence lies in its sheer musical beauty. It recalls the incantatory power of poetry, already so markedly present in Ash Wednesday. Here, however, poetic structure is much more elaborate than in the early poem and in the transitional Ash Wednesday. Meaning, on the other hand, grows increasingly complex, with philosophical implications reminding us of Eliot's training at Harvard, of his study of great mystics like St. John of the Cross and of Hindoo religious classics. Like Ash Wednesday and The Hollow Men, the Quartets were first composed and published as isolated poems, later put together, sometimes with an interval of years. So Eliot, like the reader, now had to work his way from parts into wholes — another hint at the paradoxical axis of fragmentariness and organicity around which his oeuvre turns. We may here remember that parts of the Ariel Poems eventually became sections of Ash Wednesday, just as parts of the Quartets were originally written for Eliot's first complete play, Murder in the Cathedral. (This, we parenthetically note, supports the view that Eliot's dramatic output is inseparable from his poetry, and not only

because of his attempted renewal of poetic drama in English.)

To return to Four Quartets, however, we may first notice the general structure underlying them. Each quartet has five parts, the first one usually contains a series of statements and counterstatements which are going to be — hopefully — brought together at the end, and each starts with a reference to a landscape or a scene — a concrete core of allusion which is the initial objective correlative for the long, sustained, intricate development of a theme. (This use of landscape follows on a phase started with the poems New Hampshire and Virginia, short musical evocations which grew out of Eliot's renewed impressions of America in the early 1930's. Thus East Coker, which names one of the Quartets, recalls a place in Somerset where the Eliot family lived until they moved to the American New England Coast in the middle of the seventeenth century.

The second part of the Quartets is a highly formal lyric, reminding one of Eliot's, as critic, saying: a poem or passage may tend to realize itself first as a particular rhythm before it reaches expression in words. This part — pure musical incantation, as in sections of Ash Wednesday and matching the musical suggestion of the title Quartets, which also announces variations on a theme — is followed by a sharp drop into a prosaic anticlimatic tone. The third part may vary, but the fourth is always a short lyric, while the fifth contains the resumption and resolution of the theme. This becomes progressively more intricate in the last two Quartets, as the meaning has built cumulatively — in fact this has been happening since The Waste Land and Ash Wednesday, and, more obviously, in the Quartets themselves. Eliot, as he has said elsewhere, believed in the possibility of contrapuntual arrangement of subject matter, and in the use of recurrent

themes. He believed, similarly, in the unity created through images, which recur both in the poems and in the plays — another argument for the inseparability of these different aspects of his legacy. In The Family Reunion, for example, the instant of understanding and communion between Agatha and Henry is spoken of in terms of moments in the Rose Garden — a transcendental symbol of ecstasy, not easily interpretable without reference to the poems.

To turn to Four Quartets again: together they form a deliberate, sustained, discourse on the fragmentariness of experience. The central theme is that of the individual consciousness and identity as against the passage of time — the meeting of the temporal and the timeless, with echoes from Proust, Bergson, Kirkegaard, and finally centring on the Christian mystery of the Incarnation. The last of the Four Quartets, Little Gidding, has the same mixture of present and past evocation we have been learning to accept since The Waste Land. Little Gidding, the English place described, is associated with an Anglican seat for prayer, as with the names of the great religious poet Herbert and Vaughan. This alone suffices to set the religious tone. The occasion is that of a couple of men working as wardens during war time air raids. There is an allusion to the necessary choice between fire and fire — which alludes to London and Berlin, both equally tragic cities — and to the purifying fire of divine love and the destructive fire of lust and recalls the Fire in The Waste Land. As Eliot has told us, the past can be modified by the present: the last of the Four Quartets tells a lot about the early poem. Thus also the themes of Ash Wednesday are here re-interpreted and re-evaluated. The earlier pieces are of course not cancelled but each takes on an additional aspect. Little Gidding is connected with the other Quartets by an important

formal trait: each centres on one of the elements — air, water, fire, earth — and on one of the seasons as central images. The last of the Quartets ends on a note of hope. Echoing a fourteenth-century mystic, Joan of Norwich, the poem states that sin is behovely (unavoidable). Still the dove in it recalls the prophetic voice of the Holy Ghost as well as the Annunciation. The final voice reaffirms this note of hope:

And all shall be well, and
All manner of thing shall be well
When the tongues of flame are in-folded
Into the crowded knot of fire
And the fire and the rose are one.

So Eliot, the poet of despair, surprises us into hope. He might have surprised us again — had he lived more than the allotted three-score and ten which falls to the lot of mortals. In the Collected Poems, 1909-1962, a frank erotic note erupts at last in this most diffident and discreet of poets. In Dedication to my Wife, his private words said in public, he almost shockingly (after all he is not Yeats's wicked old man) speaks of our bodies, which smell of each other. This may puzzle the reader, if he sides with those critics who point out, among Eliot's deficiencies, his obscurity, and also his insufficient sympathy with the average man and with the merely human. Eliot, the poet, grew in sympathy and hope, just as, in his later years, Eliot the critic allowed for a catholicity of taste that made him revoke his judgement of Tennyson and Milton.

As to the dramatist, whatever may be said of his five full plays as drama, no one will easily deny their achievement

as poetry. In the free verse of the plays, where Eliot so studiously sought to avoid Shakespeare's blank verse, he manages to create, in his great moments, something similar to Shakespeare's poetic drama. One could say for certain passages of The Cocktail Party what Reese has said of Shakespeare's blank verse. It is neither prose, nor simply verse, suffused with the hypnotic power of poetry, but easy, fluent, colloquial, making possible the expression of the hesitations, thrusts and withdrawals of the inspired speaking voice. Such is the voice of Celia, for example, in The Cocktail Party. As, in the painful process of anagnorisis, she discovers herself, in discovering Edward, we find moments of unforgettable poetry.

Such is, for instance, the passage beginning:

Ah, but we die to each other daily
What we know of other people
Is only the memory of other moments
In which we have known them
And they have changed since then.
.....
Every time we meet again
We are meeting a stranger.

Here is Eliot the poet, rid of all obscurity with the lucid sustained voice which might be that of fluent conversation, if men talked like angels. This may be the Eliot that the judgement of the next literary age will perhaps single out as Eliot at his best.

NOTES

¹ Matthiessen, F. O. The Achievement of T. S. Eliot. An Essay on the Nature of Poetry. Oxford University Press, 1947.

² Reese, M. M. Shakespeare, his World and his Work. London, Edward Arnold & Co., 1953.

³ Unger, Leonard. T. S. Eliot - Moments and Patterns. University of Minnesota, 1966.

LANGUAGE AND CULTURAL INTERACTION IN SAVAGES (*)

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"To understand man's humanity one must understand the language that makes him human".

Language is everywhere. It permeates our thoughts, mediates our relations with others and even creeps into our dreams. Most human knowledge is stored and transmitted through language. So it may be seen as much more than the external expression and communication of thoughts: language is a part of culture, of that entire way of life shared by the members of a community. If language is a part of culture, it is true that culture is transmitted through it. The fact that mankind has a history and animals do not is the result of language. Possession of language distinguishes man from other animals. "To understand man's humanity one must understand the language that makes him human".¹ According to the philosophy expressed in the myths and religions of many peoples, it is language which is the source of human life and power. To some people of Africa a newborn child is a thing, not yet a person, because the baby has no language, and perhaps for the same reason, to English people a baby is it. Only by the act of learning language does the child become a human being. Thus, according

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to this tradition, we all become human because we all know at least one language.

However, verbal language, the language of words (written or spoken) is only one of the aspects of language, and it may be more or less valued. The French theoretician Antonin Artaud, for example, discarded verbal language in favour of gesture and symbol on the stage. Theatre and life, for him, were part of the same process. This conviction was embraced by many American playwrights who gave emphasis to physicality, spectacle and performance as a reaction against the dominance of verbal language, which, according to Artaud, "might not be removed, but cut down to size".² The British theatre resisted this precept remarkably, mainly because of its highly traditional form, and also because of the English people's worship for their own language. For the most part, the British theatre remained committed to a more conservative view of the theatre, in which verbal language continues to have a more important role than other forms. So, in the sixties, we find, among many British writers, those who show not only how language can function as a whole generation's voice, but also how the language of drama can be connected with social and physical manipulation, as an instrument of social control and moral evasion.

This paper is an attempt to study a play by one of those writers, Christopher Hampton's Savages, from the viewpoint of language both as a manifestation of human life, and as an instrument of power.

The play is made up of two subplays: a didactic play concerning the mass murder of Brazilian Indians and a personal drama having as characters Alan West, an English diplomat, and Carlos, a Brazilian guerrilla fighter.

I've tried to analyse Alan West in relation to the other

characters. He appears in almost all of the scenes of the play, except for scenes such as 7 and 14 that function as a narration, although facts are told through a dialogue between an American investigator and a soldier. First Alan West takes side with an anthropologist; together they denounce the extermination of the Brazilian Indians. Their attitude as a whole is almost an attempt to protect ecology, as if the savages were specimens in extinction. Secondly, West allies himself with a British member of the SPI (Indian Protection Service) and with an American missionary. Together they accept the inevitable extermination of the Indians. Allegedly their attitude as a whole is now that of an effort to "integrate" the Indians as if they deserved "salvation" despite their status as inferior beings. Finally West identifies himself with the savages when he functions as a translator of their myths. In fact, however, he acts as a murderer, who symbolically kills the Indians even as he is translating their myths into poetry, without a true appreciation of the myths as an expression of Indian life.

Language here would be connected with a kind of "gradient of humanity", a continuum of degrees which vary from [+ human] on one side and [- human] on the other. Articulate language is placed at the [+ human] side and no language at all at the [- human] side. The more articulate the language is, the more human the person is considered. For this reason the Indian maid who never speaks in the play is ridiculed and regarded as ignorant by West's wife. Likewise the Indians hardly speak at Major Brigg's and Rev. Elmer's houses, and coincidentally they are slaves. Verbal language, on the contrary, is used by the major and the priest. The former is convinced that, since there is no hope for the Indians, it would save trouble if the extermination could be completed as quickly as possible.

The latter claims that he has succeeded in changing the lives of the savages by converting them to Christianity. In the scenes where the savages appear, they only use gestures, not verbal language. While they are performing their rites, Alan West recites their myths, now translated into poems in English. Therefore, the Indians are presented as if they were unable to articulate their own experience and life, which have to be now translated by a more erudite voice, which holds superiority not only at a linguistic level but also at a cultural and human level.

So, verbal and articulate language, besides being a manifestation of humanity, becomes an instrument of power: Major Brigg, Rev. Elmer and West, by using it, exert dominance over the Indian people.

But language becomes an instrument of power also in the second subplay. As each language in the world is spoken by the people of a country, each connotes patriotism and independence. Giving ground to another language under pressure thus stands for submission. West, as a prisoner, is not allowed by Carlos to make poetry in his own language. Carlos, as a guerrilla, is fighting against foreign dominance. His concern is not with the Indians as a people. For him they represent a small group within the entire Brazilian people, who are killed by poverty in the slums everyday. His fight is against the class system and dictatorship in Brazil. These are, in his opinion, responsible for the Brazilian situation of oppression and underdevelopment.

The English writers in the sixties and seventies have rejected the gestual theatre in favour of a verbal one. Christopher Hampton, on relating verbal language to certain groups of people like the Whites, is following the trend of

his contemporaries, while he is subtly praising those groups. As the same time that the play is understood as a denunciation of the extermination of minorities and of cultural domination, it is subtly permeated by racial and linguistic prejudice.

NOTES

¹ Fromkin & Rodman "What is Language". In An Introduction to Language. Holt Rinehart and Winston Inc., 1975. p. 1.

² Artaud, Antonin. The Theatre and its Double. New York: Grove Press Inc. 1958, p. 89.

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J. G. BALLARD'S PARABLE OF CIVILIZATION

Thomas LaBorie Burns

- UFMG -

Later, as he sat on the balcony eating the dog, Dr Robert Laing reflected on the unusual events that had taken place within this huge apartment building during the previous months.

With that striking statement in the blindest prose, Ballard's novel High-Rise¹ begins. The story that follows is a flashback of three bizarre months in which the rich residents of a huge, 40 storey block of flats slowly descend into barbarism. The High Rise is the latest architectural marvel for the affluent upper-middle class: doctors, corporation lawyers, executives, and, on the lower levels of the building, TV producers, airline pilots, and so on. All services, including supermarket, liquor store, hairdressers and extras like swimming pools, sculpture garden, elementary school, are a part of it, so that one needn' even leave the building, an ironic notion once the story gets underway. One by one these services and luxuries break down or are abandoned, and rather than a mass exodus the seemingly perverse inhabitants are all the more induced to stay. The building is seen by Dr Laing as the creator of a "new social type":

a cool, unemotional personality impervious to the psychological pressures of high-rise life, with minimal needs for privacy, who thrived like an advanced species of machine in the neutral atmosphere. (p. 42).

This analysis, too, will become ironic when the new social type indeed emerges, but quite the opposite of an advanced species of machine. Dr. Laing (an allusion to Ronald?) himself is attracted to the place in the aftermath of his divorce. He has sought an environment whose appeal is that it was "built, not for man, but for man's absence" (p. 29).

The High-Rise is, or becomes, a richer symbol than the usual alienating concrete building of urban architecture, though it is that, too. Another main character is Anthony Royal, one of the designers of the building, who inhabits a penthouse on the top-floor, which he comes to think of as his throne room (Royal) from which he lords it over the lower orders. Of course, these are not peasants but jewellers and tax-accountants, yet he despises them for being trapped into their good taste (p. 96) and sees, like Laing, the building as a mid-wife for a new social order in which rebellion would be a break-out from conventionality and conformism. Royal's point of view is that of the aristocrat scorning the bourgeoisie. Richard Wilder (Wild-Man), on the other hand, lives on one of the bottom floors, whose geography reflects its inhabitants' rung on the social hierarchy. He is in the beginning seen as the leader of the proletariat storming the bastille of the upper floors. He soon discards this role for more satisfying ones of his own choosing and sets himself the mythic quest of climbing alone to the top of the building at a time when that once simple operation has become perilous and nearly impossible. At the beginning of the crisis, he drowns a dog in the swimming pool during a power failure:

As he held its galvanized and thrashing body under the surface, in a strange way he had been struggling with the building itself (p. 58).

He could not remember when he had decided to make the dangerous ascent — a kind of parody of the descent into the underworld mythic heroes usually make — and he had no idea of what he was going to do when he got there, but he had in some way to take on the building as a personal challenge to his manhood. Powerful of body as well as determined (he considers himself the strongest mentally and physically of all the tenants), he is himself aware of the mythology of his undertaking (p. 71).

The conflict begins innocently enough as a number of complaints about the huge building's faulty services, all trivial things in themselves but in the self-enclosed community of the High-Rise, subtly leading to conflicts between residents which soon polarize into a more general conflict between floors. A kind of class war develops between the upper and lower floors. The upper and richer, more snobbish residents who literally and figuratively look down on the Lower, with their broods of children (the Uppers have only expensive pets) and rowdy, unruly ways. The Lower feel the physical and figurative weight of all those floors above them, like an oppressed class whose lack of privileges (their cars are further from the building) and better physical condition reflect their status. In this situation, the middle-class is the middle section of the High-Rise, "made up of self-centred but basically docile members of the professions" ... (p. 63) They are content to merely observe the conflict at first, until they are forced to forge alliances with Uppers or Lower. They serve as a buffer between the combat zones and are afraid of having their access to their floors cut off (a danger from below) and their apartments attacked and vandalized (which can come from either direction), though they had originally been anxious for approval from the upper levels, whose "subtle patronage ... kept the middle ranks in line" (p. 63).

Wilder, a Lower and a former Rugby-league player, calls the High-Rise "a high priced tenement", which forms a contrasting point of view with Royal's "fur-lined prison." But the building defines itself in multiple ways. Its "animated presence" is compared to a living organism, the elevators the "pistons in the chamber of a heart." The people in the building are "cells in a network of arteries, the lights in their apartments the neurones of a brain" (p. 47). Although this metaphor is not carried through, on one level it is true enough: the building is obsessively self-contained, all the more so when its survival becomes threatened by the warring elements. It clings to life despite growing internal attack.

As the conflict grows and aggression mounts, radical leaders emerge from each faction and political metaphors become common. Primitivism is revealed as bands or clans of "villagers" form, as possessions began to be vandalized and robbed, and the circles close in on themselves for mutual protection. Violence, as with primitive peoples, becomes "a valuable form of social cement" (p. 109). Royal sees the political situation differently from his lofty vantage point. He and his future rival, Pangbourne (pang-born), a gynaecologist, plan to impose upper floor superiority and the building is seen by them as a geo-political realm:

Once we've gained a foothold there [i. e. the central mass] we can play these people off against those lower down - in short balkanize the centre section and then begin the colonization of the entire building...

A military situation thus develops with barricades, random destruction of services and abandoned apartments, refugees, sporadic raids, and especially night-fighting. The day, or a

few hours of it, becomes the time of an informal truce and during the "brief armistice of four or five hours they could move about" (p. 120). The relapse into barbarism is marked off by the passing of the hours. In the morning some residents get up and dress to go off to their jobs in the city, but as the night approaches they rush back to the increasingly clannish atmosphere where the threat of beating matches the limitations of movement and concern with territoriality. Eventually, no one leaves any more and the cutting off from the outside civilized world is complete. Telephone lines are cut and police are sent away, no complaints being registered! Lights and electrical services become haphazard as a literal and figurative Dark Ages sets in. Wilder and Royal begin to be seen as leaders of rival clans. Former squash partners, they slowly stare each other down and begin to square off for an ultimate confrontation on the roof, which Wilder is throughout as determined to breach as Royal is determined to hold. Even Laing in the middle levels feels exhilarated by the reassuring darkness, which becomes "the natural medium of life in the apartment building" (129). For Wilder, whose obsession begins to take on deviant forms as he ascends, "only in the darkness could one become sufficiently obsessive, deliberately play on all one's repressed instincts" (p. 142). For Ballard does not give in entirely to his parable of barbarism. His savages are after all upper-middle class Englishmen, and their regression is seen as well in the psychological language with which such men are familiar in the late 20th century. Even Wilder, the "proletarian" wild-man, can speak this language:

... Wilder was convinced that the high-rise apartment was an insufficiently flexible shell to provide the kind of home which encouraged activities, as distinct

from somewhere to eat and sleep. Living in high-rises required a special type of behavior, one that was acquiescent, even perhaps slightly mad. A psychotic would have a ball here, Wilder reflected (p. 62).

It is against this "de-cerebration," presumably, that the residents have trashed the building facilities. What at first seems fantastic, that a bunch of rich, civilized tenants of a luxury apartment building would start behaving like street punks, makes sense in a certain psychological context. Their gradual regression into primitive behavior is actually invigorating to them, it puts a new vitality in their lives that had been missing in their over-civilized routines and banal adulteries, their total alienation from man's basic values and primitive instincts. Here is the social critique of the novel as well as the explanation in the novel's terms of why the authorities are never informed of the goings-on even by the victims within the High-Rise. The residents have undergone a profound transformation, and even with real physical danger (or perhaps because of it) they really like it. The bizarre anarchy within the building begins to become more real to them than the civilized outer world, and one by one they abandon their jobs and connections with friends and relatives outside the building: mail is left unsorted and telephones are gone dead.

The novel can be read, indeed, as a parable of the decline of civilization and civilized values. The last thing to go is television, as the last man to leave the building is a TV announcer. Even so, TV is watched (with the sound turned down) by battery-power, the cave-man in MacLuhan's global village turned back on himself. Huddling in their barricaded apartments, they vainly await news of their own liberating rising, but

receive only the unreal news of an unaware, distant outside world. Barbarism is made evident by the falling standards of hygiene. The inhabitants stop washing and grow to enjoy their own ganey smells and the garbage-infested corridors and apartments of the building, a more authentic man recovering his olfactory sense from the alienating deodorants and "expensive after-shaves" of his civilized, T.V. self:

The dirt on his hands, his stale clothes and declining hygiene, his fading interest in food and drink, all helped to expose a more real version of himself.
(p. 118)

The environment reflects this new social order. The High-Rise itself is described as a "cliff face" and individual apartments take on the look of "caves" in which rearranged "family" and clan groups cower in mutual protection and fear. The committee meetings of the upper floors are "in effect tribal conferences":

Here they discussed the latest ruses for obtaining food and women, for defending the upper floors against marauders, their plans for alliance and betrayal. Now the new order had emerged, in which all life within the high-rise revolved around three obsessions - security, food and sex (p. 161).

Darkness, as mentioned above, becomes the preferred medium for action, and most significant of all, there is a declining need for that most important of civilized symbols: money. Residents forage for food in the ransacked apartments of others, seeking out hidden food caches, and eating even pet food off the empty

shelves of the sacked supermarket. Laing, the middle-class man, abducts his sister from her drunken husband in some ambiguous sexual rite where his fantasies can be given full play. The new order includes new sexual and family arrangements and the old civilized order does not escape criticism:

Her calm face gazed down at Wilder reassuringly. She had accepted him as she would any marauding hunter. First she would try to kill him, but failing this, give him food and her body, breast-feed him back to a state of childlessness and even, perhaps, feel affection for him. Then, the moment he was asleep, cut his throat. The synopsis of the ideal marriage.
(p. 189)

Sex and violence are linked for both Wilder and Royal. Royal's wife Anne is shaken from her aristocratic social superiority by an attempted rape. This invigorates her into social solidarity with the other tenants, especially women, and even her husband's open infidelity with her friend becomes part of a social pact. Royal, who has thought of himself as "lord of the manor" and awaits the revolutionary struggle with Wilder, is defeated in a minor power play by Painbourne through a woman's trick. He retreats into himself, taking Wilder's abandoned wife as his personal servant, and identifies himself with the white predatory birds that have come to hover over the death-throes of the High-Rise. In the unreality of the besieged upper-class, Royal seals himself up in his penthouse, even from his natural allies. But he too is subject to the metaphors of savagery and in his own way fascinated by them. An architect who has always been interested in the structures of zoos, he realizes that he has finally achieved a "gigantic, vertical zoo" in the

High-Rise (p. 159).

Wilder, in the meantime, pursues his ascent-quest in fits and starts. The higher he goes, the more perverse he becomes, as if the temptations are too much for unaided strength. But he takes refuge in his resemblance to a powerful savage. Urinating in a bath-tub, he spies his genitals in a mirror:

He was about to break the glass, but the sight of his penis calmed him, a white club hanging in the darkness. He would have to dress it in some way, perhaps with a hair-ribbon or tied in a floral bow (p. 151).

Right after this incident he gets drunk on two bottles of wine he finds and rapes the owner of the apartment, recording the sounds on a tape-recorder, and painting his chest with stripes of the red wine, the tape recorder reminding us that the struggle takes place in an apartment building, not a forest. When Wilder first began roaming the building, he had conceived the idea of doing a TV documentary on its declining services and the human response. He eventually gives up the idea of the documentary and begins to wield his camera as a club in corridor skirmishes. The mounting sacks of garbage in the corridors, apartments, and finally elevators show the residents to be "faithful to their origins" (p. 159) despite their adoption of barbarian ways.

The residents disdain the use of firearms in their possession by unspoken agreement. Their weapons are those of cavemen: clubs and spears. When their canned food runs out, they resort to eating dogs. Pangbourne, the modern gynaecologist teaches his allies birthcries, and Wilder has recorded his own primitive grunts as well as the sounds of his victims. When

he is nearing the top, he beats off an old woman and her daughter and makes a meal of their roasted cat. When he tries to speak to them, he "found himself grunting, unable to form the words with his broken teeth and scarred tongue" (p. 188). Regression to an infantile stage of unbridled Id is seen as the goal. Dr. Laing watches his neighbor, Steele, torture cats or fashion cross-bows from piano wire and the shafts of golf-clubs:

For weeks all he had been able to think about were the next raid, the next apartment to be ransacked, the next tenant to be beaten up. He enjoyed watching Steele at work, obsessed with these expressions of mindless violence. Each one brought them a step closer to the ultimate goal of the high-rise, a realm where their most deviant impulses were free at last to exercise themselves in any way they wished. At this point physical violence would cease at last. (p. 177).

A jeweller had fallen to his death from the top floor but no one had paid heed. When the apartments and halls are spattered with blood and corpses begin to appear, not much attention is paid either, for, before the neutral point is to be reached, the violence must escalate to the extent of Pangbourne and allies playing the execution game of "Flying School" (p. 167), where they send captured tenants from lower floors hurtling to the ground.

The climax of the novel comes when Wilder and Royal meet at the top in their duel for supremacy. Royal waits with his white Alsatian hound (the one Laing is munching on in the beginning of the novel) and his white gulls, dressed in his white safari

jacket. This may be an allusion to Melville's sailor, whose white jacket distinguished him from his mates. Royal's pride in the bloodstains sustained in combat also reminds one of Crane's "red badge of courage". Such literary allusions may seem far-fetched, but William Golding's Lord of the Flies does brood over the whole novel and, indeed, High-Rise is a sort of adult, urban version of the earlier book.

Royal is appalled to find his domain has been intruded on by a group of women, and the sculpture garden that he had designed for the use of the building's children is drenched with blood and scattered with bones picked clean by the birds, a kind of rooftop cemetery. When the two leaders finally meet, Wilder shoots him with a hand-bag pistol he had taken from the old woman's daughter, the first fire-arm used in the building's battles. But his mood had not been one of confrontation but of childish play. Wilder thought Royal was playing with him until he was struck by Royal's flung cane: "The strange, scarred man in the blood-printed jacket lying on the steps behind him had not understood his game" (p. 197). Having attained by now complete infantile regression with his successful ascent, Wilder meets a group of refugee children playing in the garden and their mothers, including his own wife, who had formed a clan of abandoned women and taken refuge at the top. Again, he fails to understand what he has accomplished in reaching the summit:

In their bloodied hands they carried knives with narrowed blades. Shy but happy now, Wilder trotted across the roof to meet his new mothers (p. 198).

Like most modern horror stories, Ballard's novel takes the clue from the eminently reasonable prose of Kafka to describe bizarre events. Ballard's style is suitably straightforward

and earnest, like Kafka's not without a certain black humor. He is also capable of the striking simile. An old woman flung to the ground by Wilder in his ascent is seen thus:

She lay there stunned, like a dishevelled duchess surprised to find herself drunk at a ball (p. 186-7).

Here is Royal's snobbish wife Ann:

She rode the elevators as if they were grandly upholstered gondolas of a private funicular (p. 87).

And the same women, under stress:

The childlike strains in her character had begun to come out again, as if she was suiting her behavior to the over-extended mad-hatter's tea-party that she had been forced to attend like a reluctant Alice (p. 84).

In an anti-climactic epilogue, the novel returns to the middle regions of Dr. Laing, as he is roasting Royal's dog (over a fire of telephone directories) for his two women. He had found Royal dying on one of the middle floors and helped him to the holocaustal swimming pool filled with bones and dismembered corpses. He reflects that "some of the residents had reverted to cannibalism." This final vision is one of a world after a nuclear holocaust. The few survivors, immune and indifferent to the scenes of death and destruction round them, live on at the most basic level of animal existence. The two women are near starving but the importance of infantile fantasy has in Laing's case also increased, the women "treating him like two governesses in a rich man's ménage, teasing a wayward and

introspective child" (p. 102). He plans to tip the balance of domestic power in his favor by getting them addicted to morphine, of which he has a small supply, and by their continuous dependence on him for food and basic necessities. He begins to think of returning to normal life, even his job at the medical school, after cleaning up and furnishing one of the apartments, happy with his "new-found freedom." But the mocking light of this ending is to be taken as the dawn of "the day after" in a brave new world. As Laing looks out at another high-rise in the distance, he sees a power-failure on one of the floors and the torch-beams moving in the darkness

as the residents made their first confused attempts to discover where they were. Laing watched them contentedly, ready to welcome them to their new world (p. 204).

NOTES

¹ London: Jonathan Cape, 1975. All page numbers refer to this edition.

CULTURAL IMPERIALISM

Vera Lúcia Menezes de Oliveira e Paiva

— UFMG —

Perhaps the commonest charge made against English teachers is that, by teaching an "imperialistic language", they lead students to worship the United States and to a lesser extent, England.

Some Brazilian teachers start their first class for beginners by asking them to make a list of words and expressions in English. Since nowadays it is almost impossible to find a single person in Brazil who does not know any English, the class is always a success. At the end of the class the teacher can easily prove to his students that they are actually "false beginners", that they know lots of English words and expressions and that they do use them in their daily communication. Nevertheless, the students are not aware of the great amount of foreign words they read, listen to or utter every day. The teacher can make their list grow and proudly start his own show. There is no better process than maieutic to get the wanted results. The students are expected to answer a lot of questions such as:

What's the name of your toothpaste?

Which shampoo do you prefer?

Do you wear T-shirts and Jeans?

What kind of shoes do you wear?, etc

The students are then induced, through that logical sequence of questions, to realize that the English language is

present in their lives from the time they are awoken by a Westclox* alarm-clock made in Brazil till the moment he goes to bed and turns off his General Electric lamp

When the students' FM/AM Electronic Digital Clock Radio sounds early in the morning they can press the snooze and sleep some minutes longer. Then they get up and brush their teeth with Colgate, Close up, Kolynos or Phillips. Next, it is time to put on their clothes. They can wear hang-ten socks, All Star tennis shoes, Sail Sider, Snoopy footwear, USTOP Colorado or Samello Docksidés. They slip into indigo blue jeans and put on one of their T-shirts with unknown English sentences printed on.

After dressing themselves with Master, Stormy, OP (Ocean Pacific)**, Company, Golden Cup, Hollywood Sportline, Pat's (the must of jeans), Jinglers, Seiki Fashion, Topper Summer Line, Topper Indigo Blue, Santista Cotton Crill, New Style, Strike, Raylane, Fitness, Sam Way, Top plus, Triumph International, Folly Dolly, Maxi Pull, Five Stars or Sanny they head for the kitchen which has been comfortably installed by Kitchens and equipped with the wonderful tweeny device which makes garbage disappear.

It is time for breakfast. They press the top of the

* All the underlined words in this text are commonly employed in Portuguese.

** Ocean Pacific is the name of a shop in Belo Horizonte. It is hard to understand why Ocean Pacific instead of Pacific Ocean.

Aladdin Pump-A-Drink and drink their coffee with waffles or cream-craker biscuits or even chips.

The next step is to take the Sansonite bag or one from the High Bulk Filament Collection made of nylon and verify if all their objects, including Bic pens, Paper Mate or Parker Vector are packed in.

Before leaving the house, they close the Duradoor doors of the closet, the living and the hall. They go to school by car which can be a Chevy, Caravan, Dodge Dart, Escort or Hatch. In their school there is a cafeteria where they can drink Coca-Cola and eat a sandwich: hot-dog, cheese-burger, egg-burger, hamburger, etc.

On weekends they usually go to a Steak House or to a Self-Service restaurant. When going shopping their favorite spots are the Shopping Centers where foreign products, considered the best by the great majority of the population, can easily be found.

The quality of a party is usually measured by means of the foreign whisky available. National whisky is despised and we do not know a single brand with a Brazilian name. The great dilemma is always to detect whether that Passport (Johnnie Walker, Long John, etc) was bottled in Brazil or not.

This story can be endlessly enlarged. When the class finishes, students and teacher may go home equally rewarded. The teacher feels he was able to motivate his students to learn English by pointing out the importance of the language. He awoke in his students the desire to study English in order to:

1. discover the meaning of the words they have been unconsciously using;
2. have the opportunity to increase their vocabulary;
3. form whole sentences, and finally

4. communicate through such "glorious, attractive and important language".

As the students realize that they know some English, they feel it will not be difficult to learn it completely.

The readers of this paper may probably say that this story is not new. They have already listened to it before and some may also add that they have been employing such a device for a long time.

Despite the general acknowledgement of the persuasive effect on the students, some doubts remain as to whether it functions as a motivating device or as an alienating mechanism. Some questions can be raised for us to think:

- What goals can we reach with such activities?
- What consequences may such a class bring?
- What ideology might the teacher be unconsciously revealing?
- Do the students know WHY so many English words are spoken all over the country?

It would be worth discussing with our students the reasons for such an invasion of English into Portuguese and consequently the cultural imperialism in our country.

According to Paulo Freire, the oppressed identify themselves with the oppressor feeling thus an irresistible attraction towards the dominator. Feeling inferior in relation to the oppressor, the oppressed start despising their own native language and customs and eagerly want to adopt the foreign language.

"A basic condition for the success of cultural invasion is the conviction of the invaded of their intrinsic inferiority. As there is nothing that does not contain its contrary, to the

there exists for him an imaginary reality and not his own objective reality. He lives through the vision of another country. Russia or the U.S. lives, but not Chile, Peru, Guatemala or Argentina."²

Jean Morriisset says that all the countries, including his, which is Canada, undergo a strong pressure from the cultural production made in the U.S.A., from videogames to Evangelic Churches, not to say the sex industry like Playboy magazine, for instance. He points out that the only shield these countries could use to defend themselves is the shield of their own identity and the strength of their own creativity.³

As Morriisset's article stresses, everybody in Brazil wants to learn English and I share his worry by saying that it is also important to provide opportunities for other languages. Morriisset asks why such an important country like Brazil considers the English language as its only linguistic alternative. I myself am not a xenophobe. I am not against the study of any foreign language. My concern has to do with the fact that our educational system disregards the other languages and promotes almost exclusively the study of English. Other languages would enlarge our cultural background, bring new sources of information and provide different cosmovisions as well.

Morriisset feels astonished to see that it is almost impossible to find a single shirt or blouse, or even a button in Brazil without their having something written in English.

As far as I could observe, the majority of people who wear clothes with English sentences printed on them cannot speak English. It seems that there is a strong desire to speak the language and thus identify themselves with the American people. As they cannot speak English they wear it. There is an anthropophagic relationship between Brazilians and the English

language. Our language, our culture, our economy are being devoured by the dominating English language which metonymically represents the United States. On the other hand the Brazilian people are destroying the English language when our schools graduate lots of "English Teachers" every year who are unable to utter a single word in English but who are ready to accept jobs as English teachers.

Going back to the point of identification with the dominator, I dare say that there are some persons who strongly desire to see our country invaded by our "American brothers". Such persons think that it would be the solution for our political and economical problems. The United States has been seen as the rescuing hero since World War II and also as the "Paradise Lost" where a host of Brazilian workers would like to live.

This tendency to identify oneself with the dominator is highly encouraged by mass media and a critical study of these means of communication would attain one of our aims as educator which is TO MAKE PEOPLE RECOGNIZE THEMSELVES AND BEHAVE FREELY.

"When a human being tries to imitate another, he is no longer himself. Likewise the servile imitation of other cultures produces an alienated society or object-society."⁴

Another point which should deserve our attention is the fact that English is a dominating language learned and spoken by a dominating class in Brazil. If a research is made it will probably be found that the people who speak English in Brazil belong to the upper social classes. The poor have no access to the learning of any foreign language. The higher classes hold the access to every "knowledge" and English helps them to do so.

A foreign language is also used to ridicule those belonging to inferior classes. One of my students once reported to me an amazing fact. She works for a catering firm as a waitress. All the waitresses who work with her are university students. During one of the parties she was working at, two Brazilian girls talked to her in English in order to make fun of her. Although she had understood everything, her inferior status prevented her from answering anything, which made the two girls burst into laughter.

For the dominant classes, the fact of speaking English seems to reaffirm their higher position in society. They are highly identified with the dominator as they explore the poor by getting money through the labor of underpaid workers; they are the landowners; they are the ones who control science and religion; they consider themselves Very Important People.

Brazilian newspapers and magazines are full of English words and expressions. Many of them have already been incorporated into our lexicon. But are all of them really necessary? Do they not have correspondent words in Portuguese?

English is commonly found in comic strips and cartoons in newspapers. Taking for granted that newspapers are read by all the social classes I would like to ask if those bilingual pieces of work are understood by their readers and whether they are working as unconscious instruments of cultural domination or not.

I would like to produce some examples just to illustrate my concern.

EXAMPLE 1

Now sem rumo

LOR



in Estado de Minas, August 8, 1985.

Lor's comic strip, "Now sem Rumo" (Wandering ship) presents a pun with the word NOW which is a phonological homonym for NAU (a kind of sailing vessel) in Portuguese. Lor criticizes the present political moment in Brazil (NOW) through the ship metaphor which is generally employed by humorists and political columnists in Brazil.

"The experience of time is a natural kind of experience that is understood almost entirely in metaphorical terms (via the spatialization of TIME and the TIME IS A MOVING OBJECT...)"⁵

Since the last years of Figueiredo's government, Brazilian political problems have been visualized as a ship sailing on troubled waters. It is also hoped by the Brazilian population that this situation, like a trip, will be transitory. The future, we believe, will be different. "NOW" is just a part of the Brazilian travel towards the safe harbor of the future, which will be the solution to all political and economical problems.

Working on the level of the two languages, we can see the fusing of the two words "NOW" and "NAU" into mingling

metaphors.

NOW is TIME. TIME is a moving object. This moving object is a ship (NAU or NAVE² which is the synonym that appears in the first speech of the comic strip).

NOW is the present political moment, it is a ship sailing on troubled waters. Time is passing, the ship is moving, but it is difficult to cope with all the problems, the darkness inside the ship (a escuridão dentro da nave).

The ship is dark because NOW it is night and night stands for the unknown. The Brazilian government are in darkness, they are looking for solutions in the same way as the ship full of darkness is sailing across troubled waters.

EXAMPLE 2



in Folha de São Paulo, July 16, 1985.

Çiça is perhaps the only woman humorist who deals with political subjects. She is always criticizing our political and economical situation.

* Just to illustrate, it would be interesting to note that that kind of sailing vessel (NAU) was the means of transportation used to carry Brazilian Gold to Portugal. Though this may sound rather far-fetched, I dare say that NAU has always meant problems for Brazil, since its discovery in 1500!!!

In this comic strip, specifically, she talks about the amount of money Brazil owes to foreign banks, especially American ones. There is a hidden character who speaks a mixture of Portuguese and English. The expression Oh Yeah?, in the second picture shows us that the character is American. The statement "Se acordo good pra vocês, pra nós péssimo business" (If the agreement is good for you, it is very bad business for us) is a clear reference to the unforgiven statement by Juracy Magalhães^{*}: "O que é bom para os Estados Unidos é bom para o Brazil" (What is good for the United States is good for Brazil).

In fact, Ciça tries to show the opposite. What is good for Brazil is generally bad for the United States.^{**}

It is also interesting to observe how Ciça tries to implode the imperialistic language by fitting its vocabulary into Portuguese structure. The readers may understand this comic strip because the meaning of the English words can be inferred from the context.

* Brazilian Minister of Foreign Affairs during the government of General Castelo Branco.

** A good up-to-date example could be the Brazilian exportation of shoes which has been facing restrictions from the American government. Brazilian newspapers of November 17, 1985 talk about a law recently voted by American senators limiting the importation of shoes. As a great amount of shoes produced in Brazil are exported to the United States, that law will directly affect the Brazilian economy. As everybody knows exportation is the solution to pay our debts.

But a question is still pertinent: Would that comic strip communicate better if it were totally written in Portuguese?

EXAMPLE 3

Urbano, o cidadão

BARETA



in Estado de Minas, August 8, 1985.

Bareta tells the story of an American tourist asking for information, in English. The Brazilian character thinks he has been robbed by a German-speaking man.

If we analyse the tourist's speech we will find a lot of mistakes. Those mistakes may induce us to think that he is actually a Brazilian guy pretending to be a foreign tourist. The logical conclusion, however, is that the author does not know English well.

Let us suppose that the reader does not know English. He will neither detect the mistakes nor recognize the language the tourist is speaking. But language will not prevent the reader from seeing that the character is a tourist because of some semiotic elements such as: sun glasses, flowery shirt and shorts usually worn by tourists. There is also a camera and tourists are fond on taking photographs. As there is no weapon in the tourist's hands and no aggressive body expression, the reader may doubt whether a holdup is happening. This doubt is

increased by the interrogation mark in the last picture. Urbano's empty balloon indicates he cannot answer the tourist because they do not speak the same language. Urbano's last speech, however, may induce the reader to think that the tourist was actually speaking German.

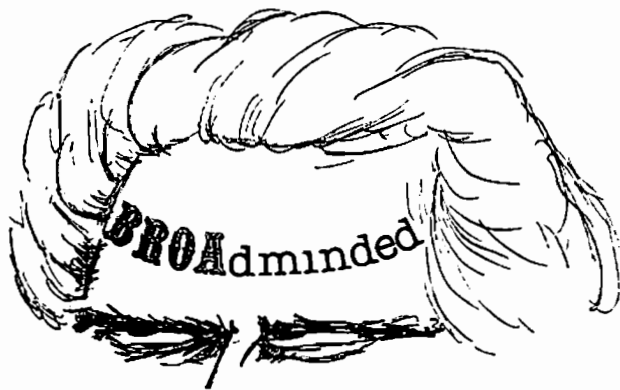
I dare say that only persons with some knowledge of English would understand the story. Perhaps, the only goal achieved by Baretta was one which I am sure he had not aimed at: to be laughed at because of his stupid mistakes.

It is worth noticing that while Ciça's misuse of the language is a conscious process, Baretta's is not. While she uses a mixture of Portuguese and English, he tries to use perfect English although unsuccessfully.

EXAMPLE 4

MILLORE

O Ministro Alúzio Poivre diz que aceita sempre com o maior bom humor as críticas à sua — tão peculiar! — filosofia cultural porque é, todos sabem, um homem extraordinariamente



in Jornal do Brasil, October 20, 1985.

Millôr Fernandes is always making fun of our Minister of Culture, Aluizio Pimenta. He says the minister is broadminded, making a pun with the Portuguese word BROA (a kind of maize cake) and BROAdminded. The Minister has been severely criticized by Millôr, but it seems he went too far with his criticism.

According to Aluizio Pimenta the word BROA is just a metaphor for Brazilian regional food. He wants the Brazilian people to value our native food, instead of adopting hot-dogs, Coca-Cola, etc. Some people disagree with the idea that food is also culture and attack the Minister.

But it is really odd to see Millôr writing in English, in a Brazilian newspaper, to talk about Brazilian culture. Millôr is a very paradoxical scholar*. At the same time he criticizes the imperialism he stuffs his works with English words. He has produced lots of cartoons and the English language is present in many of them. Does it not sound like identification with the dominator? As an artist who intends to be popular, is he not being hermetic? Is he not hiding from his public the content of his humor? Is he not limiting the access to his work and also ridiculing those readers who do not understand English?

Our discussion was limited to examples taken from newspapers and magazines but cultural imperialism can be observed in other areas.

A - Almost all the songs broadcast every day by our radios are American or British. Besides the foreign songs we can find Brazilian ones presenting a mixture of English and Portuguese.

Examples: 1. "Eu sou free, sempre free
eu sou free demais"⁶

* Millôr Fernandes is a humorist, a playwright, and a famous translator.

extent that the invaded recognize themselves as "inferior" they will necessarily recognize the superiority of the invaders and take on their values. The more advanced the invasion, with the alienation of the being and the culture of the invaded, the more the latter will want to look like the invaders: walk, dress, and talk like them."¹

What is the most effective means of preventing this kind of class from being, however unintentionally, instrumental in increasing the amount of alienation in Brazilian students? Or, to put the question more constructively, how can the teacher carry out his traditional mission of informing and educating in such a way that the English class will tend to reduce alienation rather than increase it? The question is not simple in itself but the teachers should try to lead their students to "reading" reality critically. The first English class can be the very first opportunity for the students to think and discover that they have been manipulated as puppets by foreign policies. They can realize that mass media is spreading the English language not as an instrument for them to be in contact with "knowledge" but as a means of political domination.

In such a discussion, the students may discover that our industry is actually not ours and that whenever a toothpaste is bought, royalty is paid to foreign companies. They may also discover that some products, mainly clothes, are really Brazilian although labelled by foreign names in order to impose themselves on the market. As everybody knows, the Brazilian people reject their own products and overestimate every imported product. Such behavior is easily understood if one goes back to Paulo Freire's thoughts.

"The alienated being does not look at reality using his own criteria, but through the eyes of others. For this reason

"Sou free" is a phonological homonym for "sofri" (I suffered).

2. "eu quero passar um weekend com você"⁷

Some Brazilian artists change their names adopting American names in order to achieve success. Some of them not only sing but compose songs in English, selling lots of records.

B - Some years ago there was an ad on TV totally spoken in English.

"The Jeans story

(Introducing the Johnny-Mary family)

Many years ago, in the old past, all the people used cowboy jeans. Now we present the Johnny-Mary collection. From Buffalo to Travolta. Johnny-Mary Jeans. Yesterday - Today - Every day."

"Johnny-Mary" is a shop in Belo Horizonte.

C - Whoever has never heard, during informal chats, expressions such as "Good-bye!", "Shut up", "Ok", "Let's go", "Estou sêm "money" (I have no money), "I love you", etc?

By the way, some days ago I could watch on TV some people discussing the different effects of saying "Eu te amo" and "I love you". They had gotten to the conclusion that it is much more romantic and easier to say "I love you" than "Eu te amo".

D - Whole dialogues in English can be heard in the Soap-Operas and this has aroused in a manicure I know the deepest desire to study English. She has told me she wants to learn English in order to understand everything around her, but she

pities herself by saying she has no money.

Our fragmented reality is so interlaced with American culture that I fear it will be impossible to live well adapted in this country within a few years without knowing English. Language has always been an instrument of domination and our people are gradually losing their own identity and assimilating the American model.

As Paulo Freire says "the alienated, insecure, frustrated man is more form than content; he sees things more on the surface than on the inside"⁸.

As a conclusion I urge all teachers to help their students to engage themselves in reality, abandoning any naïve conscience of the world. It is necessary to guide students into a critical "reading" of the world so that they can have a real engagement in reality, which has been continuously manaced by cultural alienation.

NOTES

¹ FREIRE, Paulo. Pedagogia do Oprimido. Rio de Janeiro, Editora Paz e Terra, 1975, p. 179: - translation into English by Thomas LaBorie Burns: "Uma condição básica ao êxito da invasão cultural é o convencimento por parte dos invadidos de sua inferioridade intrínseca. Como não há nada que não tenha seu contrário, na medida em que os invadidos vão reconhecendo-se "inferiores", necessariamente irão reconhecendo a superioridade dos invasores. Os valores destes passam a ser a pauta dos invadidos. Quanto mais se acentua a invasão, alienando o ser da cultura e o ser dos invadidos, mais estes quererão parecer com aqueles: andar como aqueles, vestir à sua maneira, falar a seu modo."

² Id. *ibid.* p. 35. "O ser alienado não olha para a realidade com critério pessoal, mas com olhos alheios, por isso vive uma realidade imaginária e não a sua própria realidade objetiva. Vive através do outro país. Vive-se Rússia ou E.U., mas não se vive Chile, Peru, Guatemala ou Argentina."

³ MORRISSET, Jean. Yes, we speak English, Jornal do Brasil, September 22, 1985.

⁴ FREIRE, Paulo, *opus cit.* "Quando o ser humano pretende imitar a outrem, já não é ele mesmo. Assim também uma sociedade servil de outras culturas produz uma sociedade alienada ou sociedade-objeto."

⁵ LAKOFF, George and Mark Johnson, The metaphors we live by. Chicago, the University of Chicago Press, 1980, p. 118.

⁶ TRAVASSOS, Patrícia, and Ruban. Eu sou free.

7 MESQUITA, Evandro. Weekend.

8 FREIRE, Paulo. Educação e Mudança, Rio de Janeiro, Editora Paz e Terra, 1981, p. 25 - translation into English by Thomas LaBorie Burns: "O homem alienado, inseguro e frustrado, fica mais na forma que no conteúdo, vê as coisas mais na superfície que em seu interior."

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A REPÚBLICA FEDERAL DA ALEMANHA HOJE:
ASPECTOS SÓCIO-ECONÔMICOS, POLÍTICOS E CULTURAIS *

Vilma Botrel Coutinho de Mulo
— UFMG —

Markierung einer Wende¹

Ernst Jandl

1944	1945
Krieg	Krieg
Krieg	Krieg
Krieg	Krieg
Krieg	Krieg
Krieg	Mai
Krieg	
Krieg	
Krieg	
Krieg	
Krieg	
Krieg	
Krieg	
Krieg	

* No presente trabalho, apresento experiências vividas na RFA, como bolsista do Goethe-Institut, em um curso promovido em Munique por esse instituto, para professores brasileiros de língua alemã. Como fonte informativa, além dos livros mencionados na bibliografia, uso artigos de jornais e revistas, panfletos e prospectos aos quais tive acesso durante o meu curso.

I - A "Questão Alemã"

Com o fim da 2ª Guerra Mundial, começa uma nova era para a Alemanha. A partir de 1949 existem dois estados sobre o solo alemão: a República Federal da Alemanha (RFA) e a República Democrática Alemã (RDA). Entretanto, os dois estados buscaram uma reunificação desde o governo de Konrad Adenauer até 1955, quando a RDA propôs apenas uma confederação dos estados alemães. A partir de 1955, o governo da RFA, sob a chefia de Willy Brandt, deu novas bases às relações entre os dois estados. Os acordos firmados entre os dois lados permitiram uma sensível melhoria nas relações comerciais; houve, também, um acordo sobre o trânsito entre a RFA e Berlim (1971) e, por fim, um acordo de saúde, outro sobre as transferências sem fins comerciais e um acordo postal e de telecomunicações.

Existem ainda muitas limitações e contradições nas relações entre ambos os estados alemães, quanto à questão nacional. Para a RFA os cidadãos alemães são os habitantes de ambos os lados, vinculados que são por laços lingüísticos e históricos e por uma série de fatores.

A RFA vê a relação entre os dois estados da seguinte forma: ambos os estados são soberanos e independentes, mas a RFA não considera a RDA como uma nação estrangeira. No intercâmbio comercial, as mercadorias vindas da RDA não estão sujeitas a taxas alfandegárias na RFA, e a taxação postal das correspondências para a RDA obedece à tarifa nacional.

Entretanto, para a RDA, há entre os dois estados as mesmas relações que existem entre dois países estrangeiros. Em sua constituição de 1968, a RDA se denominava "estado socialista da nação alemã" e pregava a aproximação paulatina dos dois estados até a sua reunificação. Em 1974 nota-se uma modificação radical na constituição da RDA, onde não se vê referência a uma nação

comum, e se afirma que nos dois estados alemães nasceram duas novas nações.

A "questão alemã" passou a ser um assunto de menor importância no cenário da política mundial, mas, para os alemães, ela ainda é uma "realidade amarga e sempre atual, permanecendo assim, até que o povo alemão tenha a oportunidade de tornar real seu direito à autodeterminação".

II - As novas Tendências Políticas: Os Movimentos Alternativos, os Ecologistas, Movimento Feminista, etc.

Os movimentos alternativos tiveram suas raízes nas manifestações estudantis da década de 60 e no pensamento hippie. A religião teve também uma grande influência nesses movimentos. Segundo o professor Joseph Huber (sociólogo, professor da Universidade Livre de Berlim [RFA]), a espiritualidade que influenciou os alternativos é basicamente a mesma que influenciou outros movimentos sociais. Nos momentos de crescimento econômico, o homem torna-se mais racional e a sua preocupação maior é ganhar dinheiro. Já nas épocas de crise, onde há questionamento de toda espécie, o homem volta-se para os problemas sociais e procura uma solução para eles. Nessa época há uma tendência para o romantismo e para o espiritualismo. Em seu livro Wer soll das alles ändern (Quem deve mudar tudo), Huber chama a atenção para o pluralismo das tendências alternativas, o que pode ser comprovado nos seguintes movimentos: ecológico, pacifista, feminista, esotérico, de auto-administração, entre outros. O movimento ecológico surgiu no início da década de 70, de iniciativas político-partidárias, principalmente de membros do Partido Social Democrata. Essas iniciativas, que a princípio eram apenas dos parlamentares, ampliaram-se a outros campos. De grande importância

foi a criação da "Rede de Auto-Ajuda" (que tem por objetivo angariar recursos para financiar os projetos alternativos), dos jornais "Tageszeitung" (TAZ) e "Die Neue" e a instituição do partido "Die Grünen" (Os Verdes).

As pessoas que não toleravam viver nos grandes centros urbanos passaram a procurar uma vida melhor, no campo, criando assim os movimentos esotéricos. A proposta dos movimentos emancipatórios era que as pessoas procurassem desenvolver a própria personalidade. Os grupos pacifistas proclamavam a não-violência. Os movimentos feministas visavam à emancipação da mulher em relação ao domínio masculino, e se organizaram em diversas frentes: grupos de saúde e alimentação, grupos de auto-exame e auto-ajuda médica (inclusive psicológica), manutenção de casas para mulheres vítimas de violência, grupos de música, teatro e artesanato e, naturalmente, participação ativa nos movimentos políticos, alternativos e ecológicos. Na RFA muitos desses grupos estão ligados à Igreja Evangélica; seus objetivos são anti-imperialistas e eles se preocupam com os problemas do Terceiro Mundo. Em Berlim foi criada a comunidade alternativa, onde a ideologia predominante baseia-se no trabalho, na paz e no desenvolvimento humano (em contraposição a um crescimento meramente produtivo). A comunidade alternativa está em busca de uma solução para os problemas sociais. Um exemplo de comunidade alternativa é a fábrica Ufa, um estúdio cinematográfico nazista, abandonado desde 1972, e que foi ocupado pela "Fábrica de Cultura, Esportes e Artesanato", em 1979, onde 150 pessoas moram e trabalham — as oficinas foram montadas por eles mesmos. A fábrica atende atualmente parte da população de Berlim e é a melhor alternativa contra os altos custos da prestação de serviços. Na fábrica e nas outras comunidades alternativas da RFA, trabalha-se e estuda-se em completa igualdade de condições. Professores e alunos aprendem e ensinam. Os alunos é que determinam o salário

dos professores. As mulheres têm voz ativa e as decisões são tomadas em conjunto.

Existem, na RFA, cerca de 20 mil projetos alternativos nos quais estão envolvidas de 80 a 180 mil pessoas. Para o Professor Huber, a importância desses projetos extrapola as áreas econômica e ecológica, e será decisiva no campo social, político-social e cultural. Os programas alternativos contribuem para modificar a consciência das pessoas e abrir o campo social e cultural para o mundo de amanhã.

III - A Salvação do Meio Ambiente

Os cidadãos alemães estão empenhados em salvar o seu meio ambiente. Depois de constatar que 50% das plantas estão danificadas, os cientistas tentam de todas as maneiras descobrir as causas e eliminá-las. Um dos destruidores das florestas alemãs, o besouro "Borkenkäfer", está sendo eliminado, depois da fabricação em laboratório do cheiro exalado por esse inseto, para avisar aos companheiros onde foi encontrado alimento.

A chuva ácida é outra causa importante da destruição das florestas. O enxofre queimado no carvão e óleo transforma-se em dióxido sulfúrico, que, liberado na atmosfera através das chaminés das indústrias, e juntamente com o oxigênio e a água da chuva cai ao solo e se agarra aos prédios (daí a destruição de monumentos arquitetônicos e obras de arte) e também se infiltra no solo. A superacidificação destrói o equilíbrio biológico da terra e as plantas morrem. Não só a proximidade das indústrias ameaça as florestas. Mesmo aquelas mais distantes são afetadas quando recebem a fumaça das altas chaminés trazidas pelo vento e espalhadas até lugares bem distantes.

Todos os cientistas são unânimes ao apontar a poluição do

ar como a principal causa da destruição das florestas.

Resta agora pesquisar as substâncias que se infiltraram no solo e descobrir uma maneira de se conter a sua influência no equilíbrio ecológico.

Existem, no momento, 45 projetos financiados pelo Ministério Federal de Pesquisa, visando ao esclarecimento da destruição das florestas.

O mapa da poluição dos rios alemães mostra que apenas algumas regiões próximas às nascentes ainda não foram atingidas.

O Rio Reno, do qual 10 milhões de pessoas tiram sua água potável, é hoje depositário de produtos químicos (por exemplo, a Companhia de Potassa da Alsácia lança no Reno 1.200 kg de sal por segundo, que sobram da produção de 11.000 toneladas diárias de adubo), esgotos domésticos e industriais, água de refrigeração de instalações industriais e lixo diversos. Apenas 50% das águas dos esgotos são depuradas (mecânica ou biologicamente) de maneira adequada antes de serem levadas de novo ao leito do rio. O governo tem tomado medidas, como por exemplo, a criação de incentivos econômicos para a construção de estações depuradoras, melhoria da tecnologia no tratamento das águas de esgoto e fixação de multa para quem poluir as águas.

IV - A Nova Política Agrária: Ecologia e Energia Atômica

"Não devemos nos sentir lisonjeados com nossas vitórias humanas sobre a natureza.

A cada vitória, ela se vinga de nós."

(Friedrich Engels, 1876)

Essa afirmação de Engels é bastante atual, apesar de ter sido feita há mais de 100 anos. Os produtores rurais estão se

conscientizando dos efeitos nocivos do uso indiscriminado da tecnologia no meio ambiente. A chuva ácida destrói as florestas, os lagos, o solo, as plantações e esse efeito se faz sentir nos animais e nos homens. O emprego de adubos minerais, hormônios de crescimento, pesticidas venenosos e antibióticos influi diretamente no equilíbrio ecológico e as conseqüências estão sendo desastrosas. O ecologista de Kiel, Bernd Heydemann, constatou que a cada ano se extinguem na RFA muitos tipos de plantas e animais. Muitas doenças têm aparecido na fauna e na flora, cujas causas estão diretamente ligadas ao uso indiscriminado de produtos químicos.

Existem na RFA mais de 1.000 fazendas que se denominam bio-dinâmicas. São produtores rurais que não usam adubos minerais, nem pesticidas venenosos nas suas plantações. A criação de animais é feita sem o uso de antibióticos. Na ração desses animais não entram produtos importados do Terceiro Mundo (soja, mandioca, derivados de amendoim, restos de óleo, etc.) e sim da própria fazenda (como o feno).

Esses produtores rurais reunidos numa cooperativa (Aktionsgruppe Bauern und Verbraucher), propõem uma nova política agrária, baseada nos seguintes princípios:

1. A produção agrária deve seguir os princípios ecológicos.
2. Os empregos no campo devem ser assegurados e ampliados.
3. A produção rural deve ser colocada no mesmo nível das outras produções.
4. As medidas isoladas devem atender à realidade de cada região (dentro do Mercado Comum Europeu).
5. Os países em desenvolvimento devem se desenvolver de dentro para fora, independentemente.
6. Deve ser implantado o princípio de descentralização, para que cada produtor possa decidir, em todos os campos, o que é melhor para ele e sua propriedade, no que diz respeito à pro

teção do meio ambiente, produção de alimentos, formação profissional, trabalho e energia.

As pequenas fontes de energia podem ser usadas de maneira adequada para que seja abolida a dependência das grandes estruturas. O acoplamento de vários pequenos sistemas pode render o máximo, por exemplo, o acoplamento de células solares, biogás, energia do vento e outras.

A energia atômica ou nuclear é para alguns a solução para o abastecimento energético, já que ela é tida como a única energia "limpa", ou seja, que não polui o ambiente e conseqüentemente não provoca a morte das florestas alemãs. Contra esse argumento existem, contudo, os seguintes pontos levantados por esses produtores rurais acima citados:

1. Para solucionar o problema do escapamento do dióxido sulfúrico de todas as usinas de carvão existentes na RFA, seriam necessários 8 bilhões de marcos alemães, ou seja, o equivalente à construção de uma única usina nuclear.
2. Mesmo que a construção de usinas nucleares fosse viável, seriam necessários de 15 a 50 anos para esse empreendimento, e isso é muito tempo, se se pensar na destruição das florestas.
3. Uma usina nuclear não elimina o dióxido sulfúrico, porém o material radioativo deposita substâncias no meio ambiente que provocam o câncer. Existe, ainda, o perigo de acidentes nos reatores e do lixo atômico, que deve ser guardado 10.000 anos, o que é praticamente impossível. Além disso, a matéria-prima das usinas nucleares é o urânio, o que tornaria a RFA dependente da importação desse produto.

Na RFA os vinhedos são plantados, muitas vezes, em regiões acidentadas. Daí surgiu a necessidade de se fazer "pequenos degraus" ou "terraços" para o plantio das uvas. O alargamento desses "terraços" em algumas regiões da RFA foi uma medida tomada

visando à economia de mão-de-obra, à possibilidade do uso de máquinas e um maior aproveitamento do terreno. Os produtores, através da cooperativa já citada, propõem que, a partir de agora, não se faça nenhum alargamento e que, nos demais terrenos, seja feito um "arredondamento" da superfície, sem prejuízo dos interesses ecológicos. É que já se constatou a necessidade de preservação de áreas intactas para o homem e para os animais. Com a modernização, houve também a modificação do húmus da terra, provocando assim uma baixa de qualidade na produção das uvas e já se prevêem conseqüências graves para aquelas regiões.

V - O "Gastarbeiter": A Mão-de-obra Estrangeira não Qualificada

A expansão econômica da RFA em meados dos anos 50 foi tão grande que a mão-de-obra existente no país não foi suficiente para cobrir a sua demanda.

Assim, foram feitos acordos entre os governos da RFA e de alguns países, começando pela Itália (1955), visando ao recrutamento de trabalhadores estrangeiros para firmas alemãs, as quais faziam com esses trabalhadores um contrato empregatício. Em 1960 seguiram-se os acordos com a Espanha e a Grécia, em 1961 com a Turquia, em 1964 com Portugal, em 1968 com a Iugoslávia. Os contratos firmados em 1963 com o Marrocos e em 1965 com a Tunísia já foram feitos com base em um limite máximo de empregados contratados.

O número de trabalhadores cresceu e hoje vivem cerca de 3 milhões de "Gastarbeiter" juntamente com suas famílias na RFA. O término dos contratos se deu em 1973, quando havia cerca de 2 milhões de trabalhadores estrangeiros legalmente contratados na RFA.

Contrapondo-se à crítica de que o governo e a economia ale

mã usufruíram do trabalho dos "Gastarbeiter", existe o seguinte argumento: ambas as partes lucraram com o contrato: os trabalhadores, na medida em que tiveram chances de melhorar profissionalmente e de dar às suas famílias uma melhor condição de vida. A maior parte dos "Gastarbeiter" vêm de países pobres, onde trabalhavam por salários irrisórios ou estavam desempregados e os governos de onde esses trabalhadores emigravam, sentiam um certo alívio ao ver partir aqueles que, de alguma forma, eram um problema para o seu país. Entretanto, o emprego de trabalhadores estrangeiros como forma de ajuda aos países em desenvolvimento deve ser visto de forma negativa para aqueles povos da periferia da Europa, que exportaram para a RFA a sua força mais produtiva. A opinião da socióloga Verena Mc Rae é que, ao contrário do que se preconiza oficialmente, não são os países pobres que se beneficiaram com a acolhida dos "Gastarbeiter" na RFA, e sim a própria RFA.

A situação dos "Gastarbeiter" não mudou muito nesses 30 anos. Para eles, a dificuldade reside não apenas na adaptação ao trabalho, mas também à própria vida em um país altamente industrializado, onde ele se depara com as dificuldades da língua, os preconceitos, o isolamento, o problema da moradia, etc.

Segundo o Ministério do Trabalho e Ordem Social, vivem na RFA 1.000.000 de jovens abaixo de 16 anos, filhos de "Gastarbeiter". Frequentando escolas alemãs, ou com formação profissional básica e alguns já trabalhando, é de se esperar que a maioria não queira voltar para sua pátria. O governo federal lançou um novo programa de integração com ênfase na incorporação profissional e social da segunda geração dos "Gastarbeiter".

Para Verena Mc Rae, já é tempo de que a permanência dos "Gastarbeiter" na RFA não seja vista como provisória, e que lhes sejam dadas as mesmas chances de uma vida de cidadãos participantes, o que acontece atualmente na Suécia.

A questão do "Gastarbeiter" está diretamente vinculada a um problema de ordem social e econômica dos países em desenvolvimento, em relação aos países industrializados e só será equacionada quando a situação daqueles países estiver equilibrada a nível internacional.

VI — A Juventude Alemã: O Sistema Escolar Alemão: A Educação Antiautoritária

Existe na RFA um grande interesse em relação ao novo modelo de escola. O sistema escolar alemão dirige a criança ainda bem cedo a um dos três caminhos, de acordo com as notas alcançadas no nível primário. As mais bem dotadas intelectualmente seguem direto para o ginásio (que inclui o 2º grau) e daí, após o "Abitur" (teste no final do ginásio) para a universidade. Aquelas alunas com rendimento escolar médio fazem o ginásio em uma escola já voltada para a especialização técnica, tendo esses alunos, porém, a possibilidade de se graduarem em nível técnico superior. Os outros alunos fazem o curso ginasial numa escola que exige menos do aluno (no campo intelectual) e o prepara para um curso profissionalizante.

Grupos de pais, professores, psicólogos e pedagogos têm se interessado por uma escola mais humana. Esse é o caso da "Ação escola humana da Baviera". A sua proposta é a de uma escola orientada para a criança. Essa se vê sozinha ante a pressão da concorrência e a pressão de apresentar um rendimento escolar satisfatório. O medo prejudica a aprendizagem, bloqueia o pensamento, torna o aluno incapaz de se concentrar, se adaptar e muitas vezes causa distúrbios psicológicos graves. A "Ação escolar humana" propõe que as aulas, principalmente de nível primário, sejam fundadas em bases pedagógicas sólidas, onde cada criança a-

prenda de acordo com seu próprio ritmo, sem comparações constantes e sem avaliações por meio de notas. Os alunos aspiram a um confronto total com os elementos da aprendizagem, não apenas intelectual, mas também sensorialmente. Eles devem ser estimulados a serem mais ativos e a participar de verdade em cada atividade. A aula mais aberta, que incluía projetos dos alunos, presta-se perfeitamente a essa proposta. Pais, professores e alunos trabalham na "escola humana". Os dois últimos trocam ideias, não apenas sobre a matéria a ser estudada, porém, há um relacionamento mais próximo que estimula o processo da aprendizagem. Os pais, muitas vezes, não sabem como se comportar ante a pressão exercida pela escola, inconscientemente reforçada pela própria expectativa e a situação real do seu filho. Numa "escola humana" os pais e professores trabalham em cooperação estreita, evitando-se, assim, que os pais sintam que estão interferindo no trabalho dos professores, e que estes se sintam pouco apoiados pelos pais. Dos professores da "escola humana" exige-se não apenas a formação universitária específica, mas principalmente conhecimentos pedagógicos, psicológicos e didáticos que o ajudem a tornar a aula uma atividade agradável para o aluno.

O problema da escola é tão importante quanto o do desemprego entre os jovens. Quase um em cada três desempregados tem menos de 25 anos. Os mais atingidos são aqueles com um nível de instrução escolar ou profissional insuficientes. A criação de novos empregos e de vagas para o aprendizado profissional é uma tarefa urgente que está entre as prioritárias a serem assumidas pelo Governo.

VII - A Literatura em Língua Alemã depois de 1945

"Será que nós perdemos tudo? Não, nós, os sobreviventes

ainda estamos aqui. Ainda que não tenhamos nenhuma propriedade, onde possamos descansar, e ainda que estejamos abandonados ao extremo, o fato de estarmos vivos, deve ter um significado". Essas palavras fazem parte do prefácio do primeiro caderno da revista "Die Wandlung", publicada em novembro de 1945. Nos anos pós-guerra os sentimentos de depressão e complexo de culpa aparecem nos primeiros escritos, juntamente com a vontade de viver e a crença em dias melhores. O autor que melhor representa esse período pós-guerra é Wolfgang Borchert. Outros exemplos são os autores: Hans Erich Nossack, Elisabeth Langgässer, Ernst Schnabel, Luise Rinser e Ilse Aichinger.

A segunda fase da literatura pós-guerra traz autores que não se ligam a nenhuma escola ou grupo. Se há algum traço de união é o uso de narrativa na 3ª pessoa. É o caso de Heinrich Böll, Günter Eich, Felix Hartlaub, Gottfried Benn, entre outros. Nota-se na produção desses autores uma busca da auto-afirmação, um protesto contra o oportunismo e o otimismo oportunista, o pessimismo colocado como tema próprio da época e a enérgica defesa da chamada "literatura dos destroços" (Trümmerliteratur). Böll disse: "Não temos nenhuma razão para termos vergonha dessa denominação". Nessa época ocorre uma invasão da literatura estrangeira, principalmente da França, Espanha, Irlanda, Inglaterra e América do Norte, banida da RFA por mais de uma década, que, com sua temática, estilo e princípios, exerce influência juntamente com a obra literária do período até 1933 (novamente acessível) e a literatura surgida após 1933, em parte no exílio, de Wolfskehl a Goll, de Broch a Musil, de Thomas Mann a Alfred Döblin. Esta foi uma fase muito rica, onde os autores buscaram uma compensação para os "anos de silêncio" (de 1933 a 1950). Tentou-se continuar o que havia sido interrompido, procurou-se expressar o que foi vivido e experimentado por cada um. Foi naturalmente uma volta ao tema guerra, com novos conteúdos e

formas. Os autores Böll, Eisenrich, Kolbenhoff, Wolfgang Koeppen, Michael Horbach, destacam-se nesse período.

A partir de então insinuam-se na literatura alemã outras temáticas que ganharam terreno em outros países: o vazio, a indolência, o tédio, a apatia da alma que leva até à náusea. Entre os autores desse período estão Wolfgang Hildesheimer, Martin Walser, Marie Luise Kaschnitz.

A literatura experimental começa após esse período. A metáfora lírica e o fluxo épico deram lugar a uma idéia platônica ou a uma reflexão metafísica. Em vez de inspiração aparecem a reflexão, o raciocínio, a concentração. Os exemplos seguidos foram os de Joyce, Proust, Camus e Huxley. Thomas Mann trouxe para a literatura alemã com sua obra Dr. Faustus, a prova da necessária mudança da forma do romance tradicional. Um outro exemplo é o de Gottfried Benn com seu livro Ptolomäer.

A partir daí preocupam-se os autores com o que há atrás das coisas, sondando assim o psicológico. Há um afastamento para um "país de sonhos" que na verdade é vivido e não sonhado. É o caso de Hermann Lenz. Na obra de Broch (Schlafwandlern) aparece o país dos sonhos transformado em uma segunda e legítima realidade.

O fragmento, já usado desde o romantismo, corresponde ao aspecto fragmentado do mundo, tal qual é visto por cada autor. A obra de Max Frisch, Homo Faber, é um exemplo dessa fragmentação.

O escritor Siegfried Lenz (juntamente com Wolfdieterich Schnurre e outros), provou com suas obras que a palavra "moderno" não significa necessariamente o incompreensível, o difícil, o mágico, o obscuro, o irreal. A literatura experimental deve ser considerada uma parte da literatura moderna. Seria ousado afirmar que, por tratar da temática e da problemática do ser, a literatura experimental representaria a literatura moderna.

O humor, que aparece na literatura alemã depois de 1949 é provocativo e polivalente. Döbrenmatt, em 1955, expressa, através de uma frase, a sua visão caricaturesca da bomba atômica: "A forma se torna hoje poder, porém apenas onde ela explode, na bomba atômica, nesse maravilhoso cogumelo, que cresce e se propaga, imaculado como o sol, no qual beleza e morte coletiva são uma só coisa". É curioso observar-se sob quais formas o humor se apresenta: do escárnio ao cinismo, da sátira ao alvoroço, de pois que súplica e advertência, queixa e utopia (pessimista-profética) foram pouco ouvidas ou se excederam em sua forma artística. Alguns exemplos desse gênero são Jen Rehn com sua obra Die Kinder des Saturn (Os filhos de Saturno), Ernst Kreuder com Agimos oder Die Weltgehilfen (Agimos ou Os Ajudantes do Mundo). Hans Henny Jahn com Staubiger Regenbogen (O Arco-íris empoeirado), Böll com Ein Schluck Erde (Um bocadinho de terra). É um humor provocativo que comoveu não só escritores (tais como Günter Grass, Böll, Günter Bruno Fuchs, Herbert Heckmann), como também leitores, haja vista o sucesso do anão Oskar (o menino que se recusa a crescer, personagem de Grass no livro Der Blechtrommel - O Tambor).

No que se refere a poesia, apareceram alguns novos talentos como Hans Magnus Enzensberger, Walter Helmut Fritz, Ernst Meister, Karl Alfred Walken e Johannes Bobrowski, que vieram após Paul Celan, Ingeborg Bachmann, Günter Eich e Karl Krolow. Da geração mais recente destacam-se os nomes de Heissenbüttel, que trabalhou com a linguagem a nível simbólico, Franz Mon, Eugen Gomringer e Ernst Jandl, para quem o jogo de palavras e a poesia concretista são um ponto de referência.

A herança dos dramaturgos Brecht, Hasenclever, Kaiser, Toller, Brückner deixada aos novos escritores alemães precisa ser ainda "trabalhada". A dramaturgia encontra-se em fase experimental; nota-se, porém, um crescimento intenso, cujos contornos

já se deixam conhecer pelas cores e contrastes. Por um lado experimenta-se um realismo de procedência tradicional, e por outro, um salto corajoso para o absurdo e o macabro. No primeiro caso, os temas escolhidos são situações concretas ou reconstrução do tempo da guerra ou pós-guerra. O outro mostra fatos menos "palpáveis" ou uma crítica ao contexto social, político e econômico da época. Gerd Oelschlägel, o autor de Romeo and Julia in Berlin já dissera: "Não queremos esquemas, códigos, dísticos, surrealismo, abstrações ou contornos metafísicos". Alguns dramaturgos dessa fase são: Leopold Ahlsen, Herbert Asmoli, Richard Hey, Erwin Sylvanus, Karl Wittlinger.

NOTA

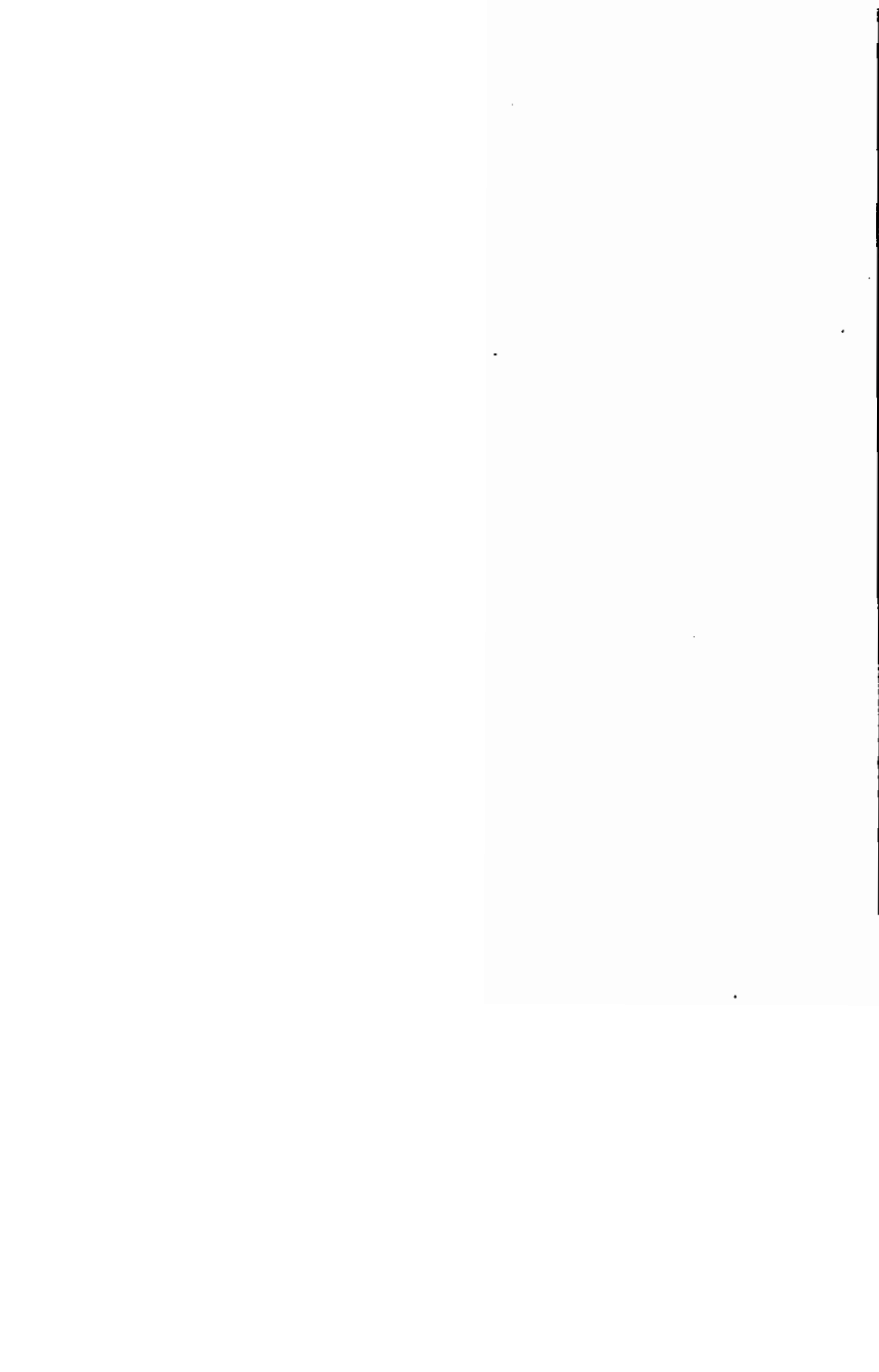
¹ A poesia Markierung einer Wende (Marco de uma mudança; a palavra "Krieg" significa, em Português, "guerra"), é uma das poesias reunidas para fins didáticos no seguinte livro:

KRUSCHE, Dietrich & KRECHEL, Rudiger. Anspiel, Konkrete Poesie im Unterricht Deutsch als Fremdsprache, Bonn, Inter Naciones, 1984.

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Poems



Ancestral.....

Chester Sheppard Dawson

The licorice
of time melts in

my mouth
acrid now to the

taste.
Yet I do not

spit it out:
Grandpa said

avoid waste. \$\$

Charity.....

Chester Sheppard Dawson

Worth so
little

my small
smile

yet

a beggar
picked it

up and
carried it

a mile. \$\$

Habit.....

Chester Sheppard Dawson

Watching a bulldozer
scraping brush for

commercial invasion
I saw a tortoise thundered

to goo.
I suppose the operator

had reasons. One need not
be Einsteinian to know

that's the way it's always
been: we find

a reason — or excuse — for
turning Death loose. §§

Obesity.....

Chester Sheppard Dawson

She walruses up
the long long

hill pausing at
the crest

smiling now at
the succulence

of rest. \$\$

Tact.....

Chester Sheppard Dawson

You do
not need
a
knife to
cut
or match
to
burn.

To crush
does
not require
force.
Consider this:
it took me
years to
learn. \$\$

Take-Off.....

Chester Sheppard Dawson

As I watched
you slowly ascending with
those ahead and
turning briefly wave;
when a Niagara of
noise assailed us all;
when so massive a device
became a
bird
then I knew somehow
in my most shattered heart
the words I never said —
but thought —
you heard. §§

Abstracts

DISSERTAÇÃO DE MESTRADO — INGLÊS

Departamento de Letras Germânicas, Curso de Pós-Graduação em
Letras, FALE/UFMG, 1985

Ana Maria de Melo Carneiro. The American Electra: O'Neill's
Modern Version of the Myth. Advisor: Ana Lúcia Almeida Gazolla
10/05/85

This study aims at analysing the elements by means of which Eugene O'Neill, in his trilogy Mourning Becomes Electra, departs from the classical versions of the Electra myth and presents a modern, original elaboration of that Stoff. Freud's theory of instincts and of the Oedipus complex, as well as specific ideological aspects of American culture, are also discussed, since they influence characterization and function as the base for the action. It is demonstrated how the play is structured on the principle of polarity, which underlies setting, imagery, and characters' portrayal. The role of psychological fate in the trilogy is examined, as it limits the individual freedom of the characters and leads to their alienation and self-destruction. Finally, taking as support Hegel's and Max Scheler's views on the tragic, the question of genre definition is focused on. It is concluded that O'Neill's characters are not tragic heroes, but rather embody traits of contemporary self-doubt, rebellion, and fragmentation. The dark view of life projected in the play is discussed, since the outcome reveals that on an individual or historical level, there is no solution for human conflict.

DISSERTAÇÃO DE MESTRADO — INGLÊS

Departamento de Letras Germânicas, Curso de Pós-Graduação em
Letras, FALE/UFMG, 1985

Reinildes Dias. The Semiotics of Written Discourse and the
Dual Representation of Information in Memory: An
Application of Nonverbal Elements to FL Reading.

Advisor: Else Ribeiro Pires Vieira

18/10/85.

This dissertation advocates a recurrent and systematic use of nonverbal elements, as well as pictorial information incorporated into the reading lesson, to initiate linguistic activity in the teaching of FL reading. For this purpose, two broad avenues are brought to bear. The first is discourse-oriented and includes an expanded review of the structure of the written text with its two basic semiotic devices, the verbal and nonverbal ones. The second is cognition-oriented and includes a review of two important issues, namely, the information-processing system and the concept of schema. These two cognitive issues inform the view this dissertation adopts of comprehension as an interactive process which involves both text-presented material and the information the reader brings to the reading task in the form of previous knowledge. Still within cognitive psychology another issue is discussed, namely, Paivio's dual-coding theory, which provides the specific theoretical basis for the major argument of this dissertation. Paivio's theory of memory comprises verbal and nonverbal representations and fits in neatly with the structure of written discourse. All theoretical issues are finally translated into suggestions of activities for each phase of a reading lesson. The underlying purpose is to bridge theory and practice towards a more efficient FL reading methodology for high-school students.

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