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The Western Kentucky University Student Honors Research Bulletin is dedicated to scholarly involvement and student research. These papers are representative of work done by students from throughout the university.
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Richard Lovelace was the embodiment of the Cavalier spirit. In *English Literature in the Earlier Seventeenth Century 1600-1660*, Douglas Bush calls Lovelace a “soldier, courtier, lover, poet, scholar, musician, and connoisseur of painting.” Bush holds that most of Lovelace’s poems show “the extreme unevenness of a gentleman amateur.” He does praise the poems which are simplest and most perfect, and concludes that Lovelace “enshrined the Cavalier trinity, beauty, love, and loyal honour.” (122). Paulina Palmer, in “Lovelace’s Treatment of Some Marineseque Motifs,” points out that though Lovelace was very much a Cavalier poet, his best poems deal with political and social issues. Among these she mentions the retreat into private life after a military defeat and the support derived from friendship. These issues are addressed in Lovelace’s poem, “The Grasshopper,” which Bruce King, in “Green Ice and a Breast of Proof,” believes to be one of Lovelace’s three best poems, along with “Going to the Wars” and “Althea.”

Indeed, “The Grasshopper” is very important to an understanding of Lovelace because it deals with the Royalists of the mid-seventeenth century of whom Lovelace was one and with their disappointment at the execution of Charles I. Bruce King, in “The Grasshopper” and Allegory,” states that 1649 is the first publishing date for the poem and puts the poem’s creation at sometime before 1644, when the Royalists lost hope of success. He evidently does not understand that the imagery in the poem gives a picture of the life the Royalists led after the execution of Charles I in 1649, and that the hope in this poem is not for the success of their cause through Charles but for being able to survive their defeat. One of these Royalists was Charles Cotton, the man to whom “The Grasshopper” is dedicated. Charles Cotton was the father of a very distinguished poet and one of the group that often gathered at the Fleece Tavern near Covent Garden, also one of Lovelace’s “haunts,” says Cyril Hughes Hartmann, in *The Cavalier Spirit and Its Influence on the Life and Work of Richard Lovelace.* Don Cameron Allen, in *Image and Meaning: Metaphoric Traditions in Renaissance Poetry*, says that Lovelace sent the poem to Cotton after he had written it, because the Royalists had withdrawn from public life after the death of King Charles. “The Grasshopper,” therefore,
was written as a form of escape from the seclusion to which Lovelace and Cotton were subjected.

Lovelace draws the character of his poem, the grasshopper, from several sources. Maurice Hussey, in Jonson and the Cavaliers, maintains that the major sources are Horace and Anacreon.7 Manfred Weidhorn, in Richard Lovelace, agrees with Hussey that Anacreon is a strong source.8 Weidhorn points out that Lovelace’s poem is different in that it teaches a harsh lesson through the grasshopper’s death. He goes on to say that Homer, Hesiod, Plato, Philostratus, and Meleager also used the grasshopper in symbolism (54). The grasshopper, then, has been used as a symbol from classical times.

Indeed, the grasshopper was already symbolic of several ideas before Lovelace used it in his poem. Weidhorn relates that to the Greeks it was a symbol of musicians and poets (54). Don Cameron Allen, in “An Explanation of Lovelace’s ‘The Grasshopper’,” tells of this association: “In one ancient myth, a grasshopper, by alighting on the peg from which the lyre string had broken, helped Eunomos of Locris win the prize at the Pythian games by supplying him with the wanting notes.”9 The grasshopper was also associated with aristocracy and carefree living and with men in political disfavor, according to Weidhorn (54). This is one of the symbolic meanings that the grasshopper takes on in Lovelace’s poem. Allen discovers the other meanings in Image and Meaning: that the grasshopper was a symbol of royalty and that it, having once been an artist itself, proceeded to instruct other artists (86). From these symbolic ideas, therefore, Lovelace chose the symbols for his grasshopper.

In addition to the striking symbolism in this poem, there is a very distinctive structure. The ten stanzas of the poem may be divided into equal halves which are parallel in their significance. King, in his article on allegory in the poem even points out specific words which parallel each other. He compares “drunk” in line 8 to “o’reflowing” in line 20. “Winds” in line 16 to “Northwind” in line 26, “topt” in line 16 to “Crowne” in line 26, and “lasting” in line 18 to “everlasting” in line 36, among others (72). The two parts are also parallel in their development. In the first part, the speaker addresses the grasshopper and describes his happy life and the winter which brings his downfall. In the second part, the speaker addresses Cotton and goes on to suggest that the Royalists may, unlike the grasshopper, by gathering together, fend off the political winter in which they are living. In these ways Lovelace uses parallelism and allegory in “The Grasshopper.”

In the first three stanzas of the poem, Lovelace describes the life of the grasshopper in terms of the kind of life the Royalists led before the execution of Charles I. He describes the grasshopper as a “swinger” of sorts. It clings to an oat stem and gets drunk on dew every night. It has all the “joys of earth and air” because it can both hop and fly. The grasshopper makes the whole world merry:

And all these merry days mak’st merry men,
Thyself, and melancholy streams.

The first three stanzas are, therefore, an allusion to the rich, carefree life of the Cavaliers.

The fourth stanza begins the description of the grasshopper’s downfall. Harvest time comes and all the grain is cut, leaving little food for the grasshopper. The food that is left is destroyed by frost and wind. The gods of grain and wine disappear. The fifth stanza makes the downfall complete. Earl Miner, in The Cavalier Mode from Jonson to Cotton points out that this is the climax of the poem.10 King, in his article on allegory, states the moral lesson taught in this stanza; that it is “necessary to find more permanent pleasures in life.” (72). With winter setting in, the grasshopper becomes green ice. Miner holds that “Poor verdant fool” describes Charles I as well as the grasshopper (65). The grasshopper lasts only as long as its “perch of grass” and teaches the Cavaliers to “lay in supplies ’gainst winter rain” and push back the floods by keeping the wine flowing. Weidhorn concludes an interpretation of the stanza:

And that its brief colorful life is snuffed out, turned into “green ice,” reminds the poet and his friend that the same will happen to them. (“We were in our own sight as grasshoppers” Numbers xiii. 33 ). (55)

Thus, the first half of “The Grasshopper” uses the grasshopper in winter as a symbol of the Royalists in a political winter.

In the second half of “The Grasshopper” the speaker addresses Cotton, his friend. Weidhorn describes the change as a shift “from past to present, from the symbolic history of the grasshopper to the immediate history of poet and friend; from Anacreon’s vinous exuberance to Horatian ode of direct address.” (55). In the sixth stanza, Lovelace tells Cotton that they will help each other not to feel the political winter. Hussey explains that by “this cold time” Lovelace meant the political situation in 1649 (167). Lovelace means to remedy this with friendship. In the seventh stanza Lovelace says that their sacred hearts shall burn eternally and melt the wings of the North wind. The mention of “the North wind” is an allusion to the Puritan revolution which began in Scotland. Also, the Scots were the ones to whom Charles surrendered and who turned him over to the Roundheads and his eventual execution. Hussey claims that the “Etna in epitome” mentioned in line 28 is a device of the late metaphysical poets and that it has no real significance in the poem (166). The phrase actually describes
the fires that Lovelace had just mentioned, Etna being an active volcano, the epitome of a fire strong enough to melt the wings of the North wind.

In the eighth stanza, Lovelace talks of Christmas and its abolition by the English Parliament and the Puritans. Miner relates that the banning of Christmas traditions by Puritans in 1647 caused disturbances all over England (64). The Puritans thought that the celebration of Christmas was ritualistic and Catholic. Allen, in Image and Meaning, believes that this stanza is a remembrance of the Roman Saturnalia (88). In this stanza, "Dropping December" comes in, weeping because his reign has been usurped. Miner thinks that "reign" is a pun on "rain." (64). Allen suggests that December is meant to be the King of Christmas, Christ, and also the King of England (89). In lines 31 and 32 Lovelace predicts that December will have his crown again when the "old Greek" (wine) starts to shower at their gathering. Miner says that the friends drink to Christmas and King Charles. He goes on to say that these toasts correct the purposeless intoxication of the grasshopper (65). Though the Cavaliers are keeping Christmas, outside King Christmas is not recognized. Yet, if they remember him and celebrate, "he hath his crown again."

In the ninth stanza, Lovelace says that the candles of the group will push back the night and allow everlasting day.

Night as clear Hesper shall our tapers whip From the light casements where we play, And the dark hag from her black mantle strip, And stick there everlasting day.

King, in "Allegory," points out the common Greek root of "Hesper" and "Vesper," "Hagge," which means "holy." He interprets the stanza in this way: "Thus our tapers will transform night into Vespers and reveal holy festivities symbolic of the Everlasting Day." (75). Robert Lathrop Sharp, in From Donne to Dryden: The Revolt Against Metaphysical Poetry, comments that this stanza is ambiguous because the words, particularly "clear," "whip," and "stick," have various possible meanings. Allen holds that Lovelace, in this stanza, "puts down Gothic horror," and the grasshopper gains eternal life (91). Thus, Lovelace says that their tapers shall whip the night from the windows and strip the dark hag from her black mantle, and create everlasting day. He has safely seen his Cavalier group through winter storms, isolation, and darkness. He is saying that they will triumph over this political winter. They will boost their morale with a Christmas party; a warm fire, bright lights, good friends, and good wine. Miner compliments Lovelace for his ability to use natural detail symbolically and yet give the appearance that it is used only for itself (288).

In the final stanza, Lovelace tells his group that they have themselves and, therefore, need nothing else. This makes them richer than kings, who belong to their realms.

Thus richer than untempted kings are we, That asking nothing, nothing need: Though lord of all that seas embrace, yet he That wants himself is poor indeed.

James Flynn, in "Richard Lovelace: A Study In Poetic Design," believes the stanza has several intricacies:

The startling phrase "untempted Kings" approaches oxymoron, because kings are in reality the most tempted of men... man is richer than this untempted king because if he has mastered himself, his joys will not end with the coldness of winter, but will "burne eternally as Vestall Flames."

King, conversely, in "Green Ice," interprets this stanza as saying that the Cavaliers are no longer tempted by any hope of success and without this the changing world has nothing to offer them (515). In his article on allegory, however, he says that by depending on themselves for what they need, they may sufficiently block out the outside world and be more content than kings (72). Miner agrees with the latter position. He thinks that the last stanza describes the "self-sufficiency of the good man" and also points out that Lovelace blends aspects of the "morally good life" and the "enjoyably good life," (65). Indeed this stanza may be taken in either of two ways: that Lovelace calls his friends together to let wine wash away their cares, or that the men are gathered in a Christian fellowship to celebrate a holy day. With the meaning of this stanza in mind, Allen's idea that the Horatian quality of the poem reaches its highest point here, becomes clear. Allen relates, in "An Explication" that Lovelace and Cotton identified with Horace because he had fought on the losing side at Philiippi (42). Horace's style, therefore, has become a logical model for Lovelace's poem and in this final stanza reaches its peak.

Thus, "The Grasshopper" is a careful description of the predicament of the Cavaliers after their defeat by Cromwell. To remedy their situation, they "close ranks" and retire from the outside world which is in a political winter. By depending on themselves, they may ignore the Interregnum and create their own world of trusted friends. Though the Cavaliers have been defeated, they will not surrender their principles and faith. They will keep Christmas, though it has been outlawed by Parliament and so keep their own religion, Catholicism. Indeed, religion plays a major part in this poem, and King, in his article on allegory, goes so far as to say that it is not actually a secular poem. He points out that Christmas and Christ's birth are important. He adds:
In the first stanza “Heav’n” is mentioned; the large and lasting “Peirch of Grasse” in stanza five is surely an allusion to “all flesh is grass” in Isaiah. Other images include “sacred,” “eternally,” “everlasting,” and “to our rest.”

Thus religion is a subtle theme in “The Grasshopper.”

“The Grasshopper” can be seen in yet another light. If the grasshopper is to be identified with Charles I, Lovelace is describing the mistake that led to Charles’ downfall in the first half of the poem. Miner points out that the grasshopper was royal, but had no friends (290). Perhaps Lovelace is saying that Charles’ mistake was in not being prepared and not gathering his friends around him. Allen, however, believes that Lovelace himself identifies with the grasshopper’s ancient symbolism—“the aristocrat, the poet-singer, the man in political disfavor,” (39).

Weidhorn sums up the poem in this way:

Presenting the contemplative side of Lovelace the soldier and lover, it is an evocation of the Cavalier spirit in duress, of the quiet hermitage of the mind, of the eternal summer within in the absence of king and social order without. (56)

This poem is indeed one of Lovelace’s best and a very significant work in the study of the Cavalier poets of the seventeenth century. James Flynn states, “The Grasse-hopper” stands at the very pinnacle of Lovelace’s poetic achievement,” (80). Others, however, praise neither the poem nor the poet. G. E. B. Saintsbury, In A History of Elizabethan Literature, says that “The Grasshopper” is almost worthy of “Going to the Wars” and “Althea” and goes on to say that Lovelace may be safely neglected in any study of the seventeenth century. In his The Heirs of Donne and Jonson, Joseph Holmes Summers agrees, saying that Lovelace showed great incompetence. He does, however, admit that “Poor verdant fool! and now green ice!” is a brilliant phrase. C. V. Wedgewood is perhaps the most severe in her criticism and shows that she obviously did not know enough of Richard Lovelace to include him in her book, Seventeenth Century English Literature. She says of Lovelace: “He had a genial humour and can be particularly charming about little animals; a grasshopper, a fly, a snail move him to affectionate contemplation.” These criticisms, however, can do little to minimize the importance of Lovelace and “The Grasshopper.” Allen, in “An Explication,” affirms Lovelace’s importance in a truthful and forceful statement:

Lovelace is no more a maker of poetic plain song than is John Donne; he, too, was the possessor of a strong wit filed to a sharp edge by the rasping times through which he lived. (35)
Notes

3Bruce King, "Green Ice and a Breast of Proof," *College English*, 26 (April, 1965), 514.

Bibliography


Fear of Success: Latent Personality Disposition or Sex Role Stereotype?
by Elizabeth Anne Snyder

Many women report confronting difficulties in their attempts to achieve success in traditionally male-dominated professions. One popular explanation for this entails a motivational tendency for women to fear success (Canavan, 1978). According to this view, fear of success is presumed to be a characteristic of a sizable proportion of women and is thought to result from the sex role socialization experienced in our culture (Bardwick, 1972). Women learn that the requirements of the traditional feminine role are fundamentally inconsistent with the requirements necessary for successful achievement, i.e. the one presumably precludes the other (Horner, 1968).

Strivings for success are generally believed to require the personal characteristics of aggressiveness and competitiveness — qualities considered to be masculine characteristics in our society. As a result, successful achievement is said to be associated with negative consequences for women, such as being disliked or rejected by men or being seen as unfeminine. Since women learn, through implicit and explicit socialization experiences, to expect undesirable social and/or personal consequences for achieving, they might understandably become motivated to avoid success, and thus its negative consequences (Horner, 1968). On the other hand, men are not led to expect negative consequences as a result of successful achievements. Therefore, they should not display the motive to avoid success. In fact, men are more likely to anticipate negative consequences as a result of failing to achieve, and might be motivated primarily to achieve success and avoid failure (Frieze, 1978). Motives are defined as “unconscious psychological forces which excite and direct the actions of the individual” (McClelland, 1953). People experience motives as things they want or which are important to them. An achievement motive can be defined as “the desire to do things well and be successful in a situation in which there are standards of excellence” (McClelland, 1953).

The theory of achievement motivation attempts to account for the determinants of the direction, magnitude, and persistence of behavior in a limited domain of human activities. It applies only when an individual knows that his or her performance will be evaluated internally or externally, (by self or others) in terms of some standard of excellence and that the consequences of his or her actions will be either a favorable evaluation, (success), or an unfavorable evaluation, (failure). It is, in other words, a theory of “achievement oriented performance” (Atkinson, 1964).

Atkinson’s basic assertion concerns the various determinants of a person’s tendency to approach success, (T_a). This tendency is influenced by three factors:

- T_a — the person’s motive to achieve success. This is a relatively stable personality disposition of the individual.
- P_s — the person’s estimate of the probability that task performance will yield success.
- I_s — the incentive value or attractiveness of the goal.

The tendency to approach success is viewed as a multiplicative function of the tendency to approach a particular task. Thus, “tendency to approach success” could be written: T_a = M_a × P_s × I_s, and is determined by the interaction between the strength of the motive to achieve success, the expectancy or probability of success, (which is defined by the difficulty of the task), and the incentive value of success. Obviously, one’s expectations of the consequences of his or her actions is extremely important in determining the strength of achievement motivation. Positive motivation to act is aroused by the expectancy that one’s behavior will be followed by positive consequences. On the other hand, the anticipation of negative consequences produces anxiety, which has a tendency to inhibit the activity. Once negative anxiety is aroused in a situation, it weakens the strength of all positive motivation for undertaking or persisting at the activity expected to have negative consequences (Tresemer, 1977).

Thus, achievement behavior may be seen as a function of the tendency to approach success minus the tendency to avoid failure. Success is defined as a “desired goal characterized by a favorable evaluation as a consequence of action,” while failure is a “feared threat characterized by an unfavorable evaluation or an unattainable goal” (Canavan, 1978). An individual with a high fear of failure would be likely to avoid situations in which he or she might be evaluated and possibly fail.

In this tradition of motivational theory, the motive to achieve has been assessed by a score taken from imagery in a Thematic Apperception Test. The test consists of a series of ambiguous pictures depicting either men or men and women. Subjects look at each of these pictures briefly and then write a short story about them. The assumption underlying the TAT is that people will project their own motives and desires into these ambiguous situations and express them in the stories they write (Tresemer, 1977). Thus, if someone is highly motivated...
this person will write stories about people who are also motivated to be successful and that their stories will concern people striving for excellence and concerned with failure and success (Atkinson, 1964).

Research has been unable to demonstrate that need achievement imagery produced by women in the TAT elicited responses similar to men. In fact, while the TAT can predict a relationship between achievement motivation and performance for men in a theoretically consistent way, the results for women have usually been confusing and inconsistent, and have often been found to be invalid (Bardwick, 1970).

With this problem in mind, Matina S. Horner attempted to understand why research results on achievement motivation could not successfully be obtained for women. Horner suggested that in order for the model to be applicable to women, it must incorporate an additional factor: a motive to avoid success. Fear of success was described as a "latent, stable personality disposition acquired early in life...a disposition to become anxious about achieving success (Horner, 1968)."

Women's motive to avoid success was thought to lead to anxiety that could not only interfere with the production of need achievement imagery in their TAT stories, but could also interfere with their performance levels in achievement situations. Horner speculated that this might then account for the failure of the model to explain data collected from women. According to this theory, anxiety is aroused when one expects the consequences of action will be negative. Horner argued that most women have a motive to avoid success because they expect negative consequences such as social rejection and/or feelings of being unfeminine as a result of the success.

Horner further proposed that the motive to avoid success would be more characteristic of high achievement oriented, high ability women who aspire to, and are capable of achieving success. This is because low achievement, low ability oriented women do not desire success, therefore negative consequences are meaningless for them.

In order to test her theory, Horner administered a verbal rather than pictorial version of the TAT to 90 female and 88 male undergraduates in order to obtain an achievement motivation score. In addition, a verbal cue connotating a high level of accomplishment in a mixed-sex competitive achievement situation was included. The females responded to the lead, "After first term finals, Anne finds herself at the top of her medical school class." For the males, the lead read, "After first terms finals, John finds himself at the top of his medical school class."

The motive to avoid success was scored as present if the subjects, in response to a thematic cue about a successful figure of their own sex, made statements in their story showing conflict about the success, the presence or anticipation of negative consequences about the success, denial of effort or responsibility for attaining the success, denial of the cue itself, or some other bizarre or inappropriate response.

In response to the successful male cue, more than 90% of the men in the study showed strong positive feelings indicating increased striving, confidence in the future, and a belief that this success would lead to the fulfillment of future goals. Fewer than 10% responded negatively, and these responses focused primarily on the character's dull personality.

On the other hand, in response to the successful female cue, 65% of the women were disconcerted, troubled, or confused by the cue. Their responses dealt with negative consequences and affects, righteous indignation, withdrawal rather than enhanced striving, concern, or even an inability to accept the information presented in the cue. Some women stressed that Anne was unhappy, aggressive, and lonely (Horner, 1968).

For these subjects, it seems that unusual excellence or achievement was associated for them with the loss of femininity, social rejection, personal or societal destruction, or some other combination of the above (Horner, 1968).

Horner concluded that:

Most highly competent and otherwise achievement motivated young women, when faced with a conflict between their feminine image and expressing their competencies or developing their abilities and interests, adjust their behavior to their internalized sex role stereotypes. Among women, the anticipation of success especially against a male competitor poses a threat to their sense of femininity and self-esteem and serves as a potential basis for becoming socially rejected. In other words, the anticipation of success is anxiety provoking and as such inhibits otherwise positive achievement directed motivation and behavior (Horner, 1968).

Since Horner conducted her initial investigation in the late 1960's, society has witnessed great changes in the area of male/female role expectations. Societal attitudes toward roles formerly appropriate to women have been undergoing major revisions. Specifically, there have been changes in beliefs about the value of the family, the role of marriage in people's lives, and the possibility of self-expression through work (Frieze, 1978). Along with these changes in attitudes have come changes in role participation, with both men and women diversifying and expanding beyond their traditional patterns. A role is defined as a "set of expectations that has an objective concrete reality and that impinges on individuals because they hold a given
social position (Veroff and Feld, 1970)." If the sex role identity of
women has undergone major changes in the past fifteen years, it
seems likely that their motive to achieve, and thus their motive to
avoid success has also changed.
The purpose of this study was to answer the question: "To what
extent has the diversification of women's roles in the past fifteen
years affected their motive to succeed or to avoid success?" Horner's 1968
investigation of male/female responses to the medical school story
was replicated by achievement oriented men and women.
By comparing male/female responses, this study tested the hypo­
theses that:
1. If sex roles for women have diversified in the past fifteen
years, then their motivation to succeed should also increase and their
motive to avoid success should decrease (in comparison with
Horner's 1968 results).
2. Males will indicate a higher motivation to achieve than females,
(as measured by responses to the outcome of the story).
3. Females will indicate a higher amount of motivation to avoid
success than males (as measured by the responses to the story).

Method

Subjects
Since the motive to avoid success is more prevalent among high
achievement oriented and high ability people, the subjects were
limited to students currently enrolled in a 400 level or graduate course
at Western Kentucky University. To attain senior level status, the
subject most likely has the desire to be successful in a situation in
which there are standards of excellence. A random sample of 13
classes was chosen from over two hundred 400 and graduate level
classes listed in the Western Kentucky University Fall 1981 course
bulletin. Class size averaged about 16 students. Classes from a variety
of departments were sampled, including psychology, business, biology,
philosophy, and communication. A total of 96 female and 72 male
students were initially included in the study.

Procedure
At the beginning of a class period, female students were adminis­
tered the following data sheet:
In your own words, please complete the following story. After
first semester finals, Mary finds herself at the top of her medical
school class.
Male students received a similar cue, only the name “John” replaced
the name “Mary.”
The data sheets were distributed such that both males and females
were unaware that they were receiving a story based on a same-sex
capability. No further instructions were provided. Subjects had
approximately ten minutes to complete the story. Responses were
collected and the class thanked for their participation.
The experimenter and two other student judges, (one male and one
female) individually read the one page data sheets for both males and
females. Based on the descriptions of the categories listed below, each
response was classified according to one of the nine categories. The
judges' ratings were compared to determine the reliability of the
coding system. In cases where the judges classified a response in three
different categories, the data was eliminated. Of the total sample of 96
females, six data sheets were discarded, while three out of the 72 male
responses were rejected. Intercoefficient reliability for the nine category
classification of responses was .67 for the males and .73 for the
females.
Responses were tabulated based on the presence or absence of a
successful outcome of the story for both male and female respondents.
Success included evidence of goal attainment, (in this case graduating
from medical school), fulfillment, accomplishment, positive feelings
regarding the outcome, social approval, anticipation of further goal
achievement, elation, or happiness.
Fear of success was characterized by an outcome described as nega­
tive, a failure, poor performance, doubts of ability, anticipation of
failure, discouragement, desire to leave the situation, daydreaming of
something else, feelings of guilt, unhappiness, abnormality, depression,
wrink, reprimand toward the central figure, or an affiliative
loss. More specifically, data for both male and female subjects was
initially categorized according to the dimensions below (Horner, 1968;
Scott, 1962).

Category Scheme

Successful Outcomes
A)- Unconditionally successful outcome (elation, pride, motiva­
tion to continue, graduating with high honors, etc.)
B)- Expressing doubts, but reveals a successful outcome (worry
about pressures, loss of free time, limited relationships) but
with the decision that “it is all worth it in order to succeed.”
Avoidance of Success Outcomes
C)- Negative consequences of the outcome (loss of relationships,
isolation, resentment, “stuck up” ridicule, etc.)

Special thanks to Ron Drummond and Nancy Speck for their assistance.
D) Anticipation, fear, worry about expected negative consequences (worry, pressure, too much responsibility, confusion about goals, values, etc.)
E) Action or activity away from attaining the goal (leaving or flunking out of school, changing fields or majors, adapting a less demanding role, adapting a more traditional role, etc.)
F) Direct expression of conflict about the outcome which leads to rejection of the goal (changing values, emphasizing social factors at the expense of attaining success)
G) Denial of the situation by avoiding the cue (discrediting importance of graduating at the top, deciding not to become a doctor, etc.)
H) Bizarre, inappropriate, unrealistic or nonadaptive responses to the situation (extensive personality changes, physical harm, drug or alcohol addiction, etc.)
I) Denial of effort, rejection of credit for the success (cheating, luck, the "will of God" etc.)

The nine categories above were then combined into three general categories to yield data for a successful outcome, and two unsuccessful outcomes. The first, which was characterized by successful outcomes, (happiness, elation, further accomplishments, etc.) included the responses classified in categories A and B.

The second category included responses which indicated negative outcomes as a result of success. Such stories referred to a loss of significant relationships, jealousy, isolation, etc. This category consisted of responses from C, D and F.

The third category included outcomes denying or avoiding the success, taking action away from the goal, or responding in an inappropriate way to the cue. Stories included dropping or flunking out of school, changing majors, choosing a less demanding career, and in several cases, suicide. When the nine categories were reduced to three, the intercoder reliability increased to .82 for male responses and .85 for female responses.

Results

Results of the distribution of responses among the three categories are summarized in Table 1.

<table>
<thead>
<tr>
<th></th>
<th>Success</th>
<th>Negative Consequences</th>
<th>Denial</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Males</strong></td>
<td>(39)</td>
<td>(7)</td>
<td>(23)</td>
</tr>
<tr>
<td></td>
<td>57%</td>
<td>10%</td>
<td>33%</td>
</tr>
<tr>
<td><strong>Females</strong></td>
<td>(70)</td>
<td>(9)</td>
<td>(11)</td>
</tr>
<tr>
<td></td>
<td>78%</td>
<td>10%</td>
<td>12%</td>
</tr>
</tbody>
</table>

A random sample of responses for each sex chosen to equalize n and facilitate administration of a Chi Square test. Chi Square is a statistical procedure capable of determining if there is a difference in the frequency of responses between men and women across the three categories. Table 2 summarizes the distribution of responses by sex for the random subsample. A comparison with Table 1 suggests that the subsample represents a good approximation of the larger data set.

<table>
<thead>
<tr>
<th></th>
<th>Success</th>
<th>Negative Consequences</th>
<th>Denial</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Males</strong></td>
<td>(35)</td>
<td>(7)</td>
<td>(18)</td>
</tr>
<tr>
<td></td>
<td>58%</td>
<td>12%</td>
<td>30%</td>
</tr>
<tr>
<td><strong>Females</strong></td>
<td>(44)</td>
<td>(7)</td>
<td>(9)</td>
</tr>
<tr>
<td></td>
<td>73%</td>
<td>12%</td>
<td>15%</td>
</tr>
</tbody>
</table>

Chi Square analysis indicates that frequency of category usage was not significantly different for men and women. The third category (Denial) however, approached significance at the .05 level and
exceeded it at the .10 level.

Since Horner's conclusions are based on either the presence or absence of fear of success, the second and third categories were combined, and compared to reveal the differences, if any, between the 1968 sample and the present one.

Table 3 provides a comparison between male and female responses toward success and fear of success in 1968 and 1981. It is obvious that drastic changes in the types of responses have occurred. While the 1968 study showed 91% of the males responding with successful outcomes, only 57% did so in 1981. Whereas only 9% indicated fear of success in 1968, as many as 43% did so in 1981.

Females have also undergone major changes in the way that they responded to the story. In 1968 only 38% revealed the motive to succeed, as compared to 78% who did so in 1981. Similarly, there was a definite decrease in stories indicating fear of success. Sixty two percent of the females displayed the motive in 1968, but only 22% revealed a fear of success in 1981.

Table 3

<table>
<thead>
<tr>
<th></th>
<th>Success</th>
<th>Fear of Success</th>
</tr>
</thead>
<tbody>
<tr>
<td>Males</td>
<td>(80)</td>
<td>(39)</td>
</tr>
<tr>
<td></td>
<td>91%</td>
<td>57%</td>
</tr>
<tr>
<td>Females</td>
<td>(34)</td>
<td>(70)</td>
</tr>
<tr>
<td></td>
<td>38%</td>
<td>78%</td>
</tr>
</tbody>
</table>

In general, females provided more successful responses than males in the present study, (78% compared to 57%) and revealed less fear of success, (22% compared to 43%).

Since both studies utilized the same number of female subjects, a Chi Square analysis was computed to explore the differences in female responses between 1968 and 1981.

Table 4

<table>
<thead>
<tr>
<th></th>
<th>Success</th>
<th>Fear of Success</th>
</tr>
</thead>
<tbody>
<tr>
<td>Female Responses</td>
<td>(34)</td>
<td>(56)</td>
</tr>
<tr>
<td></td>
<td>38%</td>
<td>62%</td>
</tr>
<tr>
<td></td>
<td>(34)</td>
<td>(70)</td>
</tr>
<tr>
<td></td>
<td>38%</td>
<td>78%</td>
</tr>
</tbody>
</table>

In comparing female responses toward success and fear of success between 1968 and 1981, it was found that the differences between both success and fear of success responses were significant beyond the .001 level (Success: $x^2(df=1) = 12.46, p < .001$; Fear of Success: $x^2(df=1) = 17.06, p < .001$).

Discussion

The results of this study suggest that the motive to succeed has increased for females while the motive to avoid success has decreased, (at least in comparison with the results of Horner's 1968 investigation). The data are interpreted as being consistent with the first hypothesis. The hypotheses that males will show a higher motive to succeed while females reveal a higher motive to avoid success were rejected, since there was no significant difference in male-female responses in any of the three categories.

Generally, the results of this study are quite striking, if not overwhelmingly significant. In the past fifteen years, there has been a major change in the way women view both the motive to achieve and the motive to avoid success. Figure 1 presents a graphic display of the changing pattern between womens' motive toward both success and fear of success from 1968 to 1981.
Incidence of fear of success in men could represent a change in societal values where achievement is no longer valued for men in the way it once was. Or, more optimistically, the seeming breakdown in sex role stereotypes may serve to provide men with the opportunities for meaningful achievement in areas that have formerly been regarded as the exclusive domain of females. Previous research supports the fact that traditionally oriented achievement motivation in males has been steadily declining since 1968 (McClelland, 1975).

Finally, the drastic change women have undergone with regard to achievement motivation in the past fifteen years is striking. Whereas only 38% responded to the stimulus cue with successful outcomes in 1968, nearly 80%, (78%) revealed a high motive to achieve success in this study. Similarly, only 22% of the female respondents revealed fear of success in this study, 62% did so in 1968. The implication is that fear of success is no longer a predominantly female characteristic. Indeed, contemporary males are just as likely to avoid success as females. Furthermore, the assumption that women's motive to achieve is being replaced by a “latent, stable personality disposition acquired early in life,” may no longer be true. It seems that the environment has had more effect on women's achievement motives than any latent personality characteristics.

The diversification of roles and opportunities for women may serve to explain why women's motives have changed. Women are now learning that the “requirements necessary for the feminine role” are not fundamentally inconsistent with the requirements necessary for successful achievements. At the same time, men are learning that “requirements necessary for the masculine role” are not necessarily consistent with the requirements necessary to succeed.

“Fear of success,” along with many other traditional role related concepts, can no longer be offered as a viable explanation as to why women do not achieve. Fear of success, as well as the motive to achieve, is not determined by gender. As women come to realize that they have nothing to fear in becoming successful, they will respond by becoming successful in ever-increasing numbers.

References


Canavan-Gumpert, D. The Success-Fearing Personality: Theory and Research with
Narcissism and the Need for History

by Joan Elizabeth Flora

Our present Western outlook on history is an extraordinarily contradictory one. While our historical horizon has been expanding vastly in both the space dimension and the time dimension, our historical vision — what we now could see if we choose — has been contracting rapidly to the narrow field of what a horse sees between its blinkers or what a U-boat commander sees through his periscope.¹

When Arnold Toynbee made this statement during a lecture at Princeton University in 1947,² he could not have foreseen just how much of our historical vision the “blinders” would obscure. This historical blindness contributes to many of the ills of our society, but it has its greatest effect on the individual’s view of himself. It is a prime cause of narcissism. Society has produced a generation of students who have little interest in history. As Elizabeth Fox-Genovese states in her article, “The Crisis of Our Culture and the Teaching of History,” “they do not know that they might or should be interested in history.”³ This disinterest has expanded to include almost all of the liberal arts. Interest is now focused on professional training, so humanities courses of all kinds — foreign languages, history, English, art⁴ — are on the decline. Data compiled in 1976 from universities throughout the United States showed that the number of undergraduates majoring in professional studies rose twenty per cent in just six years.⁵ Our advanced technological society is responsible for this: few students are willing to meet the world without a scientific background. Students are, in fact, “... terrified of not making it in a competitive, highly technical world.”⁶ This fear is unfortunately spawning a generation of leaders who are “narrow specialists with little understanding of general culture.”⁷ Technology is, however, extremely useful in improving the condition of man, and it is doubtful that today’s society would survive if the technical creations were suddenly removed. It is true, then, that technology is necessary, but the same must be said of history. Abandonment of history, and the introduction of narcissism, signify abandonment of a passionate, turbulent world and the embracing of a cold and clinical world.

Why is history so important? To answer this question, it is necessary
to understand what history is. "It is about human society, its story and how it has come to be what it is." A. L. Rowse, author of *The Use of History*, proceeds to make a valid statement on the relevance of history: "... knowing what societies have been like in the past and their evolution will give you the clue to the factors that operate in them, the currents and forces that move them, the motives and conflicts, both general and personal, that shape events." History, whether we acknowledge or ignore it, is a powerful part of the present. By denying the existence of the past, we discard our objectivity. Everything becomes orientated toward the present and, therefore, the self instead of ancestors, family, and humanity. This narcissistic attitude, along with the belief that everything should be done for the pleasure of the self, is generated by the refusal to acknowledge the usefulness of the past.

"What we give our young people in Walden Two is a group of current forces which a culture must deal with. None of your myths, none of your heroes — no history, no destiny — simply the Now! The present is the thing." This statement, culled from B. F. Skinner's *Walden Two*, adequately defines the feeling of many in our society. Frazier, Skinner's passionate proponent of the totally present-orientated community, could be describing our society. For the increasing number of narcissists in America, "today" is all that matters. The past has no meaning and therefore is insignificant. The narcissist is forced to live a day-by-day existence. Rejection of the past has led to isolation in the present.

One of the greatest tragedies of this isolation is the inability to see the continuous civilization of which man is a part. More and more people are inclined to believe that this is the beginning of the world. They fail to realize that people did exist before this century, this decade. The narcissist does not care where he came from. G. R. Olsen states that in the past there was a respect and definite conviction by all peoples that "... the central means of understanding was historical and developmental, [but] we now witness active anti-historicism." This medium of understanding is closed to the narcissist, yet he does not care. He feeds on society's disdain for people, places, and things of the past.

Isolation in the present and the rejection of previous civilization also lead to an uncertainty concerning the future. This "sense of the unknowability of the future" cuts the narcissist off from the members of the next generation. He lives for himself at all times. The result, according to Christopher Lasch in *The Culture of Narcissism: American Life in an Age of Diminishing Expectations*, is not just a disbelief in the future but a disinterest in it. This adds to the isolation from his descendants, which Lasch called "... a narcissistic inability to identify with posterity..." With no past and no future, the narcissist must rely on the fleeting present.

Thus, there is nothing but the present. Society is "modernizing," expanding, growing, not for its descendants, but for the pleasure of those alive today. The narcissistic man builds nothing and leaves nothing for posterity. The world has become transitory. Buildings are erected to last for twenty or thirty years. As Alvin Toffler says in *Future Shock*, "We raze landmarks. We tear down whole streets and cities and put new ones up at a mind-numbing rate." The buildings are too small, too flammable, too old. Toffler realizes that architecture is "... precisely that part of the physical environment that in the past contributed most heavily to man's sense of permanence." There is no stability, no sense of history in our country today because of this attitude. Toffler also notices a strange lack of surprise among a younger generation who have been exposed all their lives to such transience; they are unaware that today is different from the past. This is logical since, never having known stability, the young see nothing remarkable about change. At the same time, it is very disturbing. The possibility arises that the next generation and the next will not realize that the things they label as backward and regressive may actually be a return to quality, pride, and idealism.

Isolation in the present, as previously stated, generates a breed of men and women who think, act, and feel only for themselves. When totally involved with his own present concerns, the narcissist has no experience to draw upon beyond his limited scope. He rejects history and all it stands for in favor of a periscopic view of life. Peter Marin explains in "The New Narcissism": "Why that happens is not difficult to understand. It reveals the impulse behind much of what we do these days: the desire to defend ourselves against the demands of conscience and the world through an ethic designed to defuse them both." The narcissist refuses to learn about past cultures, since this might entail comparison with cultures and peoples in the world today. If men would just realize it, the past is affecting us today in many ways. As Alvin Toffler points out, "... the past is doubting back on us. We are caught in what might be called a 'time skip.'" To understand the present, therefore, it is necessary to understand the past and its effects on today. Besides "enormously extending our perspective," as Henry Steele Commager phrases history's contribution, it also allows sound conclusions. By realizing that corrupt government, rampant crime, and "runaway" inflation have occurred in equal or worse measure in the past, one can conclude that today is no worse than yesterday. Society and the narcissist refuse to view the past in this way. They
are doomed to feel that theirs is the only pain, joy, hate, etc. History can remind us that we are not the first to inhabit the Earth; "... that time is indeed long and our own life fleeting; that for thousands of years each generation has thought that it was the end and the object of history; ..."20 History does not "teach" the current society "lessons," as Lasch points out,21 but it does allow for a realization that man has lived and suffered in the past.

A lack of history leads to a belief in absolute uniqueness in a similar manner. It also leads to the belief that one's society and one's self possess exclusive greatness and creativity. The belief that today's achievements are remarkable or even singular could easily be deflated by a glance at the marvelous remains of past civilizations. Thy Pyramids in Egypt and South America, the Colosseum in Rome, and many other extant reminders of golden ages in the past preach humility to those who would listen. These engineering feats make the World Trade Towers look cheap and temporary. This may be the first century in which a man went to the moon, but it is only one of many centuries of thought and achievement. Commager warns us of additional dangers in forgetting the past and its accomplishments: "For a people ... to be ignorant of its history ... is as for a man to be without memory — condemned forever to make the same discoveries that have been made in the past, invent the same techniques, wrestle with the same problems, commit the same errors; and condemned, too, to forfeit the rich pleasures of recollection."22

The putting aside of history also removes necessary elements in the understanding of others. Just as a doctor needs to know the medical history of his patient to determine his present ills, so must we know our social history to understand this culture's ills. Why people act the way they do can be analyzed in regard to historical patterns. The radicals of two decades ago and the narcissists of today could trace their origins through history. Study of these origins would give society a better understanding of itself.

A historical understanding of others is also needed in family relationships. Without comprehension of joint heritage, family relationships are undermined. Perhaps the basic adhesive gluing together members of the family unit is heritage. This involves a knowledge that one individual is not a disjointed entity: that he is glued in some way to other people. Without this feeling, the family might just as well be a group of strangers living together. Sadly, this kind of family is occurring more and more in today's society. Blood-ties count for very little. Mr. and Mrs. Smith may be the parents of John and Jane, but, unless they pass on a respect for history (at the minimum "Smith" family history), they will never make their children realize that they are a part of a larger family, one that extends into the past.

Because of this failure, traditional family-oriented events are no longer stressed and many times are ignored. Families have "get-togethers" on Thanksgiving and Christmas primarily, it seems, because of advertising such as "Kraft" commercials. There is less and less love of family and more and more love of food. This is not to say that history and tradition are not found in the "big two" year-end holidays. This is by no means the case. Advertising companies wish us to remember the tradition of a twenty-pound turkey on Thanksgiving and the tradition of gift-giving at Christmas. Go out and BUY! Spend money lavishly on the kids to make up for not giving them a family heritage. "To live for the moment is the prevailing passion — to live for yourself, not for your predecessors or posterity."23 This statement by Lasch underlines the need for history as a means of maintaining, or even building, family ties. The selfish attitude of the narcissist generates neglect of those who should be closest — and a new generation of narcissists.

Children are the ones who have the greatest need for stability and continuity in family life. This kind of emotional continuity is precisely what narcissists are incapable of giving. As Lasch comments, "... the growing incidence of divorce, together with the ever-present possibility that any given marriage will end in collapse, adds to the instability of family life and deprives the child of a measure of emotional security."24 Children no longer know who they can rely on as a source of continuity in an ever-changing world. There is no sense of routine or sameness in being shuffled between separated or divorced parents. The history of the family is shattered into tiny scattered pieces; large gaps cannot be filled in, because the common experience is not there. Thus, the rejection of unity and of history takes its toll in understanding.

Since the narcissistic society of today refuses to consider places of the past, it seems unlikely that they would respect the people, still living, who grew up in the radically different world of fifty or seventy years ago. Consideration and respect are two things which today's elderly rarely receive. The parents of the narcissist are not exempt. Along with the destruction of traditions comes destruction of the tradition makers. By denying the past, narcissists are denying the existence of those who lived most of their lives there. In the last century it was not like this. Older people were wiser, because they had lived through many crises. They were still around; they had survived. Sharon Curtin expresses regret over the growing lack of consideration for the elderly. In "Aging in the Land of the Young" she states,
I sometimes have a dreadful fear that mine will be the last generation to know old people as friends, to respect and understand man's mortality and his courage in the face of death. Mine may be the last generation to have a sense of living history, of stories passed from generation to generation, of identity established by family history.

How well can we know the elderly, especially our parents, when they are shut away in nursing homes? A wealth of history is being locked away with these people. The tragic aspect is that our narcissistic society does not care.

Rejection of history also breaks the bond between peoples. Few can be as optimistic as Buddha Prakash was in 1963 when he declared that this century's approach to history was "the unification of this world." If the family heritage is not important, why should bonds between nonrelated individuals be observed? The breakdown of historical ties is apparent from our foreign affairs which resemble "Let's Make a Deal" rather than traditional diplomacy.

International ties are not the only ones to break. Because of the decline in the emphasis of historical bonds, regional and national alliances crumble. Peter Marin notes that the "immense middle ground of human community" is lost. The outside world just disappears, and the "presence" of others is no longer felt. If this is the case, how does society benefit by being narcissistic? Narcissists obviously do not vote frequently, and when they do vote, they do not vote for the benefit of the city, state, country as a whole. They are not involved in government or community. They definitely are deficient in patriotism. Knowing nothing and caring nothing about the principles on which the country is based, the narcissist naturally does not maintain them. In Peter Marin's words: "The self replaces community, relation, neighbor, chance, or God."

In singular relations and concepts, the narcissist fares no better. He makes no contact with people outside the limited world of self. While the "live-for-today" ethic would seem to make relationships more intense and fulfilling, it really does not. "The inability to take an interest in anything after one's own death," which gives such urgency to the pursuit of close personal encounters in the present, makes intimacy more elusive than ever. Relationships are fleeting. No shared past exists; therefore, no basis exists for a lasting relationship. The narcissist lives within himself, for himself, and, essentially, by himself. He disregards history which, as Elizabeth Fox-Genovese states, is the ultimate "... form of self-consciousness: an informed understanding of self in relation to past and present experience, which can only be understood in relation to each other." The individual loses "... the external reference points provided by other independent and willful selves, ... [and tumbles] into a narcissism from which no purposeful action is possible."

While it is true that rejection of the past and the resulting disbelief in the future greatly affect the narcissist's ability to escape from the present and his ability to relate to others, rejection of the past most greatly affects the narcissist's ability to direct his own life. He indulges in the pursuit of selfish gratifications. In the past, narcissism was too costly to be indulged in by any except the wealthy. Credit and money were tight and the average man had many other things to worry about. Now, as Lasch says, investment and savings lose value every day through inflation, and the discomfort or even shame of being in debt has been removed. "As the future becomes menacing and uncertain, only fools put off until tomorrow the fun they can have today." Today, then, there are very few fools but a great many narcissists. The middle class is no longer tied down to hard work and savings and now can buy video recorders, swimming pools, and pleasure crafts. The middle class has lost sight of its former goals. Perhaps the rapid rise of this class in America accounts for its total embracing of the narcissistic attitude. It took centuries for the peasants in Europe to acquire land and expression in society. It took decades for a man in Eighteenth- and Nineteenth-century America to construct a well-built family life. In the last half of the Twentieth century, it takes mere years to build a fortune. The middle class is suffering from the ills of rapid growth. Narcissistic traits flow freely: money for money's sake, get it now, do it if it feels good. The middle class has lost sight of its origins and historical context, and, although few realize it, society suffers because of this forgetfulness.

Rejection of past forms of success and achievement allows fleeting personal pleasures to take over. Life has become a search for ways to escape from the pressures of making money, to escape from the daily "grind." Drugs, sex, and abandonment, the ways to new "highs," are totally engrossing for many in our culture. "Do it if it feels good" is the narcissistic slogan. Nothing is done, however, to make anyone else feel good. Other people are ignored, and all understanding ceases. The study of the liberal arts, once able to supply methods for understanding, is thought to be unnecessary. Self-love and personal pleasure drag the narcissist into a realm of doubts from which he may never escape. While looking for the meaning of life inside himself, he is letting life itself leave him behind. The past may not provide all the answers, but it will provide a way to understand the questions.

The self-gratification, as stated previously, relies on the acquisition...
of wealth. Narcissists desire money, not to save, but to spend. The
narcissist needs money to fulfill his desires and appease the appetites
which consume him. This has gotten to the point that he truly needs
his new car, huge house, or complex stereo system. B. F. Skinner
makes a relevant observation about this when he says

... it is not the quantity of the goods that counts... but the
contingent relation between goods and behavior. That is why, to
the amazement of the American tourists, there are people in
the world who are happier than we are, while possessing far less.

Again, an examination of the ethics and ideals of the past would help
make many understand that the man of the past, while dissimilar in
many ways from the man of today, was far superior in his ability to see
life objectively. Perspective is necessary in any age; the study of
history provides this.

Toffler states that our rapid society and violent changes have cut us
off from "the old ways of thinking, of feeling, of adapting." He is only
partially correct. Instead of searching for "... objectives and methods
in the future...," as he advocates, society as a whole should look both
ways, to the past and the future. "History shows us that there is no... break
between the past and the future. While I write this sentence
what was future has already become past." A. L. Rowse would
certainly agree with Elizabeth Fox-Genovese, who comments, "... the
defense of history is the defense of a unique critical distance — that
self-conscious and questioning relationship to our own past that provides
the basis for any meaningful freedom." Society must one day agree.

Endnotes

2. Toffler, p. 9.
5. Shels and others, p. 69.
6. Shels and others, p. 70.
7. Shels and others, p. 69.
15. Toffler, p. 50.
18. Toffler, p. 17.
22. Commager, p. 2.
32. Lasch, p. 342.
33. Skinner, p. x.
34. Toffler, p. 19.
35. Toffler, p. 354.
36. Rowse, p. 22.

Bibliography

When we use the word "great" to describe a writer, we usually imply that he possesses two important characteristics: first, that his work embodies the traditions, values, and pervading "style" of the time and literary school of which he is a part; and secondly, that in some way or ways he rises superior to the restrictions of that school and transcends his literary and geographic setting. When Edward Taylor's poetry was first published in 1937, he rapidly gained the title of greatest American poet prior to the 19th century. As a "great" poet, he merits examination to determine the ways in which he embodies American culture of the late 17th/early 18th centuries, and the ways in which he surpasses it.

The irony of Taylor's coronation as leading American poet of his time is that he was actually the product of two cultures. Born in Leicestershire, England, probably in 1642, he did not become an American until the age of twenty-six, when he emigrated to this country to escape the Anglican loyalty oath required by the restored monarchy. He completed his education in America, graduating from Harvard with the class of 1671, and accepted the position of minister to the Congregationalist church at Westfield, Massachusetts. He served there for over fifty years as pastor, physician, judge until his death in 1729.

When we look at the outline of Taylor's life and its bearing on his work, several points stand out. He was a very learned man. His education gave him a knowledge of both the great English poets and those of classical Greece and Rome as well. His library contained 192 volumes, many of them copied by hand by Taylor himself — strong evidence of his love for books and respect for learning. Above all, he was a Puritan who espoused the Calvinist doctrine with passionate sincerity and unswerving firmness. These two sides of Taylor — the learned bibliophile and the dedicated New England Puritan minister — are central to the work which earned him the title "great."

It is impossible to appreciate Taylor's poetry without some background knowledge of the Calvinist doctrine which shaped it. The Puritans believed that man, being inherently sinful, was condemned to eternal punishment in hell, with the exception of a few "elect" who...
had been chosen before the Creation to receive the saving grace of Christ. This choice was entirely up to God. There was no way for a man to “earn” his salvation by good works. The “regenerate” were in a covenant relationship with God, and could discern the working of His grace within their hearts. As such, they were permitted to join the church and partake of its sacraments, the Lord’s Supper being one of the most important. To the Puritan, life meant a constant “soul search” for the saving grace which would proclaim a man one of the Elect, and all the accoutrements of life, such as art, were meaningful only as far as they aided him in his quest. Puritan poetry was didactic, limited in its imagery, and appealing primarily to the intellect (appeals to the senses were deeply distrusted and disapproved).

One of Edward Taylor’s duties as pastor of Westfield was to administer the Lord’s Supper to the regenerate, usually every six weeks or so. We know that Taylor engaged in a heated lifelong dispute with Solomon Stoddard, who advocated “open” communion. This involved allowing any believer who wished to partake of the sacrament. Taylor refused to budge from his stand that only the “regenerate” could properly take communion. To the Puritan, and to Edward Taylor, the Lord’s Supper was a literal communion with Christ. The believer actually experienced a union with the Lord during this sacrament, which, incidentally, was further assurance of his divine election to grace.

Taylor is best known for two major poetic works. “Gods Determinations touching his Elect: and The Elects Combat in their Conversion, and Coming up to God in Christ together with the Comfortable Effects thereof” (referred to as simply “Gods Determinations”) is a didactic allegorical work which outlines the relationship of God to fallen man, and justifies His plan of salvation. “Preparatory Meditations before my Approach to the Lord’s Supper Chiefly upon the Doctrine preached upon the day of Administration” comprise 217 poems composed at intervals between 1682 and 1725. The “meditation” was a spiritual exercise in which the believer, through self-examination and contemplation of God’s will, made himself a proper recipient for any revelation which God might choose to bestow. Taylor undoubtedly wrote his Meditations while preparing himself to administer the Lord’s Supper to his congregation and intended them solely for his private use. In them we can see the interworkings of Taylor the Puritan, the artist, and the man. It is these that have given Taylor the stature he enjoys today.

Taylor has been referred to as the “American metaphysical,” and his poetry demonstrates several characteristics of this school. He uses a controlling image, or “conceit” in his poems, in which he compares two disparate objects and creates a shock of recognition by showing how they are actually similar. He does not always stick with the same image throughout the poem, but often goes from one to another, “mixing” them, sometimes to excess. He delights in puns and word play, in which one word may have multiple ambiguous meanings. His use of metaphors is rich and varied: he will clothe the most sublime concepts in the homeliest language, shocking the reader by both the contrast and its appropriateness. He will use iteration of sounds or words, or he will compress two words into a contraction to fit into his metric line. The Meditations are written in six line iambic pentameter, with a rhyme pattern of ababcc, but he shows little concern for metrical precision or smoothness. Many of his lines have too many or too few stresses. When he is criticized, it is generally for the use of awkward or inappropriate images, use of stock phrases, harsh elisions (the striking out or slurring of a vowel sound to fit a metric line), and defective rhymes. His less effective poetry sometimes has the effect of being forced, as if the poet crammed what he had to say willy-nilly into a too small box, leaving stray syllables popping out at awkward places.

One of his early meditations shows his metaphysical traits used to particular advantage. Meditation 6, “Another Meditation at the Same Time” uses the conceit of the poet as “gold,” or a coin belonging to his God. Here Taylor states that though to the world he is “true gold,” that is, one of the elect, he fears privately that he may not be. He recognizes that he cannot accurately judge his own soul (“Mine Eyes are dim; I cannot clearly see.”) and asks God to be his “spectacles,” through which he may read his true status. Here we see Taylor making use of the pious pun. The word “angell” is used to denote both a spiritual being and a type of gold coin. The phrase “I’m counted so” also carries the double meaning of counting money and being judged one of the elect. The homely imagery of the poet as money, or purse, and the Lord as spectacles contrasts with the spiritual concept of salvation. This poem is particularly effective because Taylor sticks with the same image throughout, keeps the structure tight and logical, and maintains an unusual smoothness in rhythm. The quiet, consistent tone blends well with the poet’s motivation: to request true salvation and not merely the approval of men. We can see Taylor the Puritan being mindful of the dangers of self-election and Taylor the man voicing his own private doubts in the moments when he did not have to stand before his congregation as model pastor and physician. Surely everyone in Westfield considered the minister one of the saved and an example to others. This poem gives us insight into the private man and his longing for reassurance is touching and very human.

“The Experience” is included in the Preparatory Meditations,
although it is undated and has no scriptural text with it. This is a fascinating poem, for it apparently describes the realization of the Lord's Supper's purpose: the total and complete communion of God and man. From the text it appears that during one of the Communions Taylor participated in, he was caught up in some kind of union with God, unlike anything he had ever known before. This union is described as "My Nature with thy Nature all Divine/Together joyn'd in Him thats Thou, and I." Here we have what almost amounts to a description of Christ as the child of the union between God and man - a mystic, rather sexual concept which Taylor's congregation would probably have been at a loss to understand. Moreover, this union was brief ("Oh! Sweet though Short!") unforgettable ("Ile not forget the same"), and elevated the poet as man to heretofore unknown stature above the very angels ("My nature is your Lord; and doth Unite Better than Yours unto the Deity"). The poem concludes with the desire, expressed in the first line, that the poet might always exist on such an exalted level, and adds that he would then be better able to glorify his God.

"The Experience" is a very metaphysical poem. Taylor uses the idea of contrasting imagery (breathing air equated with his spiritual experience, the soul as a dish, the heart as a harp) to make his thoughts and feelings vivid. It is the apprehension of an idea through the door of the senses (incidentally, an extremely unpuritan technique). The word "wrapt" illustrates both Taylor's use of the pun (carrying the double meanings of "wrapped" and "rapt") and his way of altering spelling in order to support his ideas. He uses the image of a beam of light or a flame to represent the union with God, and shows it wrapping the poet and filling his soul - a complete appropriation of the self, interior and exterior.

"The Experience" is the only poem in the Meditation series which describes the actual fulfillment of the poet's longing for God. Most of the poems are either odes of praise or statements of desire for God, emphasizing the poet's distance from the Creator. Because its position in the manuscript indicates an early date - probably 1682, and because of the very exalted effect it had on Taylor, Donald Stanford has speculated that possibly "The Experience" triggered the entire Meditation series by a desire to return to that mystic moment, the other Meditations being Taylor's attempt to recapture it. Such a theory would certainly be consistent with Puritan doctrine, which teaches that man must wait for God to reveal Himself, but that he can make himself a worthy recipient of revelation by self-examination and humility.

The Puritan tradition was the foremost influence on American thought and letters during the seventeenth century. Edward Taylor embodies that tradition fully; indeed his work is testimony to the pervasiveness of Puritan dogma, for without it his poems would not exist. The reader of Taylor must always remember that his poetry was written not as a work of art, or as an end in itself, but only as a means - the most effective means he knew - to define and strengthen his relationship with God. The Meditations stand as evidence of his orthodox views on the sacrament of Communion - its purpose and requirements. We might even venture to speculate that without his Puritanism, he might not have become a poet.

Having said that, though, we must also add that had his poetry been published during his lifetime, it would very likely have been subject to severe criticism and disapproval from the Puritan community. Taylor strays from the "plain style" dictum of Puritan imagery and indulges in metaphors which deliberately play upon the senses. He plays games with words, sometimes punning them, sometimes using remote classical allusions which only the erudite would understand. In these ways he transcends the Puritan limits of his time and elevates his work to an art form in its own right. He shows a genuine love of language - for the word and its power to impale a concept or capture an emotion - a joy in language for its own sake which no Puritan could really approve. His Meditations show us his self, stripped of its social disguises and seeking, searching to understand and apprehend its Source, and by so doing to come to its rightful place. The very Puritanism which compelled Taylor to see God as all and the self as nothing, that same Puritanism which made him search for a vehicle of expression and find it in writing, triggered his voyage into the depth of his own identity. It is a voyage that leaves us, as its byproduct, the poems which have earned him his place in American literature. He was the forerunner of the introspective American writer who would seek to know and identify the self; and he was the greatest American poet prior to the 19th century.
6. Another Meditation at the same time

Am I thy Gold? Or Purse, Lord, for thy Wealth: 
Whether in mine, or mint refine for thee?
Ime counted so, but count me o're thyselfe, 
Lest gold washt face, and brass in Heart I bee.
I Fear my Touchstone touches when I try 
Mee, and my Counted Gold too overly.
Am I new minted by thy Stamp indeed?
Mine Eyes are dim; I cannot clearly see.
Be thou my Spectacles that I may read 
Thine Image, and Inscription stampt on mee.
If thy bright Image do upon me stand 
I am a Golden Angell in thy hand.

Lord, make my Soule thy Plate: thine Image bright 
Within the Circle of the same enfolle.
And on its brims in golden Letters write 
Thy Superscription in an Holy style.
Then I shall be thy Money, thou my Hord: 
Let me thy Angell bee, bee thou my Lord.

The Experience

Oh! that I always breath'd in such an aire, 
As I suckt in, feeding on sweet Content!
Disht up unto my Soul ev'n in that pray'r
Pour'de out to God over last Sacramento.
What Beam of Light wrap up my sight to finde 
Me nearer God than ere Came in my minde?

Most strange it was! But yet more strange that shine 
Which fill'd my Soul then to the brim to spy
My Nature with thy Nature all Divine 
Together joyn'd in Him that Thou, and I.
Flesh of my Flesh, Bone of my Bone, There's run 
Thy Godhead, and my Manhood in thy Son.

Oh! that that Flame which thou didst on me Cast 
Might me enflame, and Lighten ery where.
Then Heaven to me would be less at last 
So much of heaven I should have while here.
Oh! Sweet though Short! Ile not forget the same. 
My neerness, Lord, to thee did me Enflame.
I'll Claim my Right: Give place, ye Angels Bright. 
Ye further form the Godhead stande than I.
My Nature is your Lord, and doth Unite 
Better than Yours unto the Deity.
Gods Throne is first and mine is next; to you 
Oney the place of Waiting-men is due.

Oh! that my Heart, thy Golden Harp might bee 
Well tune'd by Glorious Grace, that e'ry string 
Skee'd to the highest pitch, might unto thee 
All Praises wrapt in sweetest Musick bring.
I praise thee, Lord, and better praise thee would 
If what I had, my heart might ever hold.


Endnotes


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INTRODUCTION

The increase in labor union membership in the United States has been studied extensively, but the process of union decertification has received relatively little analytical attention (Chafetz and Fraser, 1979:1). Decertification is the legal procedure of ousting a recognized union, and this process was created through a provision of the 1947 Taft-Hartley Act. If the employees in a given bargaining unit become dissatisfied with the representation which the union is providing them, they may petition the National Labor Relations Board (NLRB) for a decertification election. If the NLRB is satisfied that the petition represents a "showing of interest" of the employees by containing at least thirty percent of the employee signatures, it will set a date for the election to ascertain if the union still maintains majority support from its members.

Although decertification is not considered to be a significant burden to most unions, it must be recognized that the number of decertifications is steadily increasing. For example, during the years 1954-55, there were about 100 units decertified in this country as compared with nearly 3,000 units gained through representation elections. However, in 1976-77, unions lost about 550 units through decertification elections as compared with approximately 4,100 units gained through representation elections. During this period of just over 20 years, the percentage of successful decertifications increased from 3 to 14 percent of representation elections. When the number of eligible voters is examined, it can be seen that during recent years unions in the United States have lost one eligible voter for every eight eligible voters gained in an organized unit (Krislov, 1979:31).

While some decertification elections involve multiple unions (the employees seek to oust the present union and to vote in a second union) a substantial proportion of recent decertifications have involved the choice between the existing union and a return to non-union status. For example, during the years 1975 through 1977, of the 2,229 decertification elections held in the United States, 1,818 of these were single union elections. In 75 percent of these elections the vote was to decertify the union (Anderson, et al., 1980:100). If the trend in the increase
in single union elections continues, and if unions continue to organize fewer units, it logically follows that there will be a significant effect on the rate of trade union growth in this country.

There has been a noted lack of statistical studies which deal with the process of union decertification (Anderson, et al., 1979, 1980; Krislov, 1956, 1979). The few studies which have been conducted on this process use a rather limited set of independent variables in an attempt to explain why workers decertify their recognized unions. One reason for this is that only a limited amount of information is obtainable from the NLRB Annual Reports. These reports confine themselves to such information as unit size, single- vs. multi-union election, units' industrial classifications, the unions involved in the election, and the units' geographical locations (Anderson, et al., 1979: 32-34).

To date, the most sophisticated model used to study the phenomenon of decertification has been the so-called Ashenfelter-Pencavel (A-P) model. This model was originally developed to explain trends in total trade union growth in the United States from 1900-1960 (Ashenfelter and Pencavel, 1969). The A-P model does not deal with decertifying units per se — rather the focus of the model is upon changes in the societal environment which may affect union membership growth. Independent variables used include such things as changes in the consumer price index, total unemployment, extent of "saturation" in unionized sectors of the labor force, and the percentage of Democrats in the United States House of Representatives. These variables are intended to index, respectively, costs/benefits of union membership, extent of labor grievances, limits to new union organization, and public opinion toward labor unions (Anderson, et al., 1980:101). This model has been shown to be an adequate predictor of annual levels of union growth in various historical periods (Elsheikh and Bain, 1978; Moore and Newman, 1975; Moore and Pearce, 1976).

THEORY AND HYPOTHESIS

This paper is an attempt to present at least a partial explanation for union decertifications by using three of the variables contained in the A-P model of union growth. The theory here is that a decline in union growth may be explained at least in part by union decertifications, since decertifications present one explanation for decreasing union membership.

Three hypotheses will be offered here for analysis. First, as the rate of inflation increases, the number of union decertifications should increase. The logic behind this is that as the price of goods increases, workers may become dissatisfied with the benefits which the union offers and as a result, they might oust their union in favor of either no union or another union which claims to offer better benefits.

Second, as the unemployment rate increases, the number of union decertifications should decrease. The reasoning here is that as times get hard and as jobs become more and more scarce, the worker will hold on to his union protection. That is, he will not risk losing the job security which the union offers him.

The third hypothesis being offered here is that with the presence of a Republican in the White House, union decertifications should increase as compared to those years in which a Democrat held the office of President. This presupposes the contention that Republicans have traditionally held a more lenient view toward unionism in the United States, and thus the public's attitude toward unionization should reflect the views of the prevailing administration.

DATA AND METHOD

The model to be tested here is as follows:

\[ D_t = f(a + B_1 U_{t-1} + B_2 U_{t-1} + B_3 P_{t-1}), \]

where

- \( D_t \) = the dependent variable, the number of decertification elections held per fiscal year over a twenty year period from 1959 through 1979
- \( U_t \) = the rate of unemployment for each of these years
- \( I_t \) = the consumer price index for each of these years
- \( P_t \) = the presence of a Republican or a Democrat in the presidency of the United States for each of these years.

The independent variables are lagged one year in the multiple regression analysis due to the fact that the process of decertification usually takes at least a year to complete, and any effects of these variables should be felt the year before the actual occurrence of the election.

RESULTS

The statistical analysis resulting from the regression equation lent support for the assertion that the model was a significant and valid one. The overall model produced an F value of 17.6 with an overall significance level of .0001. 75 percent of the variance is explained in this model (\( R^2 = 0.756 \)).

The computations derived from the independent variables for the above model were as follows:

\[ D = 6.947 - 0.467 U + 0.468 I + 0.094 P \]

The rate of unemployment when entered into the regression equa-
tion indicated an inverse relationship. The T score here was -2.38 (thus showing a negative correlation). The significance level of this variable was .029.

As regards the effect of inflation on the number of decertification elections, the analysis showed a direct relationship. The T score of 6.79 supports this highly positive correlation, with a level of significance of .0001.

The presence of a Republican or a Democrat in the White House obtained poor results when analyzed in the equation. The T score of 0.88 left much to be desired in terms of showing the association here, and the significance level was only .39.

CONCLUSIONS

From the results obtained in the regression analysis, it is evident that the first hypothesis is strongly supported. The number of decertification elections increases as the rate of inflation increases. As previously stated, it could be inferred that member dissatisfaction with the union’s benefit package could spur an attempt at better representation or an attempt to return to a non-union status.

Likewise, the second hypothesis was upheld by the results obtained. As the rate of unemployment increases, the number of decertification elections decrease. Again, the theory of union job security in an unstable economy could be argued.

The third hypothesis had to be rejected from the analysis of the results. It appears that there is no significant association between the political party of the president and the number of decertification elections. This might lead one to conclude that either the attitudes of the two parties concerning unionism are not so divergent, or that the attitudes of the reigning administration are not reflected to a large degree by the average American worker.

POLICY RECOMMENDATIONS

From the analysis of the model just described, there are some policy recommendations which unions and companies might be advised to follow.

Since union decertifications increase when prices are high, unions would be well advised to pursue stiffer contracts in these economic periods. By stiffer contracts it is meant that they should bargain for even more benefits and higher wages than they would normally bargain for. On the other hand, this correlation between decertifications and the inflation rate would imply that it would be advantageous for the companies to hold tight to their positions during a bargaining session with the union. If a company can hold the union down in terms of the above-mentioned increases, there is a good possibility that the company’s actions could initiate the decertification process.

Because the number of decertifications has been shown to decrease with an increasing unemployment rate, unions should be especially concerned about being decertified when the unemployment rate is low. It is during these periods when workers do not especially worry about the job security which their union offers. Companies who might wish to instigate a decertification process would do well to watch for these periods of low unemployment and make their plans accordingly.

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In today's business environment, a company cannot afford to operate at less than peak productivity. With the prime interest rate at twenty percent or more, it makes the holding of large inventories impractical. Materials Requirements Planning (MRP) is a system designed to increase a business' productivity and reduce its cost by eliminating the need for large inventory levels.

There are many factors which must be considered before implementing a MRP system. This paper presents a case study of the implementation of MRP at the Colt Industries' Holley Carburetor Division in Bowling Green, Kentucky.

The Holley Carburetor Division produces carburetors for Ford, General Motors, Chrysler, and International Harvester. In 1985 they will become the sole supplier to Chrysler. They also produce replacement carburetors for all models. Holley Carburetor has been in operation in Bowling Green since 1950 and now operates three of their six manufacturing plants there.

The Holley Division first considered MRP because of fluctuating inventory levels and scheduling problems. They were experiencing differences of several million dollars within one month's time. They were also having to hire new employees to handle problems and then being forced to lay off these same people in a very short time.

IMPLEMENTATION AT HOLLEY CARBURETOR

The Holley Carburetor Division chose to follow Wright's (7) sixteen step plan for installing this MRP system. The plan was broken down into steps, with each step containing a number of tasks required. This plan called for completion within a year and a half after starting to be successful. The Holley Carburetor Division committed to MRP in late 1979 and plans to have the system fully running by October of 1982.

The first step of implementation consisted of the initial education of the top management of the firm (5). The education stressed the system works and the benefits to the company. The very top management, including the production and inventory control management, needed a working knowledge of the system before step two could be obtained. The top management of Holley was skeptical at first because of the failure of another division of Colt Industries to successfully implement an MRP system. Once the education was started and further checks of personnel were carried out it was found that there was what Wright called a “Critical Mass” (8) of people at Holley who knew what MRP was and how it worked. The top management was then ready to put full backing into the system once it was justified.

The second step was justification, commitment and the delegation of responsibility of the plan. Once the top management has been educated in MRP, they were ready to consider using the system in the firm. The production and inventory control management prepared a cost/benefit justification for the system. Once the system was justified, then a formal commitment to the plan was obtained. The next task was to set up an implementation team and appoint a team leader who was to devote full time to coordinating and managing the project. The team leader at Holley Carburetor was the materials manager. The project team was made up of a representative from each plant and the central office. There was a steering committee made up of all the plant managers to help coordinate the implementation. Once the project was under way, each section of the firm which was presently active in the project, submitted a periodic review of their section of the project. Once the top management of the company was educated and was committed to the plan, the physical implementation of the plan could begin. Each step and task of the plan was given its own completion date.

The first step of implementation was to choose the software package they were to use. Several packages were reviewed. The system offered by Arista Manufacturing System (a subsidiary of the Xerox Corporation, which since has become Management Science of America) was chosen because of its compatibility with Holley’s present hardware, its ability to interface parts of the system, and its low consultant price. It also came with a manufacturing program at no added cost. Wright's plan called for selection of the software to be the eighth step, but Holley felt they needed to know what the system was capable of before they started their education.

The steps of implementation was to set up a detailed education and training program for the people involved in the operation of the system. The education and training conveyed a broad understanding of the general and specific principles of MRP and how to use it effectively in the operation of the company. The people selected to receive the first training in MRP included the team leader, production, inventory control, purchasing, plant, stockroom, engineering, sales and marketing, and data processing managers. These people were responsible for the instruction of the members of their departments in the...
requirements of the MRP system they were to use. This included all forms, reports, and documents that the firm was to use, along with any required knowledge for their functions. There were also special teachers assigned to the task of instructing the remaining people. Holley Carburetor started its educational program in June of 1981 and concluded it in November of 1981. The educational material consisted mostly of audio visual presentations provided by Manufacturing Software Systems, Inc. This was found to be the standard procedure at many other firms because of its relative low cost.

The third step of implementation was to achieve at least a ninety-five percent accuracy rate of inventory. Holley Carburetor was experiencing problems with its inventory accuracy, and had started cycle counting of parts before the MRP system was justified. They had reached a level of ninety-six percent by March of 1981.

Once inventory levels were stabilized the bills of materials were verified by engineering to eliminate all errors. Holley had one hundred percent accuracy in their bill of materials, but made some small changes for easier use with the MRP system. An example was adding an extra level to allow for the packaging difference of the same carburetor being shipped to different customers.

The next phase of the plan was to prepare an item analysis of ordering rules. A group of about one hundred items were checked for correctness of lead time, ordering quantities, and safety stock. Holley found that the lead times of their vendors were inaccurate, and are working to have them corrected.

The next step was preparing the master schedule. To prepare the master schedule, the top management, marketing, production, inventory control, and shop managers developed a statement of production, separated into products and by months. This statement was the long-range aggregate production plan. The aggregate production plan was then developed into the master schedule by breaking the production plan down into specific item numbers according to weekly demand. The management then devised a policy for the master schedule which included the procedures for changing either the production plan or the master schedule and established policy of who had authority to change either of them. A periodic review of forecasts, actual sales, the master schedule, and the actual production was set up to determine needed changes in either the aggregate production plan or the master schedule. Holley Carburetor started using their master schedule in December of 1981.

Once the previous tasks were accomplished, the pilot program was implemented. The pilot program involved everyone in the company that had been educated in the MRP. The pilot program was a test run of the system on a selected group of products with several hundred part numbers. The pilot program was to verify whether the system was giving correct information, such as correct due dates, and to check actual production against the master schedule. The pilot program at Holley pointed out some small problems in the system that will be discussed later.

At the time of this writing, Holley has finished the pilot programs. Their next step will be checking their routing system for errors and correcting them. Holley found some routing errors during its pilot program, but plans to wait and correct all errors at once to reach its correct sequence of operation.

Once the sequence of operations is correct, work centers will be determined and bottle-necks eliminated. There is only one known bottle-neck at present, which is the carburetor flow checking stations. Criteria for capacity measurement are being determined.

The capacity check of the software system will then be needed to allow Holley to verify their working ability. Checks for the correct planning functions, input/output controls of reports, and capacity requirements will be run.

The last procedure that Holley plans to follow before they achieve full implementation is to run a pilot program for shop floor controls. If the pilot is successful, the remaining departments will be brought into the system. Holley Carburetor plans to reach full implementation by October of 1983.

COMMON PROBLEMS AND THEIR AVOIDANCE

Of the many firms that have tried to implement a MRP system, there are few that have achieved full potential. Since 1972, over a thousand companies have tried to implement an MRP system. In 1976, Latham (6) noted that only twenty-five had reached Wright's "Class A" order ranking. There are several common reasons that companies are unsuccessful at implementing a MRP system. These reasons include lack of support by top management, inadequate education, inadequate BOM and inventory checks, no continuity of support and employee resistance, as the most documented problems (2, 3, 4, 5, 6, 10). Holley Carburetor has avoided most of these problems successfully due to their research of other firms in the area that have implemented, or which have attempted to implement, an MRP system. There are some older middle managers and lower managers who have a "wait-and-see" attitude. Also, some of the shop workers see the system as more work for them. Holley is continuing its education program to try to solve these problems.

The top management at Holley is dedicated to the successful
implementation of MRP. Close surveillance over the system is being maintained by the executive vice-president. A series of conference calls were set up to be held every Monday evening. This allows every plant to pool their brainpower to solve problems that each plant might be having. This is close to the procedure used by Star Manufacturing of Oklahoma City (11). Star almost faltered in 1975, but has since then obtained full implementation and has achieved growth in every department. Star is near to becoming a "Class A" user.

Holley Carburetor has successfully avoided the major problems because of their research into the problems reported by other firms. Holley did find some small problems during the pilot program but they are being corrected. These problems included faulty forms, software system interface problems, and education problems.

The problems that Holley found in its forms were mostly ones of inconveniences for keypunch operators because of the arrangement of information and the lack of numbered copies for each department. The keypunch operators were having problems taking information from the form because they were forced to skip around.

The interface problems arose due to the identification numbers for shipping and in-plant transfer forms. The shipping forms are called TR-1 and the in-plant transfers are called TR-3. This was causing the system to bomb-out orders for lack of parts, when the carburetors had already been shipped to customers because the software was set up to process function alphabetical. This was solved by a change in the identification numbers of some forms.

The educational problems were felt to have been caused by the fact Holley was in a hurry to get everyone familiar with MRP. Because the program was finished quickly, some members of the firm had a lead time of almost a year between their education and application. It was also found that the education should have been less oriented toward theory and more toward practical application, as Roberts (8) suggested.

Many problems were avoided because Holley continued to own their old system during the first few weeks of the plant project. This allowed the people who knew that there was a problem in the MRP system to identify it and to correct it quickly, while they were still learning the new procedures. Holley found, as noted by Belt (1) that many of the small problems could have been avoided if there had been better channels of communication between departments.

The major advantages of MRP are that it helps keep priorities straight, keeps inventories low, and gives early warnings to problems (8). The system allows a manager to expedite an order for a tight deadline or de-expedite orders if needed. By de-expediting, a manager may use free time and capacity for other jobs, prevent a "hurry up and wait" problem that increases inventories, and allow for the rescheduling of vendor deliveries which will keep inventories low. With the correct priorities, a firm can decrease its lead times by eliminating the waiting for parts to catch up with the assembly. Because of the lower lead times, there is less inprocess work and lower inventories. The MRP system's early warning function allows the marketing personnel to check on the feasibility of delivery dates before promising the customer. If a problem does arise that cannot be solved in the firm, then the customer can be warned in advance. These are the reasons that Holley chose to implement a MRP system and the results they expect to achieve. Because of the determination of top management and their ability to learn from their mistakes, and the mistakes of other firms, Holley should achieve a good working system.

References


Interperiod Income Tax Allocation: A Continuing Controversy
by Charlotte Jones

Introduction

Equality of taxable income and pretax accounting income is a virtual impossibility in today's economic environment. There are two reasons for this inequality: 1) some items are included in taxable income but never in accounting income and some items are included in accounting income but never in taxable income and 2) "some transactions affect the determination of net income for financial accounting purposes in one reporting period and the computation of taxable income and income taxes payable in a different reporting period." These differences occur primarily because of differences in purpose. "The purpose of revenue laws is to establish practical formulae for the collection of taxes" and to achieve certain desired social objectives. Whereas "financial accounting determinations of net income are designed to measure business results as they occur, without recognizing any artificial exclusions or modifications." Some differences arise primarily through operation of the tax laws, while other differences arise from elective decisions which the tax laws permit management to make. Therefore, the income tax expense will rarely represent the amount of income taxes actually payable. Interperiod tax allocation (the process of apportioning income taxes among periods) has been gradually accepted as "an integral part of the determination of income tax expense, and income tax expense should include the tax effects of revenue and expense transactions included in the determination of pretax accounting income." The concept of interperiod income tax allocation has been the subject of much continuing controversy. The nature of the deferred tax account has been widely debated. Some accountants believe deferred taxes are assets or liabilities (depending on whether there is a debit or credit balance), while others believe they are just deferred tax debits or credits per se, and not true assets or liabilities.

An other dispute has arisen over the extent of application of interperiod income tax allocation. Some parties support the concept of partial allocation wherein only specific nonrecurring timing differences between taxable income and pretax accounting income are treated as...
Accounting Research Bulletin No. 42, entitled “Emergency Facilities—Depreciation, Ammortization, and Income Taxes,” was released in 1952. The federal government had begun a policy of allowing emergency facilities to be written off for tax purposes over a five-year period. Usually, the useful life of these facilities exceeded the five-year period; thus creating an amount of income tax payable different than would have been the case had the payable been based on accounting income. Bulletin 42 stated that, when the difference is material, a “charge should be made in the income statement to recognize the income tax to be paid in the future on the difference between book depreciation and tax-return amortization.” This treatment was not intended to apply to differences that were expected to recur regularly over a long period of time.

The Internal Revenue Code of 1954 permitted taxpayers to use accelerated methods of depreciation thus increasing the incidence of differences in income tax expense and income taxes payable. This change in law prompted the issuance of Accounting Research Bulletin No. 44, entitled “Declining—Balance Depreciation.” It declared that “deferred income taxes need not be recognized in the accounts unless it was reasonably certain that the reduction in taxes during the earlier years of use of the accelerated method for tax purposes was merely a deferral of taxes until a relatively few years later, and then only if the amounts were clearly material.”

Even though Bulletin 44 did not require tax allocation for all timing differences, a study conducted by Willard J. Graham indicated that most industrial companies had adopted some form of tax allocation by 1957. His study revealed that 80 percent of the industrial companies using accelerated depreciation for tax purposes only in the period from 1954 to 1957 provided for deferred income taxes. Reflecting the trend in practice at that time, the Committee on Accounting Procedure issued a revision of Bulletin 44 in 1958. The revised document required interperiod income tax allocation for all “timing differences involving the faster recognition of depreciation for tax purposes than for financial reporting purposes.”

Willard J. Graham explains the reasoning behind this change in philosophy in an article in the Journal of Accountancy in 1959. He points out that the utility of the income statement “depends primarily upon its validity as a basis for appraising the profitability of... future operations. The failure to give proper recognition to the deferral of credits to income tax expense produces a net income amount that is likely to lead the reader to an overestimate of future earning power...” This philosophy continued to develop gradually over the next eight years. Another commentator attempted to justify interperiod allocation in the following manner: “Since most transactions other than income taxes are allocated to accounting periods so as to match revenues and expenses, and since income taxes over long periods are inextricably involved with and inevitably determined by these other business transactions, it would seem to be mandatory that income taxes be allocated in such a manner as to relate them to the periodic incidence of the other transactions.”

As the general concept of interperiod tax allocation became more widely accepted, controversial topics stemming from the implementation of the concept were intensely debated. Disagreement arose over the extent of application of interperiod allocation needed. Three opposing methods of allocation were supported by various groups, and even the nature of the deferred tax account was disputed. A survey conducted by the Financial Executives Institute at this time indicated that 52 percent of the surveyed companies were practicing partial allocation, 25 percent were practicing comprehensive allocation, and 23 percent were not employing any type of allocation.

The Accounting Principles Board attempted to narrow the differences in accounting treatment of income taxes by issuing Opinion No. 11, “Accounting for Income Taxes,” in December of 1967. Summary of Position Taken in Opinion No. 11

Opinion No. 11 concluded that “interperiod tax allocation is an integral part of the determination of income tax expense, and income tax expense should include the tax effects of revenue and expense transactions included in the determination of pretax accounting income.” The Board presents the following rationale as theoretical justification for interperiod income tax allocation:

1. The operations of an entity subject to income taxes are expected to continue on a going concern basis, in the absence of evidence to the contrary, and income taxes are expected to continue to be assessed in the future.
2. Income taxes are an expense of business enterprises earning income subject to tax.
3. Accounting for income tax expense requires measurement and identification with the appropriate time period and therefore involves accrual, deferral and estimation concepts in the same manner as these concepts are applied in the measurement and time period identification of other expenses.
4. Matching is one of the basic processes of income determination; essentially it is a process of determining relationships
between costs (including reductions of costs) and (1) specific revenues of (2) specific accounting periods. ... Costs identifiable with future periods should be deferred to those future periods. 18

The Opinion identifies two types of differences between taxable income and accounting income: permanent differences and timing differences. Permanent differences are items that enter into accounting income but never into taxable income and items that enter into taxable income but never into accounting income. Examples include amortized goodwill, life insurance proceeds, and interest on municipal obligations. 19 Permanent differences will not be offset by corresponding differences in other periods and this interperiod allocation is not appropriate for them.

Timing differences are differences between the periods in which transactions affect taxable income and accounting income. These differences originate in one period and reverse in one or more subsequent periods. Timing differences can be divided into four categories:

1. Income items are included in taxable income earlier than they are included in pretax accounting income.
2. Expense items are included in taxable income earlier than they are included in pretax accounting income.
3. Income items are included in pretax accounting income earlier than they are included in taxable income.
4. Expense items are included in pretax accounting income earlier than they are included in taxable income. 20

The tax effects of these timing differences should be recognized in the periods in which the differences between pretax accounting income and taxable income arise and in the periods in which they reverse. Opinion 11 specifies that these tax effects should be measured by the "differential between income taxes computed with and without inclusion of the transaction creating the difference between taxable income and pretax accounting income." 21

The Opinion requires that comprehensive interperiod tax allocation be utilized. According to this concept, the "income tax effects of all material timing differences are taken into consideration in the year in which they arise and in the year or years in which they reverse, or 'turn around.'" 22

The method of implementation adopted by Opinion 11 is the deferred method. The tax effects of originating differences are deferred, to be allocated to income tax expense in the periods in which these differences reverse.

The Opinion requires that the estimated taxes payable and the tax effects of timing differences be disclosed in the income statement. The deferred charges and credits relating to the timing differences should be presented in all categories on the balance sheet — one for the net current amount and one for the net noncurrent amount. 25

Nature of the Deferred Tax Account

Before embarking upon a discussion of the classification of deferred taxes, it will be helpful to review the definitions of assets and liabilities.

Definition of an Asset

A general definition of an asset can be found in A Dictionary for Accountants: "Any owned physical object (tangible) or right (intangible) having economic value to its owner; ... hence, any cost benefiting a future period." 24 Sprague and Moonitz, in Accounting Research Study No. 3, expanded the general definition only slightly. They defined assets as "future economic benefits, rights to which have been acquired by the enterprise as a result of some current or past transaction." 25 In 1964 a study group at the University of Illinois concluded that assets have three principle characteristics:

1. They are present or potential benefit to the enterprise.
2. They are measurable in monetary terms.
3. They are the result of enterprise transactions. 26

The definitions presented thus far have been fairly consistent with each other. However, the Accounting Principles Board in Statement No. 4 offered an entirely different perspective. Statement 4 defined assets as "economic resources of an enterprise that are recognized and measured in conformity with generally accepted accounting principles." 27 This broad definition would seem to lend itself to a variety of diverse interpretations. The most current definition of assets in the official publications can be found in The Financial Accounting Standards Board Concepts Statement No. 3. It states that assets are "probable future economic benefits obtained or controlled by a particular entity as a result of past transactions or events." 28 Unlike the APB, the FASB chose to exclude deferred
charges from its definitions of assets.

Definition of Liabilities

A basic definition of liabilities can be found in Accounting Research Study No. 3 where liabilities are defined as "obligations to convey assets or perform services, obligations resulting from past or current transactions and requiring settlement in the future." As in the case of assets, APB Statement 4 defined liabilities uniquely. It stated that liabilities are "economic obligations of an enterprise that are recognized and measured in conformity with generally accepted accounting principles. Liabilities also include certain deferred credits that are not obligations but that are recognized and measured in conformity with generally accepted accounting principles." This definition would therefore include deferred taxes as a liability. However, Financial Accounting Standards Board Concepts Statement No. 3 takes a different view. It defines liabilities as "probable future sacrifices of economic benefits arising from present obligations of a particular entity to transfer assets or provide services to other entities in the future as a result of past transactions or events." This latest definition of liabilities does not include deferred taxes as a liability.

Differing Views on the Nature of Deferred Taxes.

APB Opinion No. 11 required that the tax effects of timing differences be accounted for as deferred charges or deferred credits. It reasoned that these deferred items did not represent "receivables or payables in the usual sense," and that since they "represent tax effects recognized in the determination of income tax expense in current and prior periods," they should likewise be excluded from retained earnings or any other stockholders' equity account.

Those who oppose the recognition of a liability for deferred income taxes question whether or not the deferred taxes will ever have to be paid. Payment is at best a contingency. "Tax payments to be made in the future depend upon future tax laws, future tax rates, and future net incomes. There is no firm evidence that an obligation exists; and if a liability is reported, customers, investors, and the public at large may be misled." This view is also supported by the definition of liabilities as recommended in FASB Concepts Statement No. 3. The deferred tax account fails to arise from present obligations to transfer assets or provide services. "The amount shown under this caption represents, not what the firm is liable for, but what the firm expects to be liable for at some future time."

Those who believe the deferred tax account is a liability for accounting purposes admit that it does not meet the definition of a legal liability. However, they argue, accountants have acknowledged the need to go beyond legal requirements in recording liabilities. Items currently recognized as accounting liabilities but which do not qualify as legal liabilities include: accrued interest not yet payable, provisions for warranties, and property taxes accrued but not levied. This reasoning is explained by Paul Grady in Accounting Research Study No. 7:

"... accounting has shown a tendency to follow through on the going-concern concept, whereas the courts and the taxing authorities have usually insisted on the existence of a legally enforceable obligation before permitting recognition of the liability and the related expense. For accounting at its present stage of development, the existence of probable future outlays, arising from or related to past transactions, is sufficient in most cases to warrant the recognition of a liability; for legal purposes (including income taxation) a further condition is usually necessary; namely the identification of a specific legal person to whom the obligation runs, and who has the right to sue for payment, if necessary."

Thus the "absence of a debtor-creditor relationship is not fatal to the liability concept. A postponed tax meets the test of an estimated liability because future payments are expected to arise from current and past transactions."

James B. Waugh presents another argument favoring classification of deferred taxes as a liability. He reasons that the tax deferral does not defer tax costs; merely tax payments. The deferred credit arises from the application of accrual accounting techniques to the recording of current tax expense and the related deferred tax payments, "Clearly, then the tax credit is in the nature of an accrued liability, properly measured by our current estimate of the excess payments to be made at some future date when payment falls due."

Extent of Application of Interperiod Tax Allocation

The extent of application of interperiod income tax allocation has been and continues to be a topic on which accountants disagree. Two degrees of application are debated: partial allocation and comprehensive allocation.

Partial Allocation

The general presumption under this concept is that the amount of
income tax expense for accounting purposes should be the amount of taxes actually determined to be payable for the period. Holders of this view believe that when recurring differences between accounting income and taxable income give rise to an indefinite postponement of an amount of tax payments or to continuing tax reductions, tax allocation should not be applied. They point out that the “application of tax allocation procedures to tax payments or recoveries which are postponed indefinitely involves contingencies which are at best remote and thus, in their opinion, may result in an overstatement or understatement of expenses with consequent effects on net income.” The only exceptions to this general presumption is when specific nonrecurring differences between pretax accounting income and taxable income would result in a material misstatement of income tax expense and net income. “If such nonrecurring differences occur, income tax expense of period for financial accounting purposes should be increased (or decreased) by income tax on differences between taxable income and pretax accounting income provided the amount of the increase (or decrease) can be reasonably expected to be paid as income tax (or recovered as a reduction of income taxes) within a relatively short period. Thus tax effects of timing differences would not be recognized as long as it is assumed that similar timing differences will arise in the future creating tax effects at least equal to the reversing tax effects of the previous timing differences. “Postponement of tax payments indefinitely, they claim, amounts to avoiding or reducing taxes; and it is then misleading to show the full tax deferral as a liability.”

The proponents of partial allocation argue that for a growing company with a rising volume of operations, the recurring timing differences are steadily increasing and thus result in an indefinite postponement of income taxes. They conclude there is no need to recognize the deferred taxes. Other accountants disagree with this logic on the grounds that most all other items in the balance sheet are also steadily increasing as individual elements “roll over.” For example, accounts receivable are collected and replaced by charges for new sales. The full amount of receivables are reported on the balance sheet, however. What would result if this logic were applied to the fullest extent? “Can we take the extreme position that our total liabilities of all kinds will never be decreased — that in a going (and perhaps expanding) business, maturing liabilities will always be offset by increases in other liabilities — that we will never need to make a net payment, and that we can therefore ignore all liabilities?”

Other opponents contend that “no more justification exists for income tax expense to reflect only some of the tax effects associated with a period’s transactions than for any other expense to represent only some of the charges properly applicable to that period. Clearly defined guidelines for tax allocation should improve financial reporting by placing income tax expense on a measurement basis similar to that for other expenses, resulting in more readily understandable and comparable income statements.”

Comprehensive Allocation

Under this concept, “income tax expense for a period includes the tax effects of transactions entering into the determination of pretax accounting income for the period even though some transactions may affect the determination of taxes payable in a different period. Those supporting comprehensive allocation believe that the tax effects of initial timing differences should be recognized and that the tax effects should be matched with or allocated to those periods in which the initial differences reverse. The fact that when the initial differences reverse other initial differences may offset any effect on the amount of taxable income does not, in their opinion, nullify the fact of the reversal.”

The deferred tax account can be said to “revolve” as initial differences reverse and are replaced by similar initial differences. “These initial differences do reverse, and the tax effects thereof can be identified as readily as can those of other timing differences. While new differences may have an offsetting effect, this does not alter the fact of the reversal; without the reversal there would be different tax consequences. Accounting principles cannot be predicated on reliance that offsets will continue.” Proponents of partial allocation protest this reasoning. They state that this “revolving” account approach suggests that there is a similarity between the deferred tax account and other balance sheet items, such as accounts payable, in which individual items in the account turn over regularly even though the account balance remains constant or grows. This turnover for these other items, they contend, “reflects actual, specific transactions — goods are received, liabilities are recorded and payments are subsequently made. For deferred tax accruals on the other hand, no such transactions occur — the amounts are not owed to anyone; there is no specific date on which they become payable, if ever; and the amounts are at best vague estimates depending on future tax rates and many other uncertain factors.” Thus they maintain this argument is fallacious.

Supporters of comprehensive allocation “believe that the partial allocation concept in stressing cash outlays represents a departure from the accrual basis of accounting.” They believe comprehensive allocation “results in a more thorough and consistent association in the
matching of revenues and expenses, one of the basic processes of income determination.\textsuperscript{46}

Some opponents of comprehensive allocation base their argument on the premise that deferred taxes rarely ever become amounts actually payable. This contention is evidenced by a study conducted by Price Waterhouse & Company in 1967. They surveyed 100 corporations over the twelve year period extending from 1954 through 1965. Of the almost $1 billion aggregate of deferred taxes, only $20 million, or two percent of the total, became actual amounts payable requiring the outflow of cash.\textsuperscript{46} This, they claim, results in an overstatement of liabilities and expenses and an understatement of stockholders' equity. As a consequence, comprehensive allocation is detrimental to current stockholders.

Methods of Implementation

Three separate methods of implementation have been discussed and evaluated. Accountants have not been able to agree on which method is best suited for the allocation of income taxes. Opinion No. 11 adopted the deferred method, but the controversy rages stronger than ever.

Deferred Method

According to this method “the tax effects of current timing differences are deferred currently and allocated to income tax expense of future periods when the timing differences reverse.” This method “emphasizes the tax effects of timing differences on income of the period in which the differences originate. The deferred taxes are determined on the basis of the tax rates in effect at the time the timing differences originate and are not adjusted for subsequent changes in tax rates or to reflect the imposition of new taxes. The tax effects of transactions which reduce taxes currently payable are treated as deferred credits; the tax effects of transactions which increase taxes currently payable are treated as deferred charges.”\textsuperscript{46} Because these debits and credits are not viewed as assets and liabilities, “they are not measured by future cash flows. Rather, they are measured by current tax increases or decreases resulting from current timing differences.”\textsuperscript{51}

Accounting Research Study No. 9 questioned the validity of using the deferral procedure for income taxes. A deferral becomes necessary whenever the cash outlay or receipt precedes the expense or revenue. “The peculiarity of a deferred credit for taxes amid other deferrals is that its basis is neither a past nor an expected cash outlay or receipt. The deferred credit concept depends instead on the absence of a cash transaction. The internal logic of the deferred concept is that a future period is benefited because a company is not obligated to pay a given amount of income tax currently. An amount not paid is shifted from one period to another to attain a matching of expenses and revenue and an appropriate net income. Analysis of a deferred credit for taxes leads to the conclusion that it is an anomaly in the balance sheet. Deferred credits from tax allocation have the characteristics of accruals but not of deferrals.”\textsuperscript{76}

Others have gone as far as to say that since assets must equal liabilities plus stockholders' equity and since deferred tax debits and credits cannot be part of stockholders' equity, then the deferred debits and credits must be deferred tax assets and liabilities in disguise. “Accordingly, the deferred method is an aberration of the liability method.”\textsuperscript{76}

Another criticism of the deferred concept stems from the matching results it produces. “Mismatching occurs not in the period when the timing difference originates but in future periods if tax rates change. The argument is that it is necessary to defer the current temporary tax reduction to offset the higher charge to income for the greater tax payment when the timing difference is reversed. A change in the tax rate makes the higher tax payment different in amount from the deferred credit intended to offset it. The periods of reversal bear the full effect of the rate change, and the income tax expense for those periods has no functional relationship with pretax accounting income.” Remedy this situation by adjusting the deferred credit at the time of the rate change would entail a switch to the liability method.\textsuperscript{44}

Liability Method

According to this method, “income taxes expected to be paid on pretax accounting income are accrued currently. The taxes on the components of pretax accounting income may be computed at different rates, depending on when the components were or are expected to be included in taxable income. The difference between income tax expense and income taxes in the period in which the timing differences originate are either liabilities for taxes to be paid in later periods or assets consisting of prepaid taxes. Under the liability method, the initial computations are considered to be estimates and are subject to adjustment if tax rates change, if taxes are repealed or if new taxes are imposed.”\textsuperscript{76}

The liability method results in an excellent matching of costs and revenues. The income tax expense always bears a constant relation-
ship to the pretax accounting income. Likewise, the components of both the income statement and the balance sheet are presented in conformity with recognized classifications when the liability method is used. However, opponents disagree with the liability classification on the grounds that there is no liability actually owed to anyone.

Many professionals today advocate the adoption of the liability method and partial allocation. They say that deferred taxes computed by the liability method meet the definition of liabilities given in FASB Concepts Statement No. 3. Concepts Statement No. 3 gives proof of this contention by stating that "both the liability method and the net-of-tax method are compatible with the definitions in this Statement." Because partial allocation is recommended, only those future taxes for which payment is probable will be recorded as liabilities thus resulting in a more realistic balance sheet presentation.

Net-of-Tax Method

This is a procedure whereby the "tax effects (determined by either the deferred or liability methods) of timing differences are recognized in the valuation of assets and liabilities and the related revenues and expenses. The tax effects are applied to reduce specific assets or liabilities on the basis that tax deductibility or taxability are factors in their valuation." This logic is based on the assumption that assets have two uses: the production of revenue and the reduction of taxes. Taxability and tax deductibility are factors in the "valuation of assets and liabilities and the amount is measured by the tax effect of the tax status of a given asset of liability changes, its value is affected, with a concurrent effect on net income." Applying this reasoning, "prepaid taxes may be considered valuation accounts to the related liabilities and the taxes payable in the future may be considered contra asset accounts, or the assets and liabilities may be reduced directly.... The difficulty with this concept is that many other factors should also be considered in measuring the value of the asset, either to the firm or in presenting evidence of the value of the firm to investors. The net-of-tax method is usually rejected on the grounds that it is not the objective of accounting to measure and report the value of each asset or liability."

Conclusion

Amidst the chaos and confusion, accountants generally tend to agree on one point: the need for reevaluation and reconsideration of the concept of interperiod income tax allocation. Recent empirical evidence demonstrates the one-sided growth of the deferred tax account. Sidney Davidson, Lisa Skelton and Roman Weil studied 3,108 firms on Compustat tapes for the 19-year period from 1954-55 through 1972-73. Of the 18,184 changes in the deferred tax account, only 3,896 of those changes were decreases. The decreases totaled $5.9 billion while the increases totaled a disproportionately larger $39.5 billion. This trend can be expected to continue as the Economic Recovery Tax Act of 1981 has adopted accelerated depreciation methods to be used by all businesses for tax purposes. These methods do not conform to generally accepted accounting principles; consequently, timing differences in the aggregate will continue to expand over the next several periods.

A recent article in the Journal of Accountancy reflects the dissatisfaction with present methods of interperiod income tax allocation. The article, written by R.D. Nair and Jerry J. Weygandt, lists five reasons why a reevaluation of accounting for income taxes is important:

1. FASB Concepts Statement No. 3 explicitly states that the deferred method does not fit any of the definitions of balance sheet elements adopted by the FASB.
2. Issuance of Statement of Standard Accounting Practice No. 15, "Accounting for Deferred Taxation," by the United Kingdom's Accounting Standards Committee requires tax allocation for "short-term timing differences and for other originating timing differences unless it can be demonstrated that the differences will not reverse within three years." If required, partial allocation may be appropriate. Practical experience in that country should be helpful to the FASB.
3. "The increasing attention being given to harmonization of accounting standards across countries is another reason why accounting for income taxes in the U.S. should be reevaluated."
4. The costs of information required under Opinion 11 seem to exceed its benefits, especially for small businesses.
5. "The FASB has recently issued several pronouncements on accounting for deferred income taxes in special situations. Those pronouncements are inconsistent with the concepts underlying the treatment of deferred income taxes in APB Opinion No. 11 and will lead only to confusion and misunderstanding."

This sentiment is reaffirmed by Raymond E. Perry in an essay in the Handbook of Accounting and Auditing.
...the adoption of the deferred method, with its emphasis on mechanical calculations rather than concept, has created numerous interpretation problems over the years. And in the years since APB Opinion 11 was adopted, differences between reported income and taxable income have proliferated. Applying all of these complications under the with-and-without computation required by the deferred method under APB Opinion 11 can create a nightmare of computational difficulties and give rise to varying interpretations. In addition to being extremely complex, these interpretations can also have very significant effects on reported income. Accordingly, it will probably be necessary for the patchwork of income tax accounting pronouncements and interpretations that now exist to be reconsidered by the FASB in the early 1980s.

ENDNOTES

7Queenan, p. 16.
13Graham, p. 59.
16APB Opinion No. 11, par. 12.
17Ibid., par. 14.
20APB Opinion No. 11, par. 36.
22Ibid., p. 339.
25Study Group at the University of Illinois, "A Statement of Basic Accounting Postulates and Principles" (Urbana, IL: Center for International Education and Research in Accounting, 1964), p. 16.
28Accounting Research Study No. 3, p. 8.
29APB Statement No. 1, par. 132.
30FASB Concepts Statement No. 3, par. 28.
31APB Opinion No. 11, par. 57, 59.
34Accounting Research Study No. 9, p. 45.
35Paul Grady, Accounting Research Study No. 7, "Inventory of Generally Accepted Accounting Principles" (New York: AICPA, 1965), pp. 29-30.
36Ibid., p. 46.
38APB Opinion No. 11, par. 26.
39Ibid., par. 27.
42Graham, p. 63.
43Wyatt, p. 70.
44APB Opinion No. 11, par. 29.
45Ibid.
46Ibid., par. 28.
47Ibid., par. 31.
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AICPA. Accounting Research Study No. 9, p. 47.

APB Opinion No. 11, par. 21.

APB Opinion No. 11, par. 19.


Standing Committee on Taxation and Accounting, New York: AICPA, 1970.
I. RATIONALE

This project is a multiple regression analysis on domestic auto sales from 1955-1979. It is an attempt to analyze the effects of advertising (Adv), price (P), consumer income (Y), and import sales (Imp) on the number of American-made cars sold in the United States.

The function used here is as follows:

\[ S = C_1 + C_2(Adv) + C_3(Y) - C_4(P) - C_5(Imp) \]

where C1 thru C5 represent constants derived within the analysis.

The variables in the project are described below:

P: average auto price per year. The Law of Demand states that as prices rise, quantity demanded of a commodity falls. Thus, price inversely effects sales; when prices increase, unit sales decrease. Since average auto prices for the period could not be found, average auto loans each year are used as a proxy for auto prices.

Imp: import sales. Import sales have become increasingly important in the United States marketplace. As more consumers turn to import autos, fewer American-made autos are sold. Foreign cars are substitutes for American-made autos. As import sales increase, domestic sales fall.

These variables were chosen as the main influencers of domestic auto sales. As advertising and consumer incomes increase, domestic sales are expected to rise. As price and import sales increase, domestic auto sales are expected to decrease.

II. DATA

The data used in the analysis is time-series data observed over a twenty-five year period. Values for each variable were found yearly from 1955-1979. (Table 1) Ideal data for the project would have included the elimination of the proxies used for price and advertising. As previously stated, definite values could not be found for price and advertising over the time frame being studied. Thus, yearly average auto loans were used as a proxy for price and magazine advertising was used as a proxy for total advertising budgets. Although average value of loan amounts is a close estimate of price, it could be expected to be on the high side. More expensive autos are more likely to be financed through loans. Magazine advertising is a good proxy for total advertising budgets. However, it may be that magazine advertising has not increased to the extent that total advertising budgets have over the years. Thus, the effect of advertising on the dependent variable might be underestimated in relation to other independent variables. Other data used in the analysis was adequate. It was collected from U.S. Statistical Abstracts, dated 1955-1980, which in turn get their information from various statistical agencies. All data should be representative of the population studied, namely the American auto industry. The model could be expected to hold for the future because the same independent variables will continue to have a major impact on domestic auto sales.

III. ECONOMETRIC PROBLEMS

Multicollinearity is one of the main econometric problems found in
regression analysis. It occurs when there is a high degree of correlation between two or more independent variables within a model. In this case, this would mean correlation among advertising, consumer income, price and/or import sales. The existance of multicollinearity causes acceptance of Ho, the initial hypothesis, at a time when Ho should not be accepted. The result would be a lowering of the reliability of the estimate.

Upon evaluation of the correlation coefficient matrix, it is evident that a high degree of correlation does in fact exist between several of the independent variables. The degree to which the independent variables are related to each other is very high. A linear relationship exists between the independent variables under consideration. There are several ways that this problem might be arrested. First, it can be assumed that as consumer income rises, prices will also rise at relatively comparable rates. Variables that have such a relationship should not both be chosen in a regression analysis. In order to make a better model, perhaps a variable should be eliminated. However, this analysis would require another set of data, which would be difficult to find. Also, if a necessary variable is not considered, biased and inconsistent coefficients for other variables might be created. Other solutions include collecting more observations. Sometimes as the number of observations increases, multicollinearity decreases. Incorporation of relationships could also yield a lower level of multicollinearity. In addition, first difference and pooled estimate analysis might lower multicollinearity.

After comparing R squares and T-ratios, multicollinearity is not evident. If it were, the R square value would be particularly high and T-ratios would be particularly low. These phenomena are not shown in this model. However, given the extremely high value of the correlation coefficients, some multicollinearity should be assumed and dealt with in using this model.

IV. FINAL MODEL

The final model follows the frame of the function illustrated earlier:

\[ \hat{S} = 8429.935 + 42.309(\text{Adv}) + 11.671(\text{Y}) - 3.866(\text{P}) - .554(\text{Imp}) \]

This equation yields the following information: Holding all other variables constant, increasing advertising by one unit leads to an increase in domestic auto sales of 42.309 units. Increasing income by one unit leads to an increase in domestic auto sales of 11.671 units. Increasing price by one unit leads to a decrease in domestic auto sales of 3.866 units. Increasing import sales by one unit leads to a decrease in domestic auto sales of .554 units.

Evaluation of the model must begin with an in-depth study of theory used to create it. This topic is covered in the introduction and conclusion and will not be repeated here. Next, the value of the coefficient of determination, the R square, for the model is analyzed. The R square in the model is .60541. This indicates that little more than half of the variation in domestic auto sales is explained by the model. The independent variables, price, income, import sales, and advertising, explain only 60% of the changes in domestic auto sales. This is confirmed in analysis of the correlation coefficient matrix. None of the independent variables explain more than 62% of the variation in domestic auto sales.

Finally, hypothesis testing is done to determine whether initial assumptions about the effects of independent variables on the dependent variable should be accepted. An F test is performed to verify that at least one of the independent variables effects domestic auto sales. Given four and twenty degrees of freedom, the critical value was found to be 2.87 at the .05 alpha level. The F value of the model was 7.672. The F value of the model was greater than the F value found in the table. Thus it can be concluded that at least one of the independent variables has a real effect on the dependent variable.

Next, hypotheses are established. H0s, the initial hypotheses, are that the independent variable has zero correlation with the dependent variable. That is, the independent variable has no effect on the domestic auto sales. H1s, the alternative hypotheses, are that the independent variable has a positive or negative effect on the dependent variable. That is, the independent variables have a direct or indirect relationship with domestic auto sales. The hypotheses are as follows:

**Advertising:**
- \( H_0: b = 0 \)
- \( H_1: b > 0 \)

**Income:**
- \( H_0: b = 0 \)
- \( H_1: b > 0 \)
**Regression Analysis**

<table>
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<tr>
<th>Variable</th>
<th>Null Hypothesis</th>
<th>Alternative Hypothesis</th>
<th>Test Statistic</th>
<th>Critical Value</th>
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</thead>
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<tr>
<td>Price</td>
<td>$H_0: b = 0$</td>
<td>$H_1: b &lt; 0$</td>
<td>$t = 1.952$</td>
<td>1.725</td>
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<tr>
<td>Import Sales</td>
<td>$H_0: b = 0$</td>
<td>$H_1: b &lt; 0$</td>
<td>$t = -2.646$</td>
<td>1.725</td>
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</tbody>
</table>

Upper-tailed tests are used for those variables expected to directly affect sales. Lower-tailed tests are used for those variables expected to indirectly affect sales. The test is done at the .05 alpha level on a T-scale with 20 degrees of freedom. Thus the critical value is 1.725. T-ratios are calculated for each variable as follows using the formula $t = \frac{b}{SE}$:

- Advertising: $42.309 = 3.642$  
  11.617
- Income: $11.671 = 1.952$  
  5.977
- Price: $-3.866 = 2.646$  
  1.461
- Import Sales: $-0.554 = .444$  
  1.246

Thus, for advertising, a T-value of 3.642 lies in the rejection region of the diagram. The hypothesis that advertising has a positive effect on domestic auto sales is accepted. For income, a T-value of 1.952 lies in the rejection region of the diagram. The hypothesis that income has a positive effect on domestic auto sales must also be accepted. For price, a T-value of -2.646 lies in the rejection region of the diagram. The hypothesis that import sales do not have an effect on domestic auto sales must be accepted. This, coupled with a very low correlation coefficient between import sales and domestic auto sales suggests perhaps this variable should be dropped from the model.

**V. CONCLUSION**

There are three basic objectives that help to explain why regression analysis is undertaken. First, it can help to determine whether a set of data supports a hypothesis. Second, it can describe relationships between variables within a model. Third, it can aid in the forecasting of the dependent variable. It can be concluded that this model fulfills these three objectives. Only the forecasting ability of the model is questionable. Due to definite indications of multicollinearity, the model might not adequately predict future events. However, if the relationships between the independent variables could be expected to remain the same in future periods, the model would in fact be a good forecasting tool. The model did provide insight into the support of the hypotheses, the relationship between variables, and the effects of changes in independent variables on dependent variables. Most results seem reasonable, with the exception of the zero-correlation found between import sales and domestic sales. Being substitutes, it would seem definite that changes in import sales would effect American-made auto sales. Use of the model is questionable due to other problems detected. Some alteration in variables or further study into relationships between independent variables needs to be done. Perhaps one or more of the independent variables should be eliminated from the study. A relatively low R square value also indicates that the model does not actually explain much of the variation in the dependent variable. The theory behind the model is good. All independent variables have definite economic ties to the dependent variable. To improve the model, the proxies could be eliminated. New data could be found and at this point, a variable could be dropped from the study. A new study of this fashion could eliminate multicollinearity and lead to better results which could be the base of accurate forecasts of American-made auto sales.
DATA TABLE 1

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Notes

2McConnell, p. 62.

Bibliography


The Difference in Progression of Vision Between Intracapsular Cataract Extraction Plus Aphakic Glasses or Contacts Patients and Intracapsular Cataract Extraction Plus Intraocular Lens Patients

by Kim Miller

CHAPTER I

THE PROBLEM

Introduction

The first technique for the relief of cataracts was in 2000 B.C. and was described in the Hindu manuscripts by Susruta. The cataract was cut into many pieces with a needle and dissipated, causing less obstruction to vision. Much later on, in 1795, Casaamata of Dresden attempted to improve vision after the dissipation of the cataract with visual aids (glasses). Later on, in that same year, Casaamata endeavored further with his accomplishments and tried to place a glass lens into the eye after cataract extraction (8:1).

Technical advances have permitted ophthalmologists (physicians specializing in treatment and care of the eye) to reassure cataract surgery candidates that there is about 95 per cent chance of improvement of vision following surgery (2:253). As an office nurse for three ophthalmologists, I am in contact with approximately ten preoperative cataract patients per week. Until the year 1976, everyone seeking cataract removal at the office where I am employed had no choice as to cataract removal and vision improvement procedure. The only procedure performed was intracapsular cataract extraction (ICCE) plus aphakic glasses or contacts. However, in this year, one of the three ophthalmologists started to perform a procedure called ICCE plus intraocular lens (IOL) implantation. Thus, at this time, patients desiring cataract removal had a choice as to procedure and vision improvement after cataract removal.

After having many pre-operative cataract patients ask me which procedure ensured the "best" progression of vision, I realized that I did not know. I discussed with one of the ophthalmologists whether a comparative study concerning vision progression with ICCE plus aphakic glasses or contacts and ICCE plus an IOL had been done at our office and learned one had not. Thus, I decided to perform this study to better prepare me in meeting the needs (the provision of...
Cataract Extraction

Statement of Problem

The purpose of this investigation is to determine if there is a difference in the progression of vision for those persons who have ICCE plus aphakic glasses or contacts as compared to those who have ICCE plus an IOL.

Assumptions

For purposes of this study it is assumed:
1. After ICCE, there is a steady progression of vision.
2. After ICCE, vision is improved with aphakic glasses or contacts.
3. After ICCE, vision is improved with an IOL.

Hypothesis

1. There is no difference in the progression of vision between those persons having ICCE plus aphakic glasses or contacts and those having ICCE plus an IOL.
2. There is greater progression of vision in those persons having ICCE plus aphakic glasses or contacts as compared to those having ICCE plus an IOL.
3. There is greater progression of vision in those persons having ICCE plus an IOL as compared to those having ICCE plus aphakic glasses or contacts.

Definition of Terms

1. Aphakia: The absence of the lens of the eye.
2. Aphakic glasses or glasses: Glasses or spectacles specially made to improve vision after cataract removal.
4. Contacts: Small round discs with vision correction placed in the eye to improve vision.
5. Cornea: The transparent anterior part of the eye (12:16).
6. Intracapsular cataract extraction or ICCE: The creation of an opening at the upper edge of the cornea of the eye and removing the entire lens and its surrounding capsule through this opening (3:30).
7. Intraocular lens or IOL: A small transparent lens made of PMMA permanently sewn into the eye surgically to improve vision after cataract removal.
8. Peripheral or periphery: The outer limit or boundary of vision.
9. Progression of vision: A steady increase or improvement of vision.
11. 20/20: A standard of visual acuity that is defined as the vision in the normal, healthy eye.
12. 20/40: The visual acuity required to obtain an automobile license in the United States. It is often defined as functional vision (10:773).
13. 20/200: A standard of visual acuity that is defined as legal blindness.

Delimitation

To help standardize variables, all patients having cataract extraction had the ICCE method of cataract removal. The procedure was performed by one physician only and subjects returned for post-operative cataract follow-up visits at his office. All subjects were between the age of 71 and 79 and underwent surgery at Greenview Hospital between April 1980 and April 1981. At the time of surgery for removal of the cataract, there were no surgical complications. All patient information considered pertinent for this study was obtained from a retrospective chart review.

Significance of Study

The significance of this study is in its contribution in providing information to effectively answer questions concerning the best way to ensure progression or improvement of vision after cataract surgery. Thus, when asked about vision improvement after cataract surgery, the personnel at the office where I am employed can answer questions without hesitation based on this study.

Aphakic glasses and contacts were better accepted 30 years ago than today due to the unavailability of other methods of optical correction after cataract removal. In the late 1950's, a permanent lens or IOL was introduced for correction or improvement of vision after cataract removal (2:256-257). Thus, with alternatives many people are perplexed as to which method of vision correction is "best". Thus, this study helps provide answers concerning this dilemma.

CHAPTER II

REVIEW OF LITERATURE

Aphakic Correction

There are three different methods for the progression or improvement of vision after the extraction of cataracts. These three methods are aphakic glasses, contacts, and IOLs. Each have specific advantages and disadvantages and these should be considered when deciding which method to use for vision improvement.

Aphakic glasses have been available for a longer period of time than the other two methods of aphakic correction (8:23). Aphakic glasses...
are considered as highly safe devices as they can be removed if defects occur. This is very advantageous. Although aphakic glasses have been used for many years as a primary source for progression of vision after cataract extraction due to the unavailability of other measures, there are several disadvantages with this method of aphakic visual correction (5:110).

With aphakic glasses, image sizes are magnified by about 25 per cent. When an aphakic patient first receives his glasses, often he is astounded by the increase in size of familiar objects. If the patient is aphakic in only one eye (the lens is still present in the other eye) useful binocular vision (use of both eyes in vision) is impossible and diplopia (double vision) occurs. Also, due to the magnification, objects appear to be much closer and larger. True size and configuration of objects is not possible. Thus, clumsiness and poor co-ordination of manual movements often occurs. However, with time and practice, most aphakic glasses wearers overcome this problem (5:111).

Distortion of periphery is another problem experienced by aphakic glasses wearers. Lines bend and continually change shape as the glasses wearer moves. This causes his visual world to shimmer and appear imbalanced (7:1).

To ensure proper vision, aphakic glasses must be at a specific distance from the pupil (the black disc shaped opening in the center of the eye). If they are not accurately centered and adjusted, vision will be distorted and a decrease in visual acuity occurs (8:24).

An alternative to aphakic glasses are contacts. They are devices worn over the cornea and are easily removed if defect should occur. After cataract removal, corneal sensitivity is decreased. Thus, the aphakic person can tolerate contacts better than the average person due to this decreased sensitivity (5:111).

Contacts have several advantages over aphakic glasses. There is no significant magnification with contacts (less than 10 per cent) (4C:2). Thus, straight lines appear straight and curved lines appear curved. Likewise, the periphery is not distorted. Contacts have advantages over IOLs also. The most obvious one their increase in safety over IOLs as they can be discontinued with less difficulty. (IOLs are permanently implanted and must be surgically removed) (8:25).

Contacts do have several disadvantages. They require a great deal of manual dexterity to handle. If the patient is senile or has a decrease in ability to control manual movements, he may be unable to handle the contacts. Also, contacts must be used with strict hygiene. Thus, in areas of dust or irritating fumes, they cannot be used (8:26).

The person who is bilaterally (both eyes are involved) aphakic may find it hard to insert contacts as they must usually use aphakic glasses to initiate the process of insertion and removal of the contacts. (Except for extended wear contacts which may be worn at long lengths (2-3 weeks) without cleaning, contacts are inserted at the beginning of the day and removed before retirement at the end of the day or for sleeping) (6:411).

IOLs, surgically implanted into the eye, are another method for improvement of vision after cataract extraction. They are a permanent means for aphakic correction in that they are not removed. They are advantageous in that patient co-ordination and manual dexterity are virtually the same as before surgery. Since the device is not handled by the individual as it is in aphakic glasses or contacts, this frees the patient from worrying about breakage, insertion, and removal of the device. Also, IOLs can be worn in any environment (8:26-7).

Being permanent, IOLs provide improvement of vision at all times. Aphakic glasses and contacts are removed at sometime during their course of wear and visual acuity is limited and often poor. However, due to their being a permanent device, surgery for ICCE plus IOLs is more extensive and increased complications can occur as compared with only an ICCE (2:287).

It is interesting to note, in all ICCE procedures (with or without IOL implantation), all patients generally acquire 20/40 vision or better (2:287).

Review of Studies
In 1978, Drs. Norman S. Jaffe, Daniel M. Eichenbaum, Henry M. Clayman, and Davis S. Light compared the visual results of 500 consecutive ICCE plus IOL patients and 500 consecutive ICCE plus aphakic glasses or contacts. It was a retrospective study and visual results were similar in both groups. Most patients in both groups achieved 20/40 vision or better. However, 5.5 per cent more of the ICCE without IOL implantation patients achieved this level of vision (6:24-7).

In 1976, a retrospective study by Dr. M. S. Osher compared the visual results and complications between 100 consecutive ICCE plus IOL patients and 100 age matched ICCE without IOL implantation patients. (Aphakic glasses or contacts were used for vision correction). The visual results were not significantly different. Likewise, complications were not significantly different either. However, one complication only seen with an IOL implantation is dislocation of the IOL in the eye. Out of the 100 patients with the IOLs, only one had this complication (9:71-2).

In this study, about 80 per cent of the patients in both groups obtained 20/40 vision or better. The vision overall of patients seemed
to be a little better without IOLs than with IOLs. Almost 34 percent of the patients with IOLs obtained 20/20 vision or better and 40 percent of the patients with glasses or contacts obtained 20/20 vision or better (9:73-7).

The small difference though, between IOL and aphakic glasses or contacts patients, was in patient satisfaction. Though no statistical information was obtained, there was a significant increase in the degree of patient satisfaction with the IOL versus aphakic glasses or contacts. Most patients voluntarily commented on how happy they were that IOLs eliminated the need for aphakic glasses or contacts (9:78).

In 1977, at the Wilmer Ophthalmological Institute of the Johns Hopkins Hospital in Baltimore, Maryland, Drs. Walter J. Stark, Lawrence W. Hirst, Robert C. Snip, and A. Edward Maumenee conducted a retrospective study of visual results and complications of 100 consecutive IOL patients as compared to 100 age matched aphakic (lens removal without IOL implantation) control cases. Of the IOL patients, 62 percent achieved post-operative vision in the range of 20/20 and 68 percent of the aphakic control group achieved this level of vision. Defining functional vision as 20/40 or better as this is the visual acuity required to obtain an automobile driver's license in the United States, 93 percent of both groups achieved this vision (10:796-773).

It was noted complications were more likely with IOL implantation because of the additional number of steps to the operation. Complications were further increased due to the presence of the lens itself (10:774).

Dr. Robert T. Azar in 1976, performed a retrospective study between 200 consecutive IOL patients and 300 conventional cataract patients (aphakic glasses or contacts were used for vision correction). To help standardize variables, Dr. Azar performed all 500 cases and the same or similar technique in surgical removal of the cataract was used. Almost 94 percent of the patients receiving aphakic glasses or contacts after cataract extraction had visual acuity of 20/40 or better, whereas 81 percent of the IOL patients obtained this vision (1:240-5).

In 1979, Drs. Walter J. Stark, Claude L. Cowan, Hugh R. Taylor, Lawrence W. Hirst, Ray T. Oyakawa, A. Edward Maumenee, and Gregory P. Kracher compared visual results of extended wear contacts (continuous use of a contact for more than 68 hours of time) and IOLs. The study was initiated to evaluate if contacts were a reasonable alternative to IOLs. Out of 100 patients receiving extended wear contacts, 39 percent achieved 20/40 vision or better (11:535).

It was found IOLs and extended wear contacts have several features in common; both give good peripheral vision and do not have the magnification of objects as found in aphakic glasses. However, it should be noted, that long term follow-up information is lacking for both IOLs and extended wear contacts due to their novelty of use. However, extended wear contacts have advantages over IOLs as they are probably safer due to their ability to be removed. Likewise, IOLs have some advantages over extended wear contacts as they are never replaced, removed, or cleaned. Thus, they are more convenient (11:536-541).

Of the 100 patients reviewed, 96 had visual acuity as good as, or better than with aphakic glasses. The visual results between IOLs and extended wear contacts were similar (no statistical information was given) (11:542).

CHAPTER III
METHODOLOGY

Material and Methods
This is a retrospective study involving five ICCE plus aphakic glasses or contacts patients and five ICCE plus IOL patients who had surgery at Greenview Hospital and returned for post-operative follow-up visits at the office of Drs. John E. Downing, Robert T. Crosby, Edmund L. Wilkins, and Ben Downing. The range of age was from 71 to 79. All surgeries were done between the dates of April 1980 and April 1981. All surgeries were conducted by one physician only and at the time of surgery, there were no surgical complications.

All patient charts were reviewed and information regarding age, type of cataract removal surgery, time of surgery, and surgical complications were recorded. A tool was devised and used to record the above aspects as well as the progression of vision at 3 months post-operative and 6 months post-operative. Dr. Edmund L. Wilkins, ophthalmologist, validated this tool. A copy of the tool may be found on page 86 of the appendices.

Results
Of the five ICCE plus IOL patient charts reviewed, three (60 percent) acquired 20/40 vision or better at 3 and 6 months post-operative. Two (40 percent) of the five ICCE plus aphakic glasses or contacts acquired 20/40 vision at 3 and 6 months post-operative. No ICCE plus aphakic glasses or contacts patients acquired better than 20/40 vision at 3 or 6 months post-operative.

CHAPTER IV
ANALYSIS AND INTERPRETATION OF DATA
Analysis of Data
The data from the chart review was analyzed using a comparison of the progression of vision at 3 months and 6 months post-operative between ICCE plus glasses or contacts patients and ICCE plus IOL patients. The three hypothesis stated at the beginning of this paper were accepted or rejected on the basis of this analysis. (See page 87 of the appendices)

Hypothesis #1: There is no difference in the progression of vision between those persons having ICCE plus aphakic glasses or contacts and those having ICCE plus an IOL, is rejected. Three of the ICCE plus IOL patients (60 per cent) acquired better than functional vision (20/40) at 3 months and 6 months post-operative, whereas none of the ICCE plus aphakic glasses or contacts patients acquired better than functional vision at either 3 months or 6 months post-operative.

Hypothesis #2: There is greater progression of vision in those persons having ICCE plus aphakic glasses or contacts as compared to those having ICCE plus an IOL, is rejected. Out of the five ICCE plus IOL patient charts reviewed three (60 per cent) acquired 20/40 vision at 3 and 6 months post-operative and only two (40 per cent) ICCE plus aphakic glasses or contacts acquired 20/40 vision at 3 and 6 months post-operative.

Hypothesis #3: There is greater progression of vision in those persons having ICCE plus an IOL as compared to those having ICCE plus aphakic glasses or contacts, is accepted. Of the five ICCE plus aphakic glasses or contacts, is accepted. Of the five ICCE plus IOL patient charts reviewed, three (60 per cent) acquired 20/40 vision or better at 3 and 6 months post-operative. Two (40 per cent) of the five ICCE plus aphakic glasses acquired 20/40 vision at 3 and 6 months post-operative. No ICCE plus aphakic glasses or contacts patients acquired better than 20/40 vision at 3 or 6 months post-operative.

Limitations

The group size is a significant limiting factor. Five ICCE plus aphakic glasses or contacts and five ICCE plus IOL patients were used. A sample of the population of this size is often not a true representation. Thus, the results of this study cannot be generalized to include all ICCE plus aphakic glasses or contacts and ICCE plus IOL patients. Thus, the results are limited to the sample studied.

Being a retrospective study, all data was obtained from chart reviews. If any pertinent information was omitted, the results of this study would be invalid.

Any complications after the day of surgery were not included in this study. Thus, if any patients had complications after this date, the degree of vision may have been altered than what normally would have occurred with progression of vision in both groups.

The age of the patients studied is also a significant limiting factor. From past studies, it has been noted that the younger the patient, generally speaking, the better the progression of vision. Thus, this study may not be indicative of vision progression in younger patients and may only be limited to the age group studied.

CHAPTER V
SUMMARY, CONCLUSIONS, AND RECOMMENDATIONS

Summary

This research study has attempted to see if there is a difference in the progression of vision between ICCE plus aphakic glasses or contacts patients and ICCE plus IOL patients. A literature review exploring the three types of aphakic correction and their advantages and disadvantages was conducted. Research studying the differences between conventional methods of aphakic correction (aphakic glasses or contacts) and IOL aphakic correction was reviewed. The results and conclusions of these studies were reported. In order to correlate these results with the author's first-hand observations, a tool was designed and validated to test the difference between ICCE plus glasses or contacts patients and ICCE plus IOL patients post-operative progression of vision. A problem statement and three hypotheses were made. The sample population consisted of five ICCE plus glasses or contacts patients and five ICCE plus IOL patients between the age of 71 and 79 and having cataract removal between April 1980 and April 1981 at Greenview Hospital. All patients returned for post-operative follow-up visits at the office of Drs. John E. Downing, Robert T. Crosby, Edmund L. Wilkins, and Ben Downing. A chart review was conducted and visual results at 3 and 6 months for the two distinct groups was obtained. This data was analyzed. On the basis of these results Hypothesis #1 was rejected, #2 was rejected, and #3 was accepted.

Conclusions

This study has shown that progression of vision is greater with ICCE plus IOL than with ICCE plus aphakic glasses or contacts through a chart review of five ICCE plus aphakic glasses or contacts and five ICCE plus IOL patients between the age of 71 to 79. However, past research studies have shown ICCE plus glasses or contacts patients have greater progression of vision than ICCE plus IOL patients.

Perhaps, these results were different from the author's due to the...
small sample size the author used. Difference in results may also be
due to the year the past published studies were performed in. Most of
the information comparing visual results between ICCE plus glasses
or contacts patients and ICCE plus IOL patients was done in 1978 or
before. At this time, IOLs were not in common use. Since this time,
IOLs have increased in popularity and surgical techniques have
improved due to this increase in popularity.

Implications for Nursing Practice
Often nurses are asked about the involvement of cataract surgery
and the different procedures concerning cataract removal. By
increasing their knowledge and understanding of the differences
in cataract removal methods and vision improvement and progression,
the nurse will be better prepared to meet the patient's needs.

Implications of Findings for Further Research
Further current studies are needed in the area of visual comparison
between ICCE plus glasses or contacts patients and ICCE plus IOL
patients. Larger sample sizes could standardize a greater number of
variables and relate more to the population of ICCE plus glasses or
contacts patients and ICCE plus IOL patients. Also, the conduct of
a concurrent study rather than a retrospective study could yield
information that is possibly more accurate.

A study reviewing patients' subjective feelings as well as objective
observations is also needed. Often, patient satisfaction is very relevant
to how the patient sees his progression of vision. The level of vision may
not reach functional vision standards (20/40), but satisfaction with the
cataract removal method (like elimination of aphakic glasses or con-
tacts in the ICCE plus IOL patient) could increase the satisfaction of
the patient of only being able to obtain this level.

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and Light, David S., M.D. "A Comparison of 500 Binkhorst Implants With 500

APPENDICES

ICCE plus Aphakic Glasses or Contacts Patients

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Visual Results at 3 Months

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ICCE plus IOL Patients

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Cataract Extraction

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<tr>
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* CF 4' - Measurable vision is ability to count fingers at 4 feet.
# HM 2' - Measurable vision is ability to distinguish hand movement at 2 feet.

ICCE plus Aphakic Glasses or Contacts Patients

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</tr>
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3 Months
2 patients (40 per cent) acquired functional vision (20/40).
0 patients acquired better than functional vision (20/40).

6 Months
2 patients (40 per cent) acquired functional vision (20/40).
0 patients acquired better than functional vision (20/40).

ICCE plus IOL Patients

<table>
<thead>
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<th>Visual Results at 3 Months</th>
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<tr>
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<tr>
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3 Months
3 patients (60 per cent) (Patients C, D, E,) acquired better than functional vision (20/40).

6 Months
3 patients (60 per cent) (Patients C, D, E,) acquired better than functional vision (20/40).
* CF 4' - Measurable vision is ability to count fingers at 4 feet.
# HM 2' - Measurable vision is ability to distinguish hand movement at 2 feet.
ELECTRON MICROSCOPY OF ISOLATED MICROTUBULE BUNDLES

by Douglas A. Price

Axopodia are ray-like appendages that serve the heliozoan in movement, attachment to a substrate, and selection, capture and transport of prey. The mechanisms for these functions are unknown, but may involve an axoneme of microtubules in specific array. Microtubules perform various functions in all eukaryotic cells and are present in many different structures.

The species of heliozoan being studied, *Echinophyllum nucleofilum*, is a freshwater multinucleate protozoan of the class Sarcodina. Axopodia in this species contain microtubules arranged in a double spiral pattern, and are covered with a thin membrane. It was the purpose of this study to remove this membrane and isolate the microtubule bundles. The primary reagent used to dissolve the membrane was the detergent Triton-X-100.

MATERIALS AND METHODS

The organisms, *Echinophyllum nucleofilum*, were obtained from the Carolina Biological Supply Company and cultured at room temperature in modified Pringsheim's Solution (Chapman-Anderson, 1958) without Fe salt. Cultures were fed daily with *Chlorophyllum* elongatum and grown in a nutrient broth at 30-34°C (Mervine, 1980).

Heliozoan cells were harvested in graduated conical tubes by centrifugation for 1 minute at 1000 rpm in the IEC, size 2, model K centrifuge. After resuspending and recentrifuging the cells once, they were transferred to a graduated 12 ml conical tube and centrifuged 2 minutes at 1200 rpm in the IEC clinical centrifuge. The resulting supernatant was withdrawn to 1.0 ml, the hard-packed cells were resuspended, and the following Axoneme Mixture was added: 1% Triton-X-100; 200mM EGTA; 5mM MgCl2; 5mM PIPES; 1mM GTP; 1% carbowax; 3M glycerol; and 2mM PMSF in ethanol (Hoffman, 1980).

After checking the solution for "demembraned" axonemes, it was centrifuged at 2500 rpm for 5 minutes. The resulting supernatant was placed in a round bottom plastic tube, and the pellet resuspended with 0.2 ml of modified Axoneme Mixture (Triton-X-100 was left out and distilled water was added in its place). This solution was centrifuged and the supernatant combined with the one from the first centrifugation. The combined supernatants were centrifuged in the Sorvall RC-2B centrifuge for 15 minutes at 9000 rpm, resuspended to approximately 0.1 ml with modified axoneme mixture, and transferred back to a 12 ml conical tube.

Fixatives for this study were modified to stabilize the axonemes and keep them from breaking up. Twelve percent gluteraldehyde was modified by the addition of 200mM EGTA, 33mM phosphate, 1% carbowax, 204M MgSO4, 1mM sucrose and 3M glycerol. One percent carbowax, 200mM EGTA, 16.7mM Sorensen's Buffer, 10M MgSO4, 1mM sucrose and 3M glycerol (Hoffman, 1980) was added to the 1% osmium tetroxide.

For initial fixation, modified 12% gluteraldehyde was mixed with the axoneme sample in a ratio of 1:1. One 20-30 seconds modified 1% osmium tetroxide was added to produce a final ratio of 2:1 and left at room temperature for 30 minutes before centrifuging in a clinical centrifuge for 5 minutes at 2500 rpm. After a brief rinse with Sorensen's phosphate buffer, the sample was dehydrated with an alcohol series from 50%-100%. To facilitate proper infiltration with plastic, a propylene oxide intermediate rinse was used.

The sample was infiltrated with Epon 812 and cured at 70°C for 2 days. Excess epoxy was trimmed away from the sample using a single edge razor blade. The final block face was formed into a trapezoid with a maximum length of 0.5 mm. Silver to gold thin sections were prepared from the trimmed blocks on a Reichert OMT 2 Ultramicrotome with a glass knife. Sections were placed on 300-mesh copper grids.

Sections were stained for 20 minutes in uranyl acetate (Reynolds, 1963) and 10 minutes in lead citrate (Watson, 1968). All grids were examined with a Zeiss EM922 electron microscope.

For negative staining, a drop of "demembraned" axonemes was placed on formvar-carbon coated grids immediately after treatment of the whole cells with the Axoneme Mixture. These samples were negatively stained using 1% aqueous uranyl acetate. Phase contrast and negative stained micrographs were used to monitor all processing steps.

RESULTS

Although the characteristic double spiral of axopodia was not found in this study, significant results were obtained in the form of individual microtubules and chains of microtubules.

Figure 1 shows a phase contrast micrograph of a living heliozoan. This organism can be as large as 1 mm in size. Ray-like axopodia 300
m in length extend outward from the interior of the cell. The central refractile core (axoneme) of each axopod is represented by a double spiral of microtubules (Roth, 1962).

When the organism is placed in the axoneme mixture for removal of surface membranes, retraction of axopodia (Fig. 2) is noted within seconds. This retraction continues until needle-like axonemes can be seen in the cytoplasm of the cell (Fig. 3). The cell eventually lyses releasing axoneme "needles" into the mixture. Cytoplasmic contents rapidly disperse leaving only the axonemes intact. This process continues until breakage and fraying of the needles (Fig. 4) is noted.

If the "needle" preparations are examined with the electron microscope using uranyl acetate negative staining, intact (Fig. 5) and branching (Fig. 6) microtubule bundles can be seen. In addition, individual microtubules 20-25 nm in diameter can be found.

Samples were also prepared for routine thin sectioning. These samples exhibited a large amount of cellular debris and interpretation was difficult. Microtubules were found in single rows (Fig. 7), double rows (Fig. 8), partial spirals (Fig. 9, 10) and as individual microtubules.

DISCUSSION

When studied carefully individual microtubules could be found scattered throughout almost all electron micrographs. Since the characteristic double spiral was never clearly found, microtubules had to be identified by shape and size alone, although many appeared to be arranged in strings or circular patterns.

The phase micrographs were proof that the axoneme mixture did work, as were the negative stained formvarcarbon coated grids. However, the way that it worked was not as expected. By observing the actions of the cells under the phase microscope as the Axoneme Mixture was added, it could be seen that in most cases the axonemes were retracted into the cell body, the axopodia membrane would shrivel up, and eventually the whole cell would lyse leaving only the axonemes intact. However, needles longer than the cell could be found, indicating that all axopodia did not retract before being "demembranated" by the mixture.

Unfortunately they did not stay intact. Bundles of microtubules would fray during centrifugation and during fixation with osmium tetroxide, and would eventually break up completely into individual microtubules. Efforts were made to stabilize the axonemes more to correct the problem. The material for this report was checked under the phase microscope before embedding and was found to contain numerous bundles of microtubules still intact.

Although steps were taken to reduce the amount of fraying that occurs to the axonemes during centrifugation and fixation, it is apparent that more could be done to stabilize them.

The most probable cause of breakdown of the axonemes appears to be in the embedding procedure, since axonemes could be seen under the phase microscope up to that point. Possible factors include the composition of the embedding plastic, mechanical factors due to mixing with propylene oxide, and the curing temperature.

If the problem lies in the composition of the plastic, different plastics could be tried, or the axonemes could be further stabilized before embedding. If, however, the breakdown occurred because of mechanical factors or the curing temperature, the answer could be as simple as allowing the propylene oxide to dissolve the plastic gently instead of mixing, and allowing it to cure by evaporation.

ACKNOWLEDGEMENT

The author would like to thank Dr. Eugene Hoffman for his assistance and advice during the course of this project.
Fig. 1 Phase contrast micrograph of a living heliozoan cell showing the ray-like axopodia. X170.

Fig. 2 Phase contrast micrograph of retracting axopidia exposed to axoneme mixture for removal of surface membranes. X210.

Fig. 3 Phase contrast micrograph of needle-like axonemes in the cytoplasm of cells exposed to the axoneme mixture. X300.

Fig. 4 Phase contrast micrograph of frayed 'needles' from lysed heliozoan cells. X570.

Fig. 5 Negatively-stained electron micrographs of branching bundles from lysed cells. X17,000.

Fig. 6 Detail of Fig. 5 showing branching. X42,000.

Figs. 7-10 Cross sectioned electron micrographs of axonemal microtubules arranged in single rows (7), double rows (8), and partial spirals (9 10). X18,000.
A Retrospective Study on Discharge Planning and Primiparas at Breckinridge Memorial Hospital

by Janice Elder

CHAPTER I

THE PROBLEM

Introduction

Patient education and discharge planning serve as essential links in the continuity of patient care, and both are a prime responsibility of every member of the professional health team. The nurse, however, is one of the key persons to teach and plan for discharge because of his or her strategic position with the patient. The nurse is with the patient twenty-four hours a day and therefore is more aware of the patients needs, capabilities, and limitations.

After working at Breckinridge Memorial Hospital for little over a year, the researcher has noted that most of the teaching and discharge planning at this particular institution is done with diabetic patients. Since this institution also serves surgical, obstetrical, and other medical patients, the researcher questioned what is being done for the other patients concerning education and discharge planning. The growing incidence of early discharge of postpartum mothers and infants from hospitals (12:361) has influenced the researcher to focus on obstetrical patients, particularly primiparas, with regard to discharge planning.

Purpose

The investigator of this study sought to determine if primiparas received discharge planning instructions from the health care team while hospitalized at Breckinridge Memorial Hospital.

Problem Statement

This study is seeking an answer to the question: Are primiparas given information to care for themselves and their infants after discharge from Breckinridge Memorial Hospital?

Subproblems

Two subproblems have been identified to the problem. First, are primiparas given information to care for themselves by health professionals as documented in the patient chart? Second, are primiparas
given information to care for their infants by health professionals as documented in the patient chart?

Assumptions
The assumptions in this study are:
1. Parenthood is a time of crisis.
2. Primiparas who have received discharge instructions concerning care of themselves and their infants feel more secure upon returning to the home environment.
3. If an action is not documented in the chart, then, it was not done.

Hypotheses
Two hypotheses have been developed based on the two subproblems identified:
1. Primiparas are given information to care for themselves upon discharge based on documentation in the chart.
2. Primiparas are given information to care for their infants upon discharge based on documentation in the chart.

Significance of Study
It is believed that the outcome of this study will demonstrate the need for documentation of discharge planning and care given to patients by health professionals. Through the discharge planning process, the quality of patient care will be enhanced and there will be an increase in continuity of care on the part of the Breckinridge Memorial Hospital professionals. By demonstrating the need for documentation of discharge planning with primiparas, it is hoped that discharge planning will be recognized as an essential and important aspect of all patients care and utilized by all health professionals at Breckinridge Memorial Hospital.

Definition of Terms
Terms are defined as follows:
1. Primipara is a woman who has given birth or is giving birth to her first child.
2. Primiparous means bearing or having borne but one child.
3. Discharge is when the hospital releases control of the patient and restores him to his home surroundings. (3:12)
4. Discharge Planning is the term given to the centralized, coordinated program that has been developed by a health care institution to insure that each patient has a planned program for needed continuing care and/or follow-up. (1:1)

Delimitations
To standardize variables, this study was limited to twenty subjects who were all primiparas and who delivered viable infants. The setting was at a particular rural hospital which was Breckinridge Memorial Hospital.

CHAPTER II
REVIEW OF THE LITERATURE

Introduction
Index Medicus, Hospital Literature Index, International Nursing Index and Nursing and Allied Health Literature Index were all initially reviewed and many resources were found to contain information dealing with discharge planning. Unfortunately, several of the journals were not available at Western's library and a few intra-library loans were made. Also, Nursing Research Abstracts were reviewed and one study dealing particularly with primiparas and home teaching was obtained. Much of the information obtained on discharge planning dealt with the general aspects of discharge planning and very little information on discharge planning with obstetrical patients in particular was obtained. However, the benefits and importance of a discharge planning program and of discharge planning with other patient conditions have been reported, based on these other studies and reports, discharge planning would definitely benefit obstetrical patients.

Overview of Discharge Planning
Discharge is when the hospital releases control of the patient and returns him to his home surroundings. (3:12) This transition can often cause severe disruption and hardship to the patient as well as relatives if they are not adequately prepared. In some cases, the criteria for discharge may not be whether the patient is better, but whether the hospital can do nothing further for the patient. Many nurses find patient discharge difficult to predict or prepare for in advance. Castledine states that one study reports that nurse's accuracies of prediction of discharge varied from seventy-three percent for discharge occurring "today", to twenty-five percent for discharge three days ahead, and only five percent for discharges seven days ahead. (3:12) Problems can and do occur when patients go home unprepared, thus making supportive services unknown, unavailable, or difficult to
contact. Often patients have no other help or support systems after leaving the hospital, thus they must cope by themselves or with limited help.

Some hospitals do have home-care departments that plan for certain hospitalized patients who need follow-up and treatment after discharge. But in most hospitals, a patient receives instructions from the nurses and doctors immediately before release and he and his family are left to their own. Such a patient may not understand and follow instructions. Even if willing, he may not be able to manage his continuing care at home. Thus, he may fail to get the maximum benefit from his hospitalization and may become ill again. (8:43)

Discharge Planning should begin on the first day of admission and continue throughout the entire hospital stay. (14:58) This concept requires not only nursing assessment but patient participation. Therefore, additional nursing time is required for discharge planning but it is an essential part of holistic patient care and incorporates preventive health practices. (17:40-42)

To effectively prepare a patient for discharge, the following general aspects need to be considered: (1) Diet; (2) Medications; (3) Appointments; (4) Special Instructions; and (5) Activity. (18:14-15) Any teaching instructions given to the patient must be documented in the chart because nursing documentation stands as witness to the quality of care patients receive. (6:39) In dealing with the legal aspects of charting, a malpractice suit can be initiated over an omission in nursing care just as readily as over one of commission. If events are not documented, then legally speaking, they were not done because these nursing notes are highly respected and relied upon in a court of law. (6:40) A written discharge plan is a must for teaching a patient how to keep himself out of the hospital. (18:16)

Legislation and It's Impact on Discharge Planning

The accrediting, licensing, professional organizations and federal guidelines emphasize discharge planning. (20:26) Insurance companies and health care agencies at local, state, and federal levels are becoming aware that discharge planning saves money, because it allows patients to be discharged earlier, reduces cost of continued care, and decreases unnecessary readmissions. (8:44)

Several organizations have made reference to the concept of discharge planning. In the Accreditation Manual for Hospitals by the Joint Commission, repeated reference is made to discharge planning and continuity of care. Standard IV of the manual states, "The nursing care plan should be initiated upon admission of the patient and, as part of the long-term goal, should include discharge plans." (20:26) "The Standards for Practice", set by the American Nurses Association in 1973, discusses continuity of care and discharge planning. (20:26) In the overview from the "Maternal and Child Health Nursing Practice Standards", reference is made to planned discharge care. (20:26) Through the Social Security Amendments of 1972, a major Medicare and Medicaid system change was enacted which resulted in the Professional Standards Review Organization (PSRO). The guidelines issued for PSRO include a section on discharge planning. (20:27)

Various states have amended health codes to require discharge planning. They have identified how and by whom discharge planning is to be carried out. The April 1975 Amendment of the New York State Health Code, for example, specifies that "each hospital shall have in operation an organized discharge program". (8:44) The first legislation governing discharge planning in acute settings in Massachusetts was passed on August 2, 1972. One of the major points addressed by the legislation is that "there should be a mechanism operative and in writing for the continuing care needs of the patients at discharge". (13:517-518)

Also in the hopes of bringing about more effective and satisfactory patient care, the House of Delegates of the American Hospital Association approved the "Statement on a Patients Bill of Rights" on February 6, 1972. Included as one of the twelve rights is:

"The patients right to expect reasonable continuity of care. He has the right to know in advance of what appointment times and physicians are available and where. The patient has the right to expect that the hospital will provide a mechanism whereby he is informed by the physician or a delegate of the physician of the patients continuing health care requirements following discharge." (4:188)

As one can see from these previous examples, discharge planning is expected to be an integral part of each professional's delivery of care and will probably become a required function in most hospitals. (8:44)

Discharge Planning with Postpartum Patients

Since the incidence of early discharge of postpartum mothers and infants from hospitals is increasing, there is a great need for discharge planning on obstetrical units.

McCarty reports that in a study done by the Santa Cruz County Health Services Agency, it was observed that the great majority of patients were discharged from the hospital within the first twenty-four hours of delivery. As the Agency's public health nurses began to
visit families in the home, with early discharge patterns, it became apparent that mothers and infants needed more information on early postpartum care. (12:361)

The committee of the American Academy of Pediatrics has established criteria for early infant discharge. The criteria consists of maternal skill and demonstrated ability with (1) feeding techniques; (2) skin care and cord care; (3) temperature assessment and measurement; (4) assessment of infant well being and recognition of illness. (1:651) If all hospitals were to adopt this criteria in their policies regarding dismissal of mothers and infants, perhaps better discharge planning would be done.

Many times younger patients and/or postpartum patients where instruction rather than treatment may be needed are overlooked in discharge planning. (5:11) However, most postpartum patients will meet difficulties upon discharge in three areas: (1) their own physical condition. Women discharged early often experience distress, perhaps difficulty in breast feeding or pain with elimination; (2) Care of the baby such as feeding, diapering, bathing, and circumcision care; (3) Housekeeping and the care of other children. (5:5) For these reasons, help is beneficial. The nurses must assess the mother's potential to manage and their awareness of services available in the community. An assumption that the new mother may have competent help often leads to her being exposed to haphazard help, overtaxing of herself and possibly an infection for either mother or baby and a return to the hospital.

The family structure also has changed from the extended to the nuclear, thus leaving many new parents alone and without this valuable built-in family support system. Health professionals often have not given support to mothers during the critical time of hospital discharge until the first routine check up, which may be as long as six to eight weeks. Health professionals can help fulfill this supportive role by providing human and institutional substitutes to assist in providing information about care of the mothers and their infants.

Hall gives an account of a study done by LeMasters in which he hypothesized that the arrival of the first child constitutes a crisis situation for parents. In LeMaster's study, of forty-six middle class American couples aged twenty-five through thirty-five, thirty-eight reported severe or extensive crisis in adjusting to parenthood. LeMasters also found that the more the couple were informed and anticipated changes the infant would cause, the smaller the degree of crisis experienced. (7:317)

A few maternity units have developed a unique and different approach to discharge planning which utilizes this concept as a family affair. All person's important to the new infant are invited, and the classes help prepare families for baby's discharge by answering questions about home care and the new infant. Every families needs are assessed and then documented so that all the staff can incorporate significant details into the discharge plan. These families are then provided with a complete set of home care instructions. Many families have stated that after attending prenatal classes, they are especially open and ready for discharge classes. The families who attended classes for self and infant care, after the birth, assimilated more information than those who took classes during the pregnancy. This could be due to the fact that the responsibility for caring for the new infant will be the families in a few days. This family-centered discharge planning program offered: (1) the availability of accurate information; (2) data upon which the family may formulate questions and practice problem solving; (3) referral and help sources; (4) the identification of high risk families and subsequent early referral and crisis intervention; (5) realistic expectations thus minimizing stress and promoting a happy and healthy postpartum. (9:96-97)

Effects of Teaching and Discharge Planning on Maternal-Infant Bonding and Maternal Perceptions of the Newborn

Researchers have found the first month of life to be a sensitive period for both mother and child. The process of infant attachment and maternal bonding is thought to occur during this period, thus the importance of mother-infant relationships have been emphasized. Hall states that Broussard and Hartner report of special concern in the mother-infant relationship is primiparas whose early perception of their newborn is a dynamic, changing state. (7:317) While the bodily changes in pregnancy are slow to occur, the changes after delivery are sudden and dramatic. The new mother has little time to anticipate what her body will be like after delivery and may have difficulty perceiving herself in the role of "mother". Teaching and planning with new mothers while still hospitalized can help them anticipate what the bodily changes will be like, thus relieving some of their anxieties.

A study done by Siegal, et al, on the effects of early and extended postpartum contact and professional home visits concluded that health professionals enhanced maternal attachment. However, it appears that other programs must be developed to produce substantial influence on attachment. The researchers of the study suggest that changes in prenatal, labor and delivery, and postpartum practice may be needed to promote more positive maternal-infant attachment. (16:183-189)

The importance of maternal perception of the newborn and
maternal-infant bonding has been demonstrated. Hall reports that Broussard indicated that televised anticipatory guidance to primiparous mothers in the early postpartum period has a positive effect on their perceptions of their newborns. (7:138) Hall also conducted a study to determine if there is a difference in the perceptions of newborns between primiparas with in-home nursing intervention concerning infant behavior and primiparas without this intervention. The experimental group of mothers received structured informative teaching two to four days after discharge. Both the control and experimental groups completed Broussard’s Neonatal Perception Inventories (NPI) I on the first or second postpartum day and NPI II one month post discharge. Hall concluded that teaching about normal infant behavior during the “taking-hold” phase of the puerperium significantly improved the experimental groups perceptions of their infant. (7:319-321)

Klaus and Kennel state that the period from the first few hours after birth through the first two weeks may be critical to the establishment of foundations of mother-infant relationships. (11:1034) Anxieties about the well being of an infant during this time may result in long-lasting concerns that may adversely shape the development of maternal-infant attachment. (10:14) Hall gives an account of a study done by Pleshette, Asch, and Chase in which anxieties experienced by primiparas were examined. Fifty percent reported they were glad to go home, but upon arrival, wanted to return to the hospital. Most of the mothers indicated that the crucial period occurred during the first few days after discharge. (7:318) Nurses can help reduce new mother’s anxieties through teaching and discharge planning thereby promoting a healthier maternal-infant bond.

Reva Rubin described the early post-partum period as having two maternal phases: (1) The “taking-in” phase occurs for the first two to three days after birth in which the mother is very passive and dependent. The mothers reflect on themselves and the labor and delivery. They may express no great interest in caring for the new infant during this time. (2) The “taking-hold” phase follows in which the mothers begin to initiate action and work toward independence and autonomy. They focus on doing things for the newborn and begin to take strong interest in carrying for the baby. The success with mothering during this phase is of great importance and even minor “failures” can create anxiety for the mothers. (15:754-755) During the “taking-in” phase, it is better if the mother is given instructions and brief demonstrations of baby care so that when she enters the “taking-hold” phase, she has the information necessary to care for herself and the infant. Within this theoretical framework of maternal-infant bonding based on Broussard, Klaus and Kennel, and Rubin’s theories; and the concept of discharge planning as an essential link in the continuity of care, this study was conducted.

Being a parent for the first time does produce many changes and constitutes a maturational crisis. Coping mechanisms are enacted and adaptive processes initiated. By assessing these parents and their needs, and making realistic plans for discharge with them, the role-transition from person to parent can be less of a stress and a very enjoyable and rewarding aspect of life.

CHAPTER III

METHODOLOGY

This study was conducted using a retrospective approach, since a chart review was utilized to ascertain whether or not primiparas are given information to care for themselves and their infants after discharge from Breckinridge Memorial Hospital.

The study took place in a forty-five bed, rural, North-Central Kentucky hospital, which has approximately 250 obstetrical patients yearly. There are three general practitioners who care for the obstetrical patients in the hospital. Permission for the data gathering procedure was obtained in writing from the hospital’s director of nursing.

The sample consisted of twenty mothers all of whom met the established criteria of primipara with delivery of a viable infant. The twenty primiparas were randomly selected from the obstetrical files in medical records. The subjects ranged from fifteen through twenty-six years of age; thirteen were married, one separated, and six unmarried. Nineteen of the subjects were white and one black. Sixteen of the subjects were bottle feeding and four were breast feeding. There were eleven male infants, all whom were circumcised, and nine female infants delivered from the twenty subjects. All had normal term pregnancies with vaginal deliveries and all delivered within the year between January 1, 1981, and October 28, 1981.

A tool for assessing the charts for information that should be given to primiparas was devised utilizing several already established discharge forms and unpublished booklets from another institution. (19) as well as published materials found during the literature review. The tool was submitted to three people, all of whom teach maternal-child nursing at Western Kentucky University. Two of the panel of experts, Linda Clark and Martha Houching have a Bachelor of Science in Nursing and Billy Baughman has Master of Science in Maternal-Child Nursing. All three of the panel members individually stated the
tool was valid and covered generally the information that all obstetrical patients, especially primiparas, should receive about care of themselves and their infants. All three of the panel of experts stated the tool could be used many times in similar studies and the same data be provided. The tool was reported as being reliable for any obstetrical patient in any institution.

The tool consisted of two parts labeled Form A and Form B. Form A contained a list of specific information that all primiparas should receive concerning care of themselves upon discharge. The list was divided into nine broad categories which include information on breast care, episiotomy care, methods of contraception, involutional process, return doctor appointments, medication, prescriptions, postpartum exercises, postpartum blues and seeking medical care for certain abnormal conditions experienced. The categories of breast care, episiotomy care, involutional process and seeking medical care for abnormal conditions were further divided into subcategories under each category. (See Appendix I)

Form B contained a list of specific information that all primiparas should receive concerning care of their infants. This list was divided into twelve broad categories and included information on cord care, feeding methods and techniques, formula preparation, bathing, diapering, circumcision care, sleeping and feeding patterns, clothing and room temperature, elimination, spitting up, anticipatory guidance, and seeking medical care for certain abnormal conditions experienced by the infant. Subcategories were listed under several categories such as feeding methods and techniques, diapering, elimination, spitting up, anticipatory guidance, and seeking medical care for abnormal infant conditions. (See Appendix II)

Each of the twenty randomly selected primiparas charts was reviewed to see if any of the information in Form A and B was given to the primiparas by nurses and/or physicians based on documentation in the chart. On both Form A and B, the vertical column to the left of the graph lists the information that should be given to all primiparas about self and infant care respectively. The horizontal columns with arabic numbers at the top of each column indicates the individual charts reviewed. If the nurse documented that information was given to the primipara concerning any of the categories and subcategories on Form A and B, then a check ( ) was placed by that category in the vertical column on the graph indicating the specific chart in which the information was found. An asterisk (*) in the columns on the graph indicates that information was given to the primiparas as documented by the physician. A blank space in the columns indicates that there was no documentation in the chart of any information given to the

primiparas by either a nurse or physician. (See Appendix I and II)

CHAPTER IV
ANALYSIS AND INTERPRETATION OF DATA

Analysis of Data

The data collected in this study was analyzed using descriptive statistics and percentages. From the data collected on the chart review utilizing Form A, which contains information that should be given to primiparas about self care, eight of the twenty primipara charts (40%) had documented by the nurse that at least one of the categories of information on self care was given to the primiparas by the nurse. There was documentation on only three of the nine broad categories of information on self care. Only one of the twenty primipara charts (5%) reviewed, had documentation by the nurse that specific information on care of breast engorgement was given. Seven of the twenty charts (35%) reviewed, had documented by the nurse, that information on episiotomy care using dermoplast spray was given. Only one of the twenty charts (5%) had documented by the nurse, that instructions for return doctor appointments were given.

Nine of the twenty primipara charts (45%) had documentation by the physician, that at least one of the categories of information on self care was given to the primiparas. There was documentation by the physicians on only three of the nine broad categories of information on self care. These three areas are different categories than the ones documented by the nurse, with the exception of one chart. In this chart there was documentation by both the nurse and physician, that information on episiotomy care was given to the primiparas. Six of the twenty charts (30%) had documented by the physician, that instructions for return office appointments were given. Only two of the twenty charts (10%) contained documentation by the physician that instructions for prescriptions were given. As the graph in Appendix II indicates, six of the twenty charts had no documentation by either the nurse or the physician, that any information was given to the primipara on self care during the hospitalization or upon discharge. From the above data analysis and graph in Appendix II, the hypothesis that primiparas are given information to care for themselves upon discharge based on documentation in the chart was rejected.

The second hypothesis that primiparas are given information to care for their infants upon discharge, based on documentation in the chart, was also rejected. (See Appendix III) From the data collected on the chart review, utilizing Form B, which contains information that should be given to primiparas about infant care, only three of the
twenty primipara charts (15%) had documentation by the nurse that at
least one of the twelve broad categories of information on infant care
was presented to the primiparas. Only one of the charts out of twenty
reviewed (5%), contained documentation by the nurse that instruc-
tions on cord care were given. On two of the twenty charts (10%),
the nurse documented that information on bottle feeding was given. Only
one out of the eleven charts (9%) in which the male infant was circum-
cised, had documentation by the nurse that information on circumci-
sion care was given to the primiparas.

There was no documentation by any of the physicians that any of the
twelve categories of information on infant care was presented to the
primiparas. Four of the charts, however, did have documented in the
discharge summary by the physician that the patient was “dismissed
with instructions on infant care”, but did not specify what those
instructions contained. Two of the charts also had documented in the
nursing notes that “instructions on infant care were given”, but did not
specify what those instructions were. In two of the charts, the phy-
ician had documented in the progress notes “instructions for care and
recovery given”, but does not state what the instructions were or
specify whether they were for the mother, baby, or both. Out of the
twenty charts reviewed, there were nine (45%) in which there was no
documentation by either the nurse or the physician, that information
on care of infant was given to the primiparas.

Interpretation of Data

From the analysis of the data and the graphs in Appendix II, the
primiparas received very minimal information by the nurses on self
care during their hospitalization as well as upon discharge. Based on
documentation by the nurses, only five percent of the primiparas
received information on breast engorgement, five percent received
instructions concerning return doctor appointments, and thirty-five
percent received information about episiotomy care. According to
documentation by the physicians, only five percent of the primiparas
received information concerning episiotomy care, ten percent received
instructions on medication prescription and thirty percent were
given instructions on return appointments. The primiparas received
information on only four of the nine broad categories of information
that should be given to all primiparas, which indicates that physicians
and nurses are only giving information on self care to forty-five per-
cent of the primiparas at Breckinridge Memorial Hospital. Since less
than half of the information that should be given on self care was
presented to the primiparas, and less than half of these primiparas
actually received this information by physicians and nurses, the

hypothesis that primiparas are given information to care for them-

selves upon discharge based on documentation in the chart was
rejected.

The primiparas received even less information dealing with infant
care during their hospitalization and upon discharge. The nurses
documented that only five percent of the primiparas received informa-
tion on cord care, ten percent received information on bottle feed-
ing techniques, and nine percent were given information on circumci-
sion care. The physician had no documentation that any information
on the twelve broad categories on infant care was presented to the
primiparas. The primiparas received information on only three of the
twelve broad categories of information that should be given to all
primiparas concerning infant care, which indicates that nurses are
only giving information on infant care to twenty-five percent of the
primiparas. The primiparas received information on only one-fourth of
the information that should be given on infant care was presented to
the primiparas, and only one-fourth of these primiparas actually
received this information, the hypothesis that primiparas are given
information to care for their infants upon discharge based on docu-
mentation in the chart was rejected.

Limitations of Study

There are several limitations to this study which have been iden-
tified. One of the limitations is that this is a retrospective study, and all
the data was obtained from a chart review, thus there was no control
over what material was presented. There was also no assurance of the
accuracy of the data because all the necessary information may actu-
ally have been given to the primiparas by the physicians and nurses,
but not documented in the chart, thus possibly making the study
invalid. Another limitation is the small sample size, therefore, the
findings of this study cannot be generalized to the entire primipara
population at the particular institution. The fourth limitation is the
physicians documented on two of the charts that instructions on care
and recovery were given, but did not state what the instructions were
or whether they pertained to the mother’s care, infant’s care or both,
which could alter the findings and possibly make this study invalid.

Another limitation is that the physicians had documented on four of
the charts, and the nurses on two of the charts, that instructions on
infant care were given but did not specify what the instructions were,
thereby possibly altering the findings for information on infant care
and thus making this study invalid.
CHAPTER V

SUMMARY, CONCLUSIONS, AND RECOMMENDATIONS

Summary

This study sought to answer the question: Are primiparas given information to care for themselves and their infants after discharge from Breckinridge Memorial Hospital? The investigator further sought an answer to the two subproblems derived from the main problem? (1) Are primiparas given information to care for themselves by health professionals as documented in the chart? (2) Are primiparas given information to care for their infants by health professionals as documented in the chart? A retrospective approach was utilized and twenty randomly selected primipara charts reviewed. A tool was developed by the investigator and used as criteria for reviewing the charts.

The findings of this study suggest that very little information is given to the primiparas by nurses and physicians on self and infant care to prepare them for discharge. The physicians and nurses are only giving information on self care to forty-five percent (45%) of the primiparas at Breckinridge Memorial Hospital. For those mothers who did receive information, less than half of the information that should have been given on self care was presented. From these findings the hypothesis that primiparas are given information to care for themselves upon discharge based on documentation in the chart was rejected.

Even less information was given to the primiparas to prepare them to care for their infants after discharge. Only one-fourth of the information that should have been presented on infant care was given. Since this information was given to only twenty-five percent of the primiparas at Breckinridge Memorial Hospital, the hypothesis that primiparas are given information to care for their infants upon discharge based on documentation in the chart was rejected.

Conclusions

On the basis of this project, the investigator concludes that discharge planning is not being utilized as it should be, and that primiparous mothers are leaving the hospital without sufficient information to provide self care and infant care.

The rejection of both the proposed hypotheses demonstrates the need for further inquiry of the present nursing practice in obstetrics at Breckinridge Memorial Hospital. The investigator proposes that one reason for the rejection of the hypotheses is lack of coordination and collaboration among physicians and nurses. Since the nurses seemed to focus on giving information on episiotomy care, and the physicians with information on return appointments, one seems to conclude that the physicians think the nurses are doing most of the teaching and discharge planning, and the nurse the physicians. As a result, much of the information needed on self and infant care is omitted and the new mothers and infants are suffering the consequences.

The investigator also concludes that the right for continuity of care as one patient right as stated in the American Hospital Association's "Patients Bill of Rights" is being violated. Without discharge planning or the necessary information for self and infant care, there will be no continuity of care in the home setting.

As mentioned previously, parenthood is a time of crisis and the events of the first few hours after birth through the first two weeks may be crucial to the establishment of the foundations of mother-infant relationships for the rest of their lives. It has also been reported that discharge planning helps patients feel more secure in the transition from hospital to home. By giving the new mothers the necessary information on self and infant care and helping them plan for the transition to home, they can be better prepared to anticipate the many new situations and possible problems that may arise. Nurses can through teaching and discharge planning, reduce primiparas anxieties and stress and help promote a healthier maternal-infant bond with long range emotional benefits for both.

Recommendations

There are several recommendations for nursing practice based on data collected in this study which may be beneficial in improving and increasing the amount of teaching and discharge planning being done with primiparas at Breckinridge Memorial Hospital. First, the physicians and nurses need to become aware of the type and amount of information the new mothers are actually receiving. Greater effort must be put forth from both the medical and nursing staff toward better communication and collaboration. A committee composed of physicians and nurses to draw up established guidelines for discharge planning for new mothers would be beneficial and help improve collaboration and coordination. A written booklet which contains information on the specific categories of information that are necessary for self and infant care should be produced and adopted. Lastly, nursing administration need to analyze the nurse-patient ratio in all areas, thereby possibly altering present staffing patterns to provide more patient teaching and discharge planning in all areas of patient care and from all nurses.
Recommendations for nursing education consist of teaching the nurses at Breckinridge Memorial Hospital the process of discharge planning and its importance in maternal-child nursing, especially with primiparas. Also more teaching about the discharge planning process during the aspect of maternal-child nursing education in schools of nursing is needed.

The investigator of this study recommends that once the problem in this study has been recognized and solved, further research should be done to see if the primiparas' perception of the information they feel they need is the same as the nurses perception of that information. Since this is the only time any research has been done at this particular institution, perhaps further investigations are needed to ascertain other possible problem areas and possibly improve the nursing care in many other areas and nursing practice in general at Breckinridge Memorial Hospital.
APPENDIX II
FORM II — Information given to Primiparas on Infant Care

Information That Should Be Given About Infant Care

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<td>2. Velamentous or umbilical cord</td>
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<td>3. Vomiting / Diarrhoea</td>
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<td>4. Cough, Cold, or Difficulty Breathing</td>
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<td>5. Poor or Unusual Skin Color</td>
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* = Documented by Nurse
** = Documented by Physician
Black Space Means Nothing Was Documented
The Horizontal Numbers at the Top of Column Indicate Each Chart Reviewed.

LIST OF REFERENCES

19. The Medical Center at Bowling Green. "Life Begins." Bowling Green: The Medical Center at Bowling Green, nd (Booklet.)
Climatic Preference
by Laura Case

"Climate has drawn more people to California than gold ever did."
—C. Goodrich

The climate of a particular area may be regarded with some degree of importance, with respect to an individual’s locational decisions. However, the individual’s perception of the area may be affected by several factors besides exact climatic knowledge. Social, cultural and economic perceptions may be underlying facets of the individual’s response to the area.

This paper will deal with the climatic preferences of in-state college students from Kentucky. Comparisons will be made between the Kentucky student group and student groups from different regions of the United States. Other research will be included to further explain possible reasons for the outcome.

The Survey

The questionnaire used in this paper was based upon one used by Lutz (1977) to relate climatic preferences. The sample population consisted of students from Vermont, Minnesota, North Carolina, and Arizona, representing the Northeastern, Northcentral, Southern, and Western regions of the United States, respectively.

The questionnaire was designed to include 1) general information about each student, including their travel experience; 2) the influential value of various climatic factors (temperature, humidity, precipitation, etc.) with regard to a desirable climate; and 3) a listing of the student’s five most desirable and five least desirable states of the contiguous United States.

A similar questionnaire was constructed and administered in this study to in-state students at Western Kentucky University. A question concerning the students’ most important factor when considering a location was added to the Kentucky questionnaire. The choice of factors included 1) economic, 2) social, 3) climatic, and 4) cultural, and was included to determine the importance of climate in considering a location.

The Sample Population

Over 350 students were surveyed and 302 questionnaires were compiled. The students’ ages ranged from 17 to 41 years old, with 55% being 18 and 19 years old. The sample population included students from over 100 different hometowns and 78 various college majors. The male to female ratio was approximately 1 to 1. The one page questionnaire took approximately 10 minutes to complete.

The Most Important Factor

An additional question was included on the Kentucky students’ questionnaire. The students were asked to select one factor as the most important in selecting a location. The factors were economic, social, climatic, and cultural. This question was added to assess the value of climate in relation to the other factors.

Economics received the highest percentage (40%), climate was ranked second (23%), social was third (20%), and cultural was fourth (17%). The importance of economies has been extensively studied. According to Bogue (1959), the strongest and most universal factor behind migration is economic opportunity. However, his study does list climate as a major secondary factor.

Influence of Climatic Factors

The students were asked to evaluate their level of importance for major climatic factors in relation to the desirability of a location. The choice of climatic factors were temperature, humidity, precipitation, change of seasons, and sunshine. The students ranked the factors on a scale of importance as very strong, strong, moderately strong, weak, or no influence.

The Kentucky students’ evaluation of climatic factors are shown on Table 1. A comparison between the Kentucky group and the four groups surveyed by Lutz is given in Table 2. Temperature was consistently listed as a strong climatic influence among all five regional groups. Discrepancies included a greater importance of sunshine to the Arizona students over the students of Vermont. In contrast, students from Vermont ranked the change of seasons as very significant, whereas Arizona students felt only moderately strong about its influence.

In the next part of the study, students were asked to select the most important climatic factor in relation to the desirability of a location. The factors listed to choose from were temperature, humidity, precipitation, and sunshine. The results for the most important climatic factor for the five groups are shown in Table 3, and again, temperature is consistently listed as the most important climatic factor among all five groups. Both Kentucky and Arizona students listed sunshine as the second most influential climatic factor.
Importance of Climatic Factors

Other studies have shown the temperature of a particular location to be its most important climatic factor. One such study was conducted by Svart (1973), in which several hundred graduate students from across the United States were questioned about specific environmental characteristics. Again the temperature of a location was ranked highly throughout the survey.

According to Ullman (1954), interstate migration statistics show that the population inflows are primarily a result of "a pleasant outdoor climate," which he defines as a temperature of 70°F with no rain. He also believes that people generally prefer relatively warm temperatures over cooler temperatures.

Several studies have related the importance of sunshine as a positive climatic factor, with both physiological and psychological benefits for humans. Sunshine is a valuable source of energy used by the body to manufacture Vitamin D, which is critical for bone development in children and bone strength in adults. The lack of sunshine has also been studied and linked to depression.

Influence of Travel Experience

A student's travel experience should increase his actual knowledge of an area, and most likely this will influence his perception of the areas climatic desirability. Thus, it is beneficial to know the student's travel experience. To determine this, the contiguous United States were grouped into nine regions (standard U.S. Census regions) and the students were asked to indicate which regions they had traveled. The travel experience of the five student groups are shown in Table 4. The Kentucky students appear to have the highest amount of travel experience in comparison to the other four groups.

The regional divisions and the travel experience of the Kentucky students are shown in Map 1. The Eastern South Central division has the highest percentage (97%).

Most Desirable State

The students were asked to list their five most desirable states due to climatic preference. The majority of the Kentucky students listed in rank order, Kentucky, California, Florida, Colorado, and Tennessee.

The Kentucky students' five most desirable states and the exact percentages for each state are shown in Map 2. The compiled desirability of each state in the continental United States is shown in Map 3, and is useful for a broad comparison. Kentucky students followed the norm when compared to the four groups that Lutz surveyed. Students from each state surveyed selected their own state as the most desirable due to climatic preference. A surrounding state was also identified as most desirable. However, the most interesting observation is the fact that California, Florida, and Colorado were shared by all five groups as most desirable states.

Reflections on the "Most Desirable States"

Evanko (1972) studied locational preferences in relation to perceptions. She surveyed New York University students enrolled in intermediate-level geography courses. Her studies concluded that it is difficult to assess the accuracy of perception of locational characteristics, and desirability could be a result of personal tastes or could be based on intrinsic qualities. According to Gordon (1966), the variation among individuals is very large and acclimatization temperatures regarded as comfortable will vary from region to region. These two studies could help explain why the home state and a surrounding state were chosen by each group.

Studies have also been conducted showing the reasons for the popularity of California, Florida, and Colorado. Ullman cited the climate of both California and Florida as suitable to allow for year-round outdoor activities, a factor of major importance to many people.

Vance (1973) termed California as a "romantic climate countryside" in the minds of most people. He said it is due to Californias many environment facets — climate, topography, coastal influence, size, and shape — going north to south. Southern California especially is viewed as having a very healthy environment. According to an extensive study done by Perloff (1960), high levels of tourism in both Florida and California reflect their popularity. Sociologists, Bright and Thomas (1961), believe that an important part of migration to California has been motivated by climate and legend more than job opportunities.

Colorado has also gained in popularity due to its ski resorts that are becoming year-round recreational communities and increased interest in the sport.

A comparison between Map 1 (Travel Experience) and Map 3 will show an apparent relationship concerning actual experience with an area and its perceived desirability.

Least Desirable States

The students were next asked to list their five least desirable states due to climatic preferences. The majority of the Kentucky students listed in rank order, Maine, New York, Michigan, Minnesota, and New Mexico. The exact percentages for these five states are shown in Map 4. The compiled responses for the entire continental United States are shown in Map 5.
As with the most desirable states, a definite reflection is apparent
between Map 1 (Travel Experience) and Map 5. Kentucky students
generally selected north eastern states as their least desirable. One
exception to this generality is that of New Mexico. Exact reasons for
this selection are not clear. Speculation would again have to refer to
the students’ travel experience and knowledge of the climate. In com­
parison with the other four groups, the climatic desirability of New
York and Mississippi were consistently low.

Conclusion
Climate perceptions play a major role in the formulation of climatic
preferences. Many other factors come into play besides exact climatic
knowledge — environmental location, economics, social, and cultural
factors.

The students sampled in this survey chose economics as the most
important factor in selecting a location, with climatic factors ranking
second in importance. Temperature was found to be the main climatic
factor influencing the choice of a particular location. A student’s
travel experience increases their knowledge of different regions of the
country and thus influences decisions about climate desirability.

Students in the survey preferred climates similar to or warmer than
that of Kentucky. They choose Kentucky as the most desirable state
due to climate, followed closely by California. The state with the least
desirable climate was found to be Maine, followed by New York.
TABLE #4
Regional Travel Experience

<table>
<thead>
<tr>
<th>Region</th>
<th>KY</th>
<th>NC</th>
<th>VT</th>
<th>AZ</th>
<th>MN</th>
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<tbody>
<tr>
<td>New England</td>
<td>17%</td>
<td>18%</td>
<td>77%</td>
<td>10%</td>
<td>10%</td>
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<tr>
<td>Middle Atlantic</td>
<td>37%</td>
<td>43%</td>
<td>74%</td>
<td>25%</td>
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<tr>
<td>E. North Central</td>
<td>86%</td>
<td>18%</td>
<td>29%</td>
<td>28%</td>
<td>53%</td>
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<tr>
<td>W. North Central</td>
<td>45%</td>
<td>10%</td>
<td>15%</td>
<td>24%</td>
<td>59%</td>
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<tr>
<td>South Atlantic</td>
<td>86%</td>
<td>64%</td>
<td>39%</td>
<td>15%</td>
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<tr>
<td>E. South Central</td>
<td>97%</td>
<td>44%</td>
<td>16%</td>
<td>19%</td>
<td>18%</td>
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<tr>
<td>W. South Central</td>
<td>48%</td>
<td>21%</td>
<td>14%</td>
<td>32%</td>
<td>23%</td>
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<tr>
<td>Mountain</td>
<td>28%</td>
<td>12%</td>
<td>15%</td>
<td>48%</td>
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<td>Pacific</td>
<td>22%</td>
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References


Audience Adaptation in Blaine's Eulogy of Garfield
by William Prettyman

"Not since the gloomy 15th of April, 1865,... has this City been the scene of so much excitement, mingled with heartfelt mourning, as yesterday." New York City was not unique. The news, which spread quickly by telegraph, shocked the nation. It paralyzed business communities, motivating city and country dwellers alike to crowd in anxious wait for "the end." Just sixteen years after the murder of Abraham Lincoln, the President of the United States, James A. Garfield, fell victim to another assassin's bullet.

But "the end" did not come on July 2, 1881; President Garfield lived until September 19th. The initial shock passed. During the final seventy-nine days of his life, Garfield, in his vacillating struggle with health, united the country in sympathy:

Never in its (the country's) existence has the American people been so completely united as in these days of anxious waiting. A common sorrow has brought us closely together, as often in divided families some sudden trial of grief stills contention and melts in tears the idle barriers that jealousy, or suspicion, or resentment may have raised. It is hardly within the memory of men now living that there has been a period when the people have felt so profoundly and so universally the strength of the union in which we are bound together.³

Then, finally, "the end" came. The nation grieved. Fire and church bells tolled throughout the land. "It may be doubted if at any time in the history of the United States the human sympathies of the people had been worked up to such a pitch of intensity... (Garfield's struggle) called forth expressions of emotion, of pity, affection and sympathy beyond anything known before." Great Britain, Turkey, Italy, Russia, Spain, France, Germany, and others sent international expressions of sympathy.

On September 26th, Garfield received a public burial in Cleveland, Ohio. Nationally, it was a solemn day. Americans displayed emblems of mourning throughout the country. Memorial church services were held nation wide. In cities North and South, business ceased so that citizens could "devote the day to the appropriate expression of their
sorrow at the grievous loss.”

The eventful life and tragic death of President Garfield provided the substance for numerous memorial addresses. Orations by men who knew him well such as Cox, Keifer, Hoar, and Banks, possessed substantial biographical and historical value. The most notable, however, was delivered by James G. Blaine, Garfield’s Secretary of State and personal friend. Blaine’s eulogy was called a classic in American eloquence.

Critical works on Blaine’s eulogy are practically nonexistent. A chapter dealing in part with the eulogy can be found in Brigance’s History and Criticism of American Public Address, but no articles can be found in any major, contemporary communication journals. It is ironic that this should be the case — Blaine’s eulogy of Garfield constitutes one of the “most memorable congressional utterances of the period.”

Traditionally, “eulogies intensify social cohesion...” by demonstrating in the lives of the departed a message which may give strength and re dedication to those who remain.” They are employed as rhetorical instruments designed to facilitate audience ability to cope with a recent, grievous loss. Blaine’s eulogy of Garfield provided a fitting response to the national anguish; it supplied the epilogue to the American book of memories of the fallen President. The speech is noteworthy for its simplicity of style, which contrasted with the loathed ornateness of ante-bellum rhetoric, but moreover for its portrayal of Garfield to the audience. In fact, audience adaptation was central to the success of the eulogy. It is this aspect of the speech on which this paper focuses. That Blaine recognized the importance of audience adaptation is almost certain, especially in light of his speaking record and the amount of preparation the eulogy received.

Two days after President Arthur accepted Blaine’s resignation as Secretary of State, Congress unanimously requested that he deliver an address on the life and character of Garfield on February 27, 1882. The choice of Blaine seemed only appropriate. “James G. Blaine was by common consent the master politician of his age. Warm, amiable, persuasive, irresistibly charming, he was one of the most popular public figures of his generation.” His ethos was outstanding. Blaine’s abilities in speech and debate had taken him from the Maine legislature, where he began in 1858, to the United States House of Representatives in 1862. In Congress he had served almost twenty years: fourteen years in the house, including six as Speaker, and over five years in the Senate. Also, Blaine had achieved national recognition from publicized encounters with Senator Conkling. Presidential nominations to the Republican National Conventions of 1876 and 1880, and his appointment as Garfield’s Secretary of State. Blaine commanded the support of a large, devoted audience.

At first, Blaine declined the Congressional invitation, fearing that his emotions would affect his delivery to “an uncontrollable extent.” But the urgings of William McKinley, chairman of the House committee on the exercises, along with the pressing of his other friends finally convinced Blaine to accept.

For six weeks Blaine labored over the eulogy. Recounts from Mrs. Blaine’s letters attest that he prepared it with more painstaking than any other public address. “Eleven times he revised the manuscript, reading it over and over again to the members of the family, weighing every phrase and word for justness of judgment, clarity of statement and beauty of style.” Blaine was emotionally involved with his subject, having befriended and known Garfield for eighteen years. At times during its preparation he was moved to tears: “For the second time this morning I (Mrs. Blaine) see him (Blaine) taking from the drawer a fresh pocket-handkerchief with which he vainly tries to hide his tears, and this time, wholly overcome he has beaten a retreat to the blue room.”

As the day of presentation approached, interest in the event grew. In addition to attendance by Congress, other dignitaries were invited: the President and ex-Presidents of the United States, the heads of the several Departments, the judges of the Supreme Court, the representatives of the foreign governments near this Government, the governors of the several States, the General of the Army, and the Admiral of the Navy, and such officers of the Army and Navy as have received the thanks of Congress.

The public pressed for the remaining tickets: “Congressmen have been besieged for tickets by friends and constituents who have come to the city for the purpose of hearing the oration. So great is the interest taken by the public in the exercises that thousands of applicants will be disappointed.”

The fact that two audiences judged his eulogy made Blaine’s task more difficult. The more public, national audience remembered a hero President who equalled, if not surpassed, the great Lincoln: “Already the figure of Garfield is placed in the gallery of the idealized heroes of the Republic. . . . His tragic death has produced some of the effects of martyrdom. It has consigned to oblivion the weaker traits that are apt to mar the noblest of human characters.” The national audience anticipated a glowing eulogium.

On the other hand, the politicians and dignitaries assembled in the
Hall of the House of Representatives, the immediate audience, posed a delicate situation in several ways. This audience knew Garfield's weaknesses; critics viewed him as an "irresolute and impulsive, soft-fibered individual." Secondly, Garfield's cabinet and friends understood a different person, one confident that history would prove his character to the public. Unfortunately, death interfered. Thirdly, the "Stalwart" Republicans, once led by Conkling, resented Garfield and Blaine because of the controversy over Federal appointments of certain New York "Stalwarts." Also, "it was widely, if erroneously believed that it was Blaine himself who had instigated if not directed those policies of Garfield which resulted in the rupture with Arthur and the New York 'Stalwarts' and which led, ultimately to the assassination." Finally, Blaine, the leader of one of the strong Republican wings, eyed potential candidacy for President in 1884.

At 12:20 P.M. on February 27, 1882, Blaine arrived in the Hall of the House. The expected politicians and diplomats, along with representatives from China and Japan, comprised the immediate audience. After a brief invocation by the House Chaplain, the President pro tempore of the Senate introduced Blaine as the man fitly chosen for the occasion. The audience applauded. The eulogy, a chronological recount of Garfield's life, was composed of nine sections: (1) introduction, (2) background, (3) early life, (4) army life, (5) Congressional life, (6) Presidential candidacy, (7) Presidential life, (8) religious character, and (9) the tragedy. Emotion did not affect the delivery as Blaine had feared.

The eulogy addressed the controversial issues in Garfield's life in such a way as to satisfy the hypercritical immediate audience as well as the national public. The eulogy began and concluded with strong appeals to pathos, which, along with the chronological recount, gave a sense of unity to the presentation. The chronological approach also satisfied a strategic need, placing the politically controversial subjects near the conclusion of the eulogy. For the most part, Blaine stuck to the facts as he knew them, digressing only to compare and contrast Garfield with other great political and historical figures. He avoided any mention of his own name, devoting the focus of attention to Garfield. He made no value judgments. In each section, Blaine adapted the eulogy well to his audience.

Blaine's introduction stirred memories of the parallel between Garfield and Lincoln:

For the second time in this generation the great departments of the Government of the United States are assembled in the Hall of Representatives to do honor to the memory of a murdered Presi-

dent. Lincoln fell at the close of a mighty struggle in which the passions of men had been deeply stirred... Garfield was slain in a day of peace.

Here Blaine was on uncontroversial ground. Both audiences could concede the parallel with Lincoln's assassination; the opening appealed to both audiences.

Equally uncontroversial were the recounts of Garfield's background and early life. Probably few, if any, in attendance knew much about such matters. The brief look at Garfield's ancestors identified him as coming "from good stock on both sides." Concerning Garfield's early life, Blaine concluded:

The history of Garfield's life to this period presents no novel features. He had undoubtedly shown perseverance, self-reliance, self-sacrifice, and ambition — qualities which, be it said for the honor of our country, are everywhere to be found among the young men of America.

Blaine had managed, however, to equate Garfield's early poverty with that of men such as Henry Clay, Andrew Jackson, Daniel Webster, and a "large majority of eminent men of America." In recounting Garfield's army life, Blaine minimized any hostility of Southern veterans and sympathizers by avoiding emotionally-charged language. When referring to the Union victory over Humphrey Marshall, Blaine took an unbiased historical view, expounding on Garfield's contributions:

The result of the campaign is matter of history. The skill, the endurance, the extraordinary energy shown by Garfield, the courage he imparted to his men, raw and untried as himself, the measures he adopted to increase his force and to create in the enemy's mind exaggerated estimates of his numbers, bore perfect fruit in the routing of Marshall, the capture of his camp, the dispersion of his force, and the emancipation of an important territory from the control of the rebellion.

Blaine only briefly mentioned Garfield's roles in the Battles of Shiloh and Chickamauga. According to Blaine, Garfield's performance under Buell equalled the contributions of Joseph Holt, and under Rosencrans, demonstrated his truly great versatility. With patriotism uppermost in his mind, along with the urgings of Lincoln and Stanton, Garfield resigned his commission to enter the House of
Representatives.  
When the focus shifted to Garfield's Congressional life, Blaine entered onto more common ground with his immediate audience. Accordingly, the length of this section was longer than those previous. After pointing out for the second time that Garfield resigned his commission only two days before he entered Congress, and after briefly flattering Garfield's New England supporters, Blaine ingratiated the House audience:

There is no test of a man's ability in any department of public life more severe than service in the House of Representatives; there is no place where so little deference is paid to reputation previously acquired, or to eminence won outside; no place where so little consideration is shown for the feeling or the failure of beginners. What a man gains in the House he gains by sheer force of his own character, and if he loses and falls back he must expect no mercy, and will receive no sympathy. It is a field in which the survival of the strongest is the recognized rule, and where no pretense can deceive and no glamour mislead. The real man is discovered, his worth is impartially weighed, his rank is irreversibly decreed.

Such a prelude to the section allowed Garfield's record to stand for itself; the listeners knew Garfield's House record well. Blaine expounded on the abilities of Garfield as a speaker, a debater, a parliamentary orator and leader. During his service as a Representative, Garfield made a valuable historical contribution in the form of speeches and legislation. Blaine compared Garfield to "the three most distinguished parliamentary leaders": Clay, Douglas, and Stevens. He also included the names of other great politicians such as Webster, Choate, Cushing, Wise, Seward, and Chase. Garfield was seen, in certain aspects, as similar to Seward, Peel, Bentinck, and Burke, but contrasted with Fox. Blaine implied that history would judge Garfield as an outstanding politician. Blaine tactfully avoided detracting from this image by addressing the Credit Mobilier Scandal in the following section.

The section on Garfield's Presidential nomination was one of the shortest in the eulogy. Blaine addressed the controversy surrounding the nomination in a roundabout manner, never mentioning particular issues by name. Instead, it produced "a storm of agony" and "a constant and cruel draft upon the powers of moral endurance." Referring specifically to the results of the Credit Mobilier Scandal, Blaine stated: "But in a few instances the iron entered his soul and he died with the injury unforgotten if not unforgiven." Blaine had not avoided the subject; however, he condensed the effects of the controversy to just a few, short, euphemistic sentences, then concluded with his perceptions of Garfield's speeches delivered during the campaign.

Blaine then moved into the most controversial section of the eulogy, Garfield's Presidential life. In this section there were no lofty comparisons. Blaine began blending in a new perspective, one which dealt not only with the "cold facts" but also with Garfield's personal views and emotions. With this approach the audience could not object. For example, Blaine stated:

The duties that engross so large a portion of the President's time were distasteful to him, and were unfavorably contrasted with his legislative work. "I have been dealing all these years with ideas," he impatiently exclaimed one day, "and here I am dealing only with persons. I have been heretofore treating of the fundamental principles of government, and here I am considering all day whether A or B shall be appointed to this or that office."

This was the first mention of the controversial political appointments. Blaine then changed the subject, sharing some inside views on Garfield's administrative talents. Next, Blaine recounted some of Garfield's ambitions, desires, and beliefs concerning national unity. Garfield's desires to restore harmony within the nation probably appealed to the Southerners in the audience. Blaine avoided mention of foreign policy which would have drawn attention to himself as the Secretary of State at the time. In the only comparisons of the section, Blaine briefly compared Garfield's "philosophic composure" to that of Jefferson, and his "demonstrative confidence" to that of John Adams.

Audience reaction to the final part of the section on Presidential life showed anticipated controversy:

The audience...did not seem to be moved at all until he reached the passage referring to the political events which preceded the assassination. If there had been any lack of interest before that time there was none as soon as the first words were pronounced. Many had expected that Mr. Blaine would use language so severe that political enmity would be aroused. Wisely, Blaine recognized the uncomfortable situation and declined to enter into a controversy. Once again he shifted perspective:

The political events...in his (Garfield's) own judgment, involved questions of principles and of right which are vitally essential to
the constitutional administration of the Federal Government. It would be out of place here to speak the language of controversy... personal antagonism shall not be rekindled by any word uttered to-day. The motives of those opposing him are not to be here adversely interpreted nor their course harshly characterized... from the beginning to the end of the controversy he so much deplored, the President was never for one moment actuated by any motive of gain to himself or of loss to others. Least of all men did he harbor revenge, rarely did he even show resentment, and malice was not in his nature... he solemnly believed that the true prerogatives of the Executive were involved in the issue which had been raised, and that he would be unfaithful to his supreme obligation if he failed to maintain, in all their vigor, the constitutional rights and dignities of his great office.43

As Blaine turned attention to Garfield's religious character, the "audience drew a long breath of relief. Many made those slight changes of position which indicate that a dangerous point has been passed and the mental strain relaxed."44

The section on Garfield's religious character acted as a buffer between the controversial sections and the concluding section which again appealed to pathos. Blaine characterized Garfield's religious character as "deep and earnest" with liberality and tolerance.45 Religious faith seemed second nature to Garfield and "the lines of his friendship and his confidence encircled men of every creed."46 Garfield's religious character probably appealed strongly to most of the audience.

The final section of the eulogy, the tragedy, was a second appeal to pathos. Blaine set the tone by using a before-and-after comparison, comparing the mood and expectations of Garfield just before the shooting with the silently-born agony after it. Before the shooting Garfield believed that "trouble lay behind him."47 Afterwards, he "looked into his open grave."48 Neither the name of the assassin nor the actual shooting was mentioned. Instead,

His terrible fate was upon him in an instant. One moment he stood erect, strong, confident in the years stretching peacefully out before him. The next he lay wounded, bleeding, helpless, doomed to weary weeks of torture, to silence, and the grave.49

Blaine's conclusion to the section and to the eulogy utilized an archetypal metaphor, the sea, which neatly followed symbolically as well as historically when combined with a theme of life passing as the times of day:

With wan, fevered face tenderly lifted to the cooling breeze, he looked out wistfully upon the ocean's changing wonders; on its far sails, whitening in the morning light; on its restless waves, rolling shoreward to break and die beneath the noonday sun; on the red clouds of evening, arching low to the horizon; on the serene and shining pathway of the stars... Let us believe that in the silence of the receding world he heard the great waves breaking on a further shore, and felt already upon his wasted brow the breath of eternal morning.50

This was Blaine's sole attempt at eloquence. The peroration was later praised as the finest prose in the literature of eulogy,51 though this appraisal seems overgenerous.

The eulogy drew hearty applause from the audience and received great praise by the press. Probably no expression of praise was more noteworthy than that found in a letter of appreciation from Mrs. Garfield:

It was such a true, unvarnished tale of his (Garfield's) life. His (Blaine's) summing up of the influences... was so just; and the final tribute to his work and worth so magnanimous. My dear friend, if the spirit of General Garfield is in the great universe, he must have been in that old hall, smiling upon his old friend a grateful recognition.52

Further analysis of the eulogy is needed to explain why it drew such acclaim, particularly during an age of oratorical decline. The ideas of Steele and Redding53 provide a modern vehicle for possible insight. If analyzed according to this taxonomy, the eulogy depicted Garfield as representing four American values. Three of these value themes were manifested in relatively isolated instances in the eulogy while only one received continuous emphasis. The theme of "patriotism" showed up early in the address. Garfield's ancestors had battled tyranny and oppression in France and England as well as participated in various battles of the Revolutionary War. Garfield himself was a conscientious patriot with a distinguished war record, resigning as General to enter the House only after serious deliberation on how best to perform his patriotic duty. In addition to his virtues of charity, tolerance, compassion, and liberal acceptance, Garfield's ambitions to unite the country demonstrated the theme of "generosity and considerateness." "Efficiency and practicality" were portrayed by his administrative abili-
ties as President and his reactions in controversial situations. But one prominent theme ran throughout Garfield's life — "ambition and success." Garfield, a product of "frontier poverty," had become President of the United States. He had lived a rags-to-riches story in which, through his own effort and intelligence, he had become a school teacher at age eighteen, entered Williams College as a junior at age twenty-two, become a war hero without any previous military experience, distinguished himself as a Congressman, and, risen to the most prestigious political office in the country, Garfield's personal courage and strength added another dimension to this theme by his unprecedented campaign speeches and his silent suffering after the shooting. Blaine's constant emphasis on this value theme over the others must have done much to portray Garfield as a great man, especially during "The Gilded Age." The underlying messages in these four value themes may have been Blaine's attempt to achieve social cohesion. Use of these value themes, together with the other aspects of audience adaptation, probably contributed significantly to the popularity of the eulogy.

The eulogy, proclaimed to be a classic work, successfully pleased both immediate and national audiences. Blaine expounded when he could, comparing Garfield to many of the great public figures of the day, and arousing audience appeal, in whole or in part, wherever possible. Yet he knew to mellow the message by changing perspective when covering controversial subjects, none of which he ignored. By not mentioning the names of the assassin or any contemporary American politicians, especially his own, Blaine kept attention on Garfield at all times. He spotlighted four American value themes in Garfield's life with particular emphasis on his ambition and success. Blaine, the master politician, had produced a master work, the effects of which were due in part to an accurate assessment of the audience and good audience adaptation.

ENDNOTES

6Life and Letters, p. 1203.

*A search of the following journals produced no articles dealing with Blaine's eulogy: Communication Quarterly, Quarterly Journal of Speech, Southern Speech Communication Journal, Central States Speech Journal, and Western Journal of Speech Communication.

1The People's Voice, pp. 93-94.
3The People's Voice, p. 96.
5History and Criticism, p. 889.
7Biography, p. 557.
8Congressional Record, 47th Congress, 1st Session, 13(2): 1465.
11Life and Letters, p. 1177.
12Ibid., p. 1178.
13Ibid., p. 1204.
14History and Criticism, p. 889.
15Congressional Record, p. 1465.
16In an article carried by the New York Times on Feb. 28, 1882, Rosenerans denied that the Army of the Potomac was in as bad a shape as Blaine claimed it was before Garfield arrived as chief of staff.
17Congressional Record, p. 1465.
18Ibid., p. 1466.
19Ibid.
20Ibid.
21Ibid.
22Ibid., p. 1467.
23Ibid.
24Ibid.
25Ibid., pp. 1467-1468.
26Ibid., p. 1468.
27Ibid.
28Ibid.
29Ibid.
30Ibid.
31Ibid.
32Ibid.
33Ibid.
34Ibid., p. 1469.
36Congressional Record, p. 1469.
38Congressional Record, p. 1469.
39Ibid., pp. 1469-1470.
40Ibid., p. 1470.
41Ibid.
42Ibid.
43Ibid.
45Biography, p. 559.
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John Dryden's Criticism: The Neglected Link

by Bettye Albin

Any survey of the scholarly writings dealing with John Dryden as a critic and his criticism significantly and consistently yields one major idea — that Dryden is, as Samuel Johnson emphatically stated, the father of English criticism. To some extent, Dryden still retains this venerable title because of the scope and sheer bulk of his critical prose. Additionally, Dryden, writing in the latter part of the seventeenth century, was a transitional figure who evolved a body of criticism that dealt with the social function of poetry and the fundamental nature of the poetic activity. Dryden was perhaps the first English literary critic to deal with reader appeal and to attempt a theoretical approach whereby he did more than merely explain how to write as so many of his predecessors had. Since Dryden viewed himself as sharing an European literary tradition, being an heir to the great classical, Continental, and native writers, he endeavored to embrace and synthesize the good and reasonable in all. Dryden was perpetually concerned with the condition of literature in his day, as well as with its past and with its future; therefore, he was reluctant to fail to treat any aspect of literature in his prose. J. W. H. Atkins, in *English Literary Criticism*, makes note of Dryden's "remarks on the nature and art of poetry, as well as the forms that poetry may assume" and "his liberal conception of the critical functions, together with a host of fresh and striking appreciations of literature in the concrete."

Frequently, there is a tendency among critics to denigrate the content of Dryden's critical prose while extolling the importance and validity of Dryden as a critical example. As a critic, Dryden is often labelled as superficial and indecisive, and his criticism as a whole is usually considered incomplete and lacking in profundity. However, Dryden was the first practical critic of his age, touching on a number of critical approaches — historical, biographical, textual, psychological — that have since become the components of modern literary criticism; and his critical tenets, though intermittent and often inconclusive, represent the beginning of a significant shift of emphases and direction in literary criticism.

As both poet and critic, Dryden wrote in many genres in keeping with a neoclassic literary practice. His major critical works are An
Essay of Dramatic Poesy published in 1668 and Preface to the Fables, Ancient and Modern written in 1700 shortly before his death. In between these works, lie Dryden's numerous prefaches, dedications, and defenses, many of which he was motivated to write as a means of justifying and explaining his own creative work and defending it in the teeth of hostile treatment by the critics of his time.

An Essay, in the form of a loose Socratic dialogue, was written in defense of English drama. The four separate speakers — Crites, Eugenius, Lisideius, and Neander — represent respectively the Ancient, Modern, French, and English viewpoints presented in six clearly delineated divisions of the argument. The major ideas in the essay are the formulation of a definition of the play, a discussion of the Three Unities, and a debate unequivocally advocating the merits of rhyme and opposing blank verse in drama. Dryden, as Neander, adopts a moderate stance in favor of the Three Unities, favoring variety and complexity over strict regularity and drama, and states a preference for the strongly drawn characters of Shakespeare. Generally, however, the argument is not much advanced, there is no final resolution of the issues, and the speakers part as casually and urbanely as they began. However, Neander, presumably speaking for Dryden, speaks last, indicating some semblance of authority intrinsic in this fact, and also suggesting that Dryden may have wished the final judgment to rest with the reader. The essay, its critical tenets and any authority they command are occasioned by Dryden's intense patriotism. Aside from his didactic stance in favor of rhyme, Dryden's major concern in An Essay is, as Alan Dugald McKillop comments in English Literature from Dryden to Burns, "his interest in reconciling the free imaginative drama and robust humor of the Elizabethans with the stricter neoclassical standards largely transmitted from France." The merit of the essay lies in Dryden's display of flexibility and tolerance: his emphasis on the ends or effect of drama, rather than the means, his willingness to test the rules in light of this criterion, and his attempt to vent the diverse and comprehensive views. Moreover, An Essay contains Dryden's examen of Ben Jonson's Silent Woman, perhaps the first critical analysis of a literary work in English.

In Preface to the Fables, Dryden is still dealing with the problem of synthesizing a rich tradition in English literature and the strict adherence to rules by the French neoclassicists, but his does so in a more mature, decisive manner. He acknowledges preferences for Homer and Chaucer, rather than Virgil and Ovid, based on their individual powers of invention and thereby makes a remarkable and atypical suggestion as to the value of poetic genius or imagination. Dryden also proposes that Chaucer followed nature more closely than Ovid did through his lively characters. David Daiches in Critical Approaches to Literature, states that "Dryden also relates Chaucer's portrayal of character on one hand to general truths about human nature and on the other to the historical situation in Chaucer's day, showing how Chaucer was able to be faithful to both, to present the universal through the particular." Here, Dryden employs both historical and psychological approaches in the critical treatment of literature. Likewise, he launches biographical discussions of Chaucer and Ovid and relates something of Chaucer the man and his character to his writing. And Dryden calls attention to the literary and historical milieu of both writers when he comments: "With Ovid ended the golden age of the Roman tongue; from Chaucer the purity of the English tongue began." Unfortunately, Dryden was unable to appreciate Chaucer's metrical skill because he did not read the language of Chaucer's time properly. Dryden updates and refines Chaucer, the "rough diamond," to convey a sense of his appreciation for Chaucer's literary achievement. Dryden selects his tales cautiously and cheerfully overlooks those he deems in poor taste. Nevertheless, Dryden's high praise of Chaucer makes the Preface a striking document of the seventeenth century.

As a poet critic, Dryden, through a sympathetic identification and his balance of reason and feeling, was able to reveal and examine many possibilities about authors and their works. One of the outstanding features of Dryden's criticism is his attempt to extend Aristotle's interpretation of the imitation of Nature by defining tragedy in An Essay as "a representation of Nature, but Nature wrought up to a higher pitch." He shifts the emphasis from a mimetic theory of imitation to one of representation through lively characters exhibiting humours and passions, a representation of human nature. But as always, Dryden demands a representation informed by the principle of wit or decorum, but also one that is pleasing to its audience. And he calls attention to the nature of art as it instructs through pleasing and to the importance of dramatic characterization.

However, Dryden does not advocate characterization at the expense of plot. He desires retaining adherence to the Three Unities but only in so far as they do not inhibit the variety and audience appeal he so highly regards in Shakespeare, Fletcher, and Beaumont. In the seventeenth century, neoclassic rules were the only criteria being applied in criticism, and Dryden attempted to deal with this view in light of the spirit and reality he had discovered in Elizabethan drama. Such a dilemma led him in An Essay to observe that the English had many plays as regular as the French and that the irregular plays of Shakespeare, Beaumont, and Fletcher far surpassed the regular French
plays. Watson, in *The Literary Critics,* points out the contradiction that Dryden "praises Elizabethan drama for its regularity and irregularity alike." As a professional, Dryden attempts to gather for himself and his contemporaries the best of all possible literary worlds.

Despite his professed esteem for Shakespeare in *An Essay,* Dryden in 1672 became a spokesman for the heroic play with the publication of *The Defense of the Epilogue to the Conquest of Granada* which Atkins labels "a piece of special pleading, a biased and hostile review of Elizabethan and Jacobean drama, in which, for the time being, he discards his better judgment, to bolster up his argument in deference to the sophisticated tastes of his day." At this time, Dryden was two years into his poet laureateship and not eager to discourage prospective patronage. He rewrote a few of Shakespeare's plays, believing that he had improved Shakespearean drama by introducing into it the elements of the heroic play — simplicity of language, regularity of plot, and poetic justice. Fortunately, by the time he writes the "Prologue to Aurenge-Zebé" in 1676, Dryden has discarded his defense of heroic drama. Likewise, by the time he writes *All for Love* in 1678, he has abandoned rhyme in favor of blank verse.

Also, Dryden distinguished among the genres and was often interested in a work being good of its kind. He preferred the epic to tragedy as the more just representation of nature. This preference appears as justification in his defense of the heroic play and as a portion of his praise for Chaucer's "The Knight's Tale." While Dryden had accepted the mixing of tragic and comic elements on the basis of its value as comic relief in *An Essay,* he attempts to define a new critical theory of comedy in "Preface to An Evening's Love" in 1671. His concept of comedy was what Wimsatt and Brooks term, "the repartee of witty gentlemen...with an accent on the pleasant theme of amorous intrigue" which had a primary purpose to please and a secondary aim to instruct. This separate view of comedy is never entirely consistent with Dryden's allowance for comic relief in Elizabethan tragedy, and he never returns to the issue in his later criticism. Again, Dryden seems to be justifying the means of drama by the end and giving his audience what it wants.

In translation, Dryden prefers the paraphrase to the metaphor or imitation, although he admits to having taken more liberties than allowed by paraphrase in his translations in the *Fables.* Similarly, Dryden defends the more subtle Horatian satire as a tool for social reform, but in at least two of his own satires, "Mac Flecknoe" and "Absalom and Ashtaroth," he is neither gentle nor interested in any reform beyond that of his own revenge. In addition to his interest in the several genres, Dryden is concerned with a technique appropriate to each. He consistently comments on the value of creative power and imagination, but Hume also notes that "in almost every essay Dryden discusses style or stylistic problems — they are his most abiding concern." Dryden's own style is personal and informal; generally, he decried bombast, conceits, and superfluity in prose and poetry alike. Dryden was instrumental in stabilizing and clarifying the dictum of his day.

Most modern critics and scholars agree that there is no tidy pattern of development in Dryden's criticism and that he did not have a formal methodology, but one that shifted in accordance with the work before him. In fact, any attempt to burden Dryden's method with one label is pointless, since there were no formal categories of critical approaches in the seventeenth century, and therein lies Dryden's greatness as a critic: he pioneered several critical methods in the modern academic sense. Only *An Essay* and *Defence* of *An Essay of Dramatic Poesy* even resemble theoretical criticism; the remainder of his critical writings can be divided into explanations of his own work and appraisals of other authors and their works in which he applies a variety of approaches. Hume makes perhaps the only systematic and concrete judgment of Dryden's methodology:

The procedure which he brings to any work or author amounts to a systematic evaluation of effectiveness by categories — invention, fable, character, manners, thoughts, words. Dryden varies his emphasis on these criteria somewhat in different essays, but on the whole they constitute his scheme for approaching any work.

His method is always characterized by his attempts to explain and justify his own work, to educate his reader, and to defend the English literary tradition.

In all of his prose, Dryden's manner is conversational and digressive, sprinkled with comments on his financial status and the state of his health, apologies, and admonishments directed at his enemies and critics. He presupposed a need to communicate with his audience, to be immediately understood and to be considerate of readers who demanded good taste and a polished, courtly style in literature. Dryden assumed his audience to be polite, educated, and well-read. Consequently, he did not feel the need to explain the meaning of a work or to prove the existence of literature in general. And, he supposes a common ground between himself as critic and his readers. Usually, in view of his professionalism and his public role, Dryden was moderate and reasonable in his criticism and avoided didacticism.
Dryden's perspective is primarily a seventeenth century neoclassical one, characterized by good judgment, the power of reason, and a sense of decorum. Subsequently, he retained a belief in objective critical standards to guide and shape the creation of literature. He wished to retain the example of classical drama as far as was possible within the realm of common sense, but he was also subject to the Restoration trend of urbanity and gentlemanly indifference in life and literature. Similarly, he was influenced by the seventeenth century preoccupation with science. Wimsatt and Brooks note that "a remarkable feature of Dryden's critical mind is his capacity to retain, along with a steady concern for the reasoned justification of taste, an openness to contrary argument almost approaching skepticism." But in a larger sense, Dryden's perspective was less rigid and more transitional, anticipating the eighteenth century with its gradual movement toward Romanticism. He emphasized the effect of literature and attempted to discover the reasons behind the rules. He was always too intelligent and sensitive to despair of Elizabethan dramatists, especially Shakespeare who broke all of the rules and yet commanded effect; and in his evaluation of Chaucer, Dryden was unable to ignore the creative power manifested in the tales.

As a critic, Dryden was not without a personal perspective and biases. Wykes, in *A Preface to Dryden*, suggests that the bulk of Dryden's criticism is characterized by "its overriding but undeclared purpose: to shape and educate an audience for Dryden's plays, poems, and translations." But, the close relationship between his critical and creative powers and faculties often lies behind the scope of Dryden's critical accomplishment. Unfortunately. Dryden was prejudiced by popular taste to defend the heroic play; on the other hand, he was persuaded by public opinion to relinquish his view in favor of rhyme in drama. Dryden's patriotism led him to conclude that English dramatists had borrowed nothing from the French in a period when French influence had begun to dominate European culture.

Dryden's weaknesses as a critic are his tendency to contradiction, his failure to systematically and fully develop a point, his numerous unacknowledged borrowings from French critics, and his occasional negligence in presenting literary facts. Some of his discussions of critical ideas are trivial and boring, while others are rambling and vague.

On the other hand, his strengths as a critic are his massive common sense, his willingness to raise critical issues where none had been raised before, his judicial appraisals of other writers, his appreciation of literature, his familiarity with the creative process, and his assumption "that the business of criticism was not mainly that of finding fault." Dryden was a critic in the Horatian tradition who excelled all others before him in critical output. Literary criticism is indebted to Dryden for "providing the inestimable example of showing that literary analysis is possible at all." His criticism cannot be adequately evaluated according to modern critical expectations. A realization that Dryden attempted to treat a rich European literary tradition against the backdrop of a turbulent seventeenth century goes a long way in explaining the weaknesses in Dryden's criticism. Dryden's occasional confusion as to just exactly what elements and nuances consistently go together to produce great literature may be his strongest link with the contemporary critic.

NOTES

5. Dryden, p. 480.
7. Atkins, p. 68.
13. Atkins, p. 130.

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INTRODUCTION

Webster defines stress as a “physical, chemical, or emotional factor that causes bodily or mental tension...”; this definition has been narrowed to identify stress as a “...reaction occurring when there is a substantial imbalance (perceived or real) between environmental demand and the response capability of the individual” (Bensky, et al., 1980). Stress can have either a positive or a negative effect upon an individual, depending upon the intensity of the stress, its frequency of occurrence, and the individual’s coping ability. Stress related burnout in the helping professions is coming more and more to the public’s attention. The end result of this increased awareness of stress and its varying effects should be an increased ability to exploit stress in a positive manner (Weiskopf, 1980).

Various questionnaires, inventories, and studies have been conducted to help identify which events and circumstances do cause stress among educators. Teachers in 16 medium sized schools in England completed a questionnaire designed to determine what teaching events caused them most stress. Of the 257 respondents, 20 percent rated teaching as either very stressful or extremely stressful. Events which caused stress ranged from pupil misbehavior, to paperwork, to poor promotion opportunities, to lack of time (Kyriacou and Sutcliffe, 1978).

The Teacher Events Stress Inventory, by Chichon and Koff (1978), has been employed in numerous surveys of teachers’ stress. These have included teachers in Alabama, New Orleans, and Western Kentucky school systems. Teachers responding to this inventory rate as high stressors such things as notification of unsatisfactory job performance, unexpected transfers, or managing disruptive children (Martray and Adams, 1981; Blackwell, 1981; Meza and Elliott, 1981).
Statement of the Problem

In each of the surveys or studies mentioned thus far, dealing with children who are disruptive, or are inattentive, or display some other learning difficulty has been a high stress item. Teachers who must deal with these children also must deal with these students' parents, counselors, and disciplinarians. Working with a child who is disruptive or has learning problems to overcome would involve the anticipation of parental and supervisory involvement in the evaluation, discipline and remedial or adapted education of the child. If one regarded such prospects as high stressors, then teaching a child with any exceptionality would be a double stress; it would carry the stress of dealing with the child and the stress of working with the others involved with the child. (1) Do teachers in Daviess and Muhlenberg Counties rate items dealing with exceptional children as high stressors and also rate those dealing with a team approach to discipline and evaluation as high stressors? (2) How do the ways in which Daviess and Muhlenberg County teachers rate the items concerning exceptional children and their discipline and evaluation differ in regard to teacher age and grade level taught? (3) Is there a correlation among the items identified as dealing with exceptional children and those identified as relating to discipline and evaluation of exceptional children?

Purpose of the Study

Ideally, educating any child should be a joint effort involving the child, the parents, and the school personnel—not just the teacher. If this is true of "any child", it is doubly true of the exceptional child. State and federal laws, the child's special needs, and the teacher's and school's needs all dictate that the education of the handicapped child must be a team effort.

"Research tells us that societal attitudes toward those who are 'different' in some way tend to be negative (Seligman and Seligman, 1980, S12)." Those who work with children who are "different" share, albeit involuntarily, some of these negative attitudes. Nor are parents immune from negative feelings about their own exceptional child; they are as much in need of extra attention and help as their child. Professionals must become aware of their own attitudes toward exceptional children, toward these children's parents, and toward the concept of a team approach to the education of these children. "...we need much more information about the nature of parent-professional relationships...for there are indications that this important partnership is sometimes less than satisfactory... (Seligman and Seligman, 1980, S11)." Becoming aware of how teachers view as stressors the different teaching events related to exceptional children and their overall management could help professionals identify and eliminate or remEDIATE previously unsuspected problem areas.

Definition of Terms

For the purpose of this paper, an exceptional child is one who, for any reason, exhibits chronic difficulties in learning in the normal classroom environment.

The five items from the Teaching Events Stress Inventory (TESI) which will be key ed as dealing directly with exceptional children (EXC) are item 12, "Managing 'disruptive' children"; item 20, "Dealing with students whose primary language is not English"; item 22, "Evaluating student performance or giving grades"; item 25, "Teaching students who are 'below average' in achievement level"; and item 28, "Teaching physically or mentally handicapped children." Item 22 will also be keyed as being related to the team approach (TA) to educating and disciplining the exceptional child, for giving grades and evaluating student performance brings the teacher in direct contact not only with the child but also the parent. The five items from the TESI which will be keyed as TA are items 18, "Maintaining self control when angry"; 19 "Talking to parents about their child's problems"; 22, "Evaluating student performance or giving grades"; 30, "Teacher parent conferences"; and 31, "Seeking principal's intervention in a discipline matter." Although item 18 (self control) seems to be an individual matter, it was included because dealing with one's anger is vital to the functioning of the discipline and management process.

Limitations of the Study

This study was limited by the size of the sampling and by discrepancies in certain of the demographics. The total number of respondents was 132; however, only 128 usable forms were available. This was accounted for by respondents who had missing responses in some categories or items.

The geographic locale was very limited in that all schools were from rural or near-rural settings; although Owensboro is a large population center. The participants were not randomly selected; thus the results may not be widely generalizable.

CHAPTER II

REVIEW OF THE LITERATURE

Chichon and Koff in 1978 presented a paper to the American Educational Research Association concerning the Teaching Events Stress Inventory (TESI) which they had developed. The TESI had been
mailed to 22,448 certified members of the Chicago Teachers' Union; they had obtained a 22 percent response rate, or a total of 4,894 respondents. The TESI contained 36 items which the teachers were to rate as either more or less stressful than the first week of school. Involuntary transfer, managing "disruptive" children, and notification of unsatisfactory performance were rated as highest stressors; attendance at in-service, additional course work, and talking to parents were rated as least stressful (Chichon and Koff, 1978).

New York State United Teachers (NYSUT) distributed a teacher stress survey and reported their findings in 1979. The NYSUT survey included 47 events which the teachers were to rate by degree of stress on a scale from one (least stressful) to five (most stressful). The survey was sent to the members of the NYSUT but there was no indication of response rate or sample size. The three items which were consistently ranked as high stressors were managing "disruptive" children, incompetent administrators, and maintaining self control when angry.

Sullivan of Emory University conducted a stress survey in 1979 utilizing "Delphi rounds." This survey was conducted among pre-service and in-service teachers attending Emory University in the Spring of 1979. There were twelve pre-service participants and twelve in-service participants; through the "Delphi rounds" process they determined the items which they were to later rate as high or low stress items. The in-service teachers eventually rank-ordered nine items and pre-service teachers rank-ordered 14 items. Pre-service teachers indicated they experienced most anxiety with "children not following directions" and in-service teachers experienced most anxiety over lack of time, money, and materials to meet their teaching needs (Sullivan, 1979).

Weiskopf reported on the effects of stress in relation to "burnout" in the helping professions and specifically among teachers of special education. Stressful situations which continue with no relief were considered instrumental in causing burnout. The following stress areas were perceived to be contributors to burnout among special education teachers: work overload, lack of perceived success with the students, amount of direct contact with the exceptional children, responsibility for others (Weiskopf, 1980).

**Summary**

Although three different surveys were used and the geographic regions ranged from Alabama to Chicago to New York state, dealing with children who were disruptive or troubled learners was rated as a high stress item. Talking with parents received a very low stress rating in the Chicago survey, while the others did not mention it. Weiskopf reported that lengthy contact with exceptional children was, in and of itself, a source of stress.

**CHAPTER III**

**METHODS AND PROCEDURES**

Certain students registered for the Fall, 1981, term of Western Kentucky University's (WKU) Extended Campus, Monday night, ED 500 class distributed the TESI to teachers in selected elementary, middle, and high schools in Muhlenberg and Daviess County, Kentucky. The sampling procedure used consisted of the inventories being given to selected teachers at various schools where the class members taught. An effort was made to obtain an approximate 5:4:3 ratio for elementary (K-6) to middle (7-8) to secondary (9-12) teachers, but the actual ratio approximated 5:4:4, or elementary (48); middle (40); secondary (37), for a total of 125 teachers. The total of the respondents was 132. The difference was due to those teachers who work with no specific age level such as band, music, and physical education instructors.

The instrument utilized was the Teaching Events Stress Inventory (TESI) developed by Chichon and Koff (1978). This consisted of 36 items which the teachers were to rate as either low or high stressors on a scale from one (very low) to seven (very high). Teachers were to rate only those items which applied to them at that time; a rate of zero was provided for those items which did not apply to the responding teacher. The 36 items were the same for all teachers regardless of locale, level taught, marital status, or any other variable.

The TESI was either handed to the teachers or put in their school mail boxes. They were then hand collected so a return rate of 100 percent was assured, however, a 100 percent per item response rate was not guaranteed. The collected surveys were coded for locale and submitted to Dr. Ronald Adams for processing by the WKU computers.

Descriptive statistics were obtained for all items by age, sex, and grade level taught. Two different sets of figures were obtained for each area; one employed figures based on a rating from zero to seven (WO), the other used figures based on a rating from one to seven (XO). The zero rating was used only for those items which did not apply to the teacher responding, so the WO statistics reflect the total population surveyed and the XO statistics reflect only those respondents who considered that particular item applicable to them. Also, a Pearson Product Moment Correlation Coefficient was obtained for each item.
The grade level divisions were elementary (K - 6), middle (7 - 8), and secondary (9 - 12). Age level divisions were as follows:

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<tr>
<th>Group</th>
<th>Age Level</th>
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<td>A</td>
<td>22 - 26</td>
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<td>E</td>
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The total number of teachers considered in the age statistics was 128, or four fewer than the total "sample." Of the teachers reporting their ages, 39 were male and 89 were female.

CHAPTER IV

FINDINGS AND DISCUSSION

Table 1 shows the nine items ranked by mean scores as the highest stressors for the total group both with the zero figured in the computations (WO) and without the zero factor figured in the computations (XO). The highest ranking item WO was item 12, "Managing 'disruptive' children", with a $\overline{X}$ of 4.5649. The XO mean for item 12 was computed at 4.6000, with a response rate of 130 out of 132 possible responses. No other item had both a higher mean and a higher rate of response. This would indicate that "managing 'disruptive' children" could be identified as a common major stress factor for teachers involved in this survey. Also in the WO top nine were four other items dealing with exceptional children and the team approach to their education and discipline. These were item 18, "Maintaining self control when angry" ($\overline{X}$ = 3.8636); item 22, "Evaluating student performance or giving grades" ($\overline{X}$ = 3.4318); item 19, "Talking to parents about their child's problems" ($\overline{X}$ = 3.3636); and item 25, "Teaching students who are 'below average' in achievement level" ($\overline{X}$ = 3.3333). The frequency of occurrence of these items (12, 18, 22, 19, and 25) and their relative stressfulness indicate that, for the group of surveyed teachers as a whole, working with children who have difficulty learning (and who can make learning difficult) and their parents was at least moderately stressful. When the XO top nine are considered, then item 12, "Managing 'disruptive' children", is the only target item included.

When the top nine items are rank ordered by mean for grade level
taught (Table 2) again item 12, “Managing ‘disruptive’ children”, is ranked as the highest stressor by both middle and secondary school teachers. Elementary school teachers ranked item 12 second and ranked the “first week of school” as most stressful. Middles and secondary school teachers of the survey group rated “Maintaining self control when angry” as number two and three respectively, while elementary school teachers rated it as only ninth. The elementary school teachers in the survey group, however, rated “Evaluating student performance”, “Talking to parents about their child’s problems”, and “Teaching students who are ‘below average’ on achievement levels” as relatively higher stressors than did either middle or secondary school teachers. When the top nine items were rank ordered by mean and teacher age, Table 3, then item 12, “Managing ‘disruptive’ children”, was number one across the board. “Maintaining self control” was rated as second or third most stressful by all except the 27 to 32 year age group. Those below 27 and above 40 also ranked “Teaching students who are ‘below average’ on achievement levels” and “Evaluating student performance” as relatively more stressful than do those teachers surveyed between the ages of 27 and 39. “Talking with parents about their child’s problems” was rated as relatively less stressful by those teachers who were 33 and above. They were also probably on the average as old as or older than the bulk of their children’s parents. (This is a simplistic and unsupported, but plausible, observation.)

If one regards a mean stress rating of 3.00 (using WO computation) as indicative of at least moderate stress, then six of the nine targeted items could be identified as at least moderately stressful. Item 20, “Dealing with a student whose primary language is not English” (X = 0.667); item 28, “Teaching physically or mentally handicapped students” (X = 1.758); and item 31, “Seeking principal’s intervention in discipline matters” (X = 2.962) ranked below the moderately stressful level. However, when these three items were considered using the XO statistics, items 28 and 31 increased to the moderately stressful level and item 20, “Dealing with a student whose primary language is not English” increased from a mean of 0.667 to a mean of 2.839. The above scores were drawn from a computation of the mean scores of the targeted items (EXC = exceptional children. TA = team approach to evaluation and discipline) by the total group. XO and WO scores were shown for the whole group in Table 4.

The scores listed in Table 5 show the mean by grade level taught using both WO and XO scores. With the exceptions of item 28, “Teaching physically or mentally handicapped students”; item 20 “Dealing with students whose primary language is not English”; and item 31, “Seeking principal’s intervention in a discipline matter”, the items

---

### Table 3

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<th>Item</th>
<th>WO</th>
<th>Relative Rank</th>
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<tbody>
<tr>
<td>1. First week school</td>
<td>2.5</td>
<td>2</td>
</tr>
<tr>
<td>2. Roorg. classroom</td>
<td>4</td>
<td>8</td>
</tr>
<tr>
<td>6. Notif. unsatis. perf.</td>
<td>5</td>
<td>4</td>
</tr>
<tr>
<td>7. Overed. classroom</td>
<td>5.5</td>
<td>3</td>
</tr>
<tr>
<td>12. Mnging disrupt child</td>
<td>1</td>
<td>1</td>
</tr>
<tr>
<td>15. Supervs stud outside of classroom</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>18. Maintain self contr.</td>
<td>2.5</td>
<td>2</td>
</tr>
<tr>
<td>19. Talking to parents abt prob child</td>
<td>7</td>
<td>5</td>
</tr>
<tr>
<td>21. Target verbal abuse by student</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>22. Eval. stud. perf.</td>
<td>8</td>
<td>9</td>
</tr>
<tr>
<td>23. Læk books/supplies</td>
<td>-</td>
<td>9</td>
</tr>
<tr>
<td>25. Below average student</td>
<td>5.5</td>
<td>5</td>
</tr>
<tr>
<td>27. Additional course work for promotion</td>
<td>-</td>
<td>6.5</td>
</tr>
<tr>
<td>29. Disagree 2/supervis.</td>
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</tr>
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<td>30. Teacher parent conf.</td>
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<td>4</td>
</tr>
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<td>31. Seeking principal’s intervention in disc.</td>
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<td>7</td>
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<td>18 Maintaining self control</td>
<td>3.9536</td>
<td>3.9536</td>
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<td>19 Talk to parents @ child’s prob.</td>
<td>3.3636</td>
<td>3.4419</td>
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<td>20 Student language not English</td>
<td>0.6667</td>
<td>2.8387</td>
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<tr>
<td>22 Evaluating student perf.</td>
<td>3.4318</td>
<td>3.5391</td>
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<tr>
<td>25 Below average student</td>
<td>3.3333</td>
<td>3.4375</td>
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<tr>
<td>28 Physically/mentally handicapt</td>
<td>1.7576</td>
<td>3.4118</td>
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<tr>
<td>30 Teacher parent conference</td>
<td>3.1894</td>
<td>3.3413</td>
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<td>31 Principal intervention in disc.</td>
<td>2.9621</td>
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<th>Secondary</th>
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<td>$\bar{X}$ (XO)</td>
<td>$\bar{X}$ (WO)</td>
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<td>12 Managing disrupt. chldrn.</td>
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<td>4.513</td>
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<td>20 Student lang not English</td>
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<td>28 Phys/ment handicapped stud.</td>
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<td>30 Teacher parent conf.</td>
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<td>3.708</td>
<td>3.225</td>
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<td>31 Principal interven. disc.</td>
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### Table 6

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<td>$\bar{X}$ (XO)</td>
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### Discussion

The exhibit little or no change between the WO and the XO scores. This indicates that most of the teachers surveyed at least regard the other items (12, 18, 19, 22, 25, and 30) as events of moderate stressful. Two items dealing with discipline ("Maintaining self control when angry" and "Managing 'disruptive' children") increased in level of stress as the age level taught increased. Items dealing with evaluating students, low functioning children, and parental involvement decreased in level of stress as age level taught increased.

When the mean scores of the items related to exceptional children (EXC) and the team approach to discipline and evaluation of exceptional children (TA) were considered in light of teacher age (Table 6), most of the items tended to decrease in stress level as the teacher age increased. Two exceptions were "Dealing with students whose primary language is not English" and "Teaching physically or mentally handicapped students." Both of these tended to increase in stress level as teacher age increased, although the stress level of "Teaching students who are physically or mentally handicapped" decreased for teachers over 50. It might be worth mentioning here that the needs of exceptional children in education have been stressed in teacher training only in the past 10 to 15 years. In none of the cases were the upward trends clearly marked, but they were indicated by general movement in the "over 33" direction. The items which decreased in stress with an increase in age were those related directly to parental and principal involvement, and they showed a more consistent trend. "Managing 'disruptive' children" and "Maintaining self control when angry" were consistently high stressors across the board.

The correlation scores in Table 7 utilize both WO and XO scores for the nine EXC and TA items and were computed for the total sample. The correlation was accepted as significant if "r" was equal to or greater than a ± 0.2000, and if the level of significance was 0.05 or less. Item 20, "Dealing with students whose primary language is not English" showed almost no correlation to any items (except item 28 for the WO scores and items 18, 19, and 25 for the XO scores); while items 12, "Managing 'disruptive' children"; 19, "Talking to parents about their child's problems", and 25, "Teaching students who are 'below average' in levels of achievement" exhibited moderate to strong positive correlations. Two of the higher correlations occurred with items 19 to 30, "Talking to parents about child's problems" to "Teacher parent conferences"; and with items 12 to 31, "Managing 'disruptive' children" to "Seeking principal's intervention in a discipline matter."
Table 7

Correlations of EXC and TA Related Items
For Total Group of Teachers
WO and XO

<table>
<thead>
<tr>
<th></th>
<th>EXC 12</th>
<th>EXC 18</th>
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<th>EXC 30</th>
<th>EXC 31</th>
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<th>TA 18</th>
<th>TA 19</th>
<th>TA 20</th>
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<td>.4387</td>
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ASSUME A POSITIVE VALUE FOR ALL "r"
Multiple Regression Analysis on Artos Wire Cutting and Stripping Machine
by Roger F. Miller

Rationale

The topic of this paper is a multiple regression analysis on an Artos lineal feed wire cutting and stripping machine. Throughout the paper, the machine will be referred to as "the Artos".

The purpose of the Artos is to cut insulated electrical wire to any desired length and strip the insulation off both ends of the wire so that it may be soldered or have electrical terminals crimped onto it. The Artos has a dial by which the motor speed can be varied from 0 to 9 (minimum to maximum RPM's), and the strip length is adjustable from 3/16 inch on both ends to 1 1/4 inches on both ends. The Artos can accommodate wires ranging in size from 32 AWG (American Wire Gage) to 8 AWG.

The function being estimated is the output of the Artos in pieces of wire cut and stripped per hour. The output is dependent upon the speed at which the Artos' motor is set, the length of the wire to be cut, and the length of the strip on each end of the wire.

As a result of using the regression computer program, an equation of the following form was generated:

\[ \hat{O} = K_1 + K_2M - K_3L - K_4S \]

where:
- \( \hat{O} \) = sample output
- \( K \) = constant
- \( M \) = motor speed setting
- \( L \) = length of wire (in inches)
- \( S \) = strip length

As shown in the equation, motor speed should have a positive effect on output. As the RPM's are increased, the faster the wire will be fed through the Artos, thus increasing output. The length of the wire should have a negative effect on output. The longer the wire, the longer it will take to feed through the Artos, thus decreasing output. Also having a negative effect on output is the strip length. The longer the strip length, the farther the air cylinders that pull the insulation off must travel, and this reduces output.
Data

Other than the gage of wire being cut (this research involves 16 AWG wire only), the Artos has only three variables that affect its output, and these are the three variables used in this research. Since all variables affecting output were included, a model accurate enough by which production standards could be calculated was expected. The model could also be used for capacity planning since the time to complete a given quantity of a given wire could be easily computed.

The data used in this study is shown in Table I. A sample of 25 observations in a time series over a two week period was taken, and the data is representative of the population. In order to quantify the strip length variable, a dummy variable was established based on the following:

<table>
<thead>
<tr>
<th>Strip Length (both ends)</th>
<th>Variable</th>
</tr>
</thead>
<tbody>
<tr>
<td>1/4&quot; x 1/4&quot;</td>
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</tr>
<tr>
<td>1/4&quot; x 3/8&quot;</td>
<td>2</td>
</tr>
<tr>
<td>3/8&quot; x 1/2&quot;</td>
<td>3</td>
</tr>
</tbody>
</table>

Changing from a strip length of 1 to a strip length of 2 has a negative effect on the output. For example, in Table I compare the output in observation 7 with the output in observation 8. However, changing from a strip length of 2 to a strip length of 3 has no effect on output as can be seen by comparing observation 11 with observation 16. Since two of the values for strip length have the same effect on output, the data was re-entered with different dummy variables based on the following:

<table>
<thead>
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<th>Strip Length (both ends)</th>
<th>Variable</th>
</tr>
</thead>
<tbody>
<tr>
<td>1/4&quot; x 1/4&quot;</td>
<td>0</td>
</tr>
<tr>
<td>1/4&quot; x 3/8&quot;</td>
<td>1</td>
</tr>
</tbody>
</table>

The output using the second set of dummy variables generated a model that is more accurate than the model that uses the original dummy variables. This fact is illustrated in Table II. Each set of data was entered into its respective model. The sample output was calculated and then compared to the actual output. The absolute value of the differences between the sample and actual outputs were totaled, and the set of data that minimized this total is the more accurate. The printouts for the first and second sets of data are labeled figure 1 and figure 2 respectively. In terms of R square, F, and correlation coefficients, the two sets of data produce approximately the same results.

Econometric Problems

Referring to the correlation coefficient matrix in figure 2, the degree to which the independent variables are related to one another is very low (.07308 maximum). Also, comparing the values for R square and T ratios, there is no reason to expect any multicollinearity.

Final Model

The final model that more closely approximates the output function is given in figure 2. The equation is as follows:
With an $R^2$ square of .95315, it appears that a large proportion of the variation in output has been explained by the model. This is also evident in the correlation coefficient matrix where the first two variables, motor speed and length of wire, are strongly correlated with the dependent variable, but it definitely has a negative effect on output as was shown in Table I.

### TABLE II

<table>
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</table>

Interpreting the model to find the effect that each variable has on output shows that while holding all variables constant, increasing the motor speed by one increment increases output by 934 pieces per hour. Increasing the length of wire by one inch reduces output by 347 pieces per hour, and changing from a strip length of 0 to 1 reduces output by 164 pieces per hour.

Initially, an overall F test was performed to determine if at least one of the variables affects output. Using an F distribution for an upper tail test, with 3 and 21 degrees of freedom, and testing at the .05 alpha level, the critical value was found to be 3.07. Since the F value in figure 2 is 142.42, and this value is greater than 3.07, the decision was made to accept the hypothesis that at least one of the independent variables has an effect on output. The next step was to perform a hypothesis test on each of the independent variables with the hypothesis set up as follows: $H_0: \beta = 0$ and $H_1: \beta$ is either less than or greater than $0$ dependent upon the sign of the coefficient. In order to do this, a T-ratio had to be found. In figure 2, an F statistic is given for each independent variable, and taking the square root of that number reveals the T-ratio for that variable. Testing for the coefficient of each independent variable on a T-scale with 21 degrees of freedom, and at the .05 alpha level, gives a critical value of 1.721. Variable 1 is an upper tail test since it has a positive effect on output, and the T-ratio for this variable is 16.06. Since 16.06 is greater than 1.721, the hypothesis that motor speed has a positive effect on output is accepted. Variable 2 is a lower tail test since it has a negative effect on output. The T-ratio for this variable is -11.80, and since it is less than -1.721, the hypothesis that length of wire has a negative effect on output is accepted. The T-ratio for variable 3 is -83, and this value is greater than -1.721. The hypothesis test therefore indicates that strip length does not have an effect on output. Although the hypothesis test indicates that strip length does not have an effect on output, the data in Table I proves otherwise, and therefore justifies its presence in the model.

### Conclusion

If the purpose of regression analysis is to fit a line to a series of points on a graph, then it seems reasonable that there will be some points that fall above the line, some below the line, and some directly on the line. Examining Table II, the differences between actual output and sample output 2, the model appears to provide a reasonable estimate of output with the error for this sample ranging from 43 to 753 pieces per hour.

If I were to study the Artos again, I would try to find another variable, in addition to the three used in this study, to help further
explain the variances in output. I would also continue to experiment with the application of dummy variables to qualitative variables since this does have an effect on the accuracy of the model. Another factor which might improve the results, is a larger sample size.

Although I was hoping to come up with a model accurate enough by which production standards could be established, I realize that this model is not practical in a factory where the employees are paid according to how many pieces they produce per hour. However, the model does provide a good estimate for capacity planning. For example, if the schedule calls for 560,000 pieces of a 16 AWG wire - 10 inches in length (L) with a strip length (S) of ½” x ½” - and the Artos can produce this wire at a motor speed (M) of 8, then how many hours will the Artos be tied up producing this order?

\[
O = 3295.772 + 933.9412M - 346.0673L - 163.6404S
= 3295.772 + 933.9412(8) - 346.0673(10) - 163.6404(1)
= 3295.772 + 7471.5296 - 3460.673 - 163.6404
= 7143
\]

The Artos can produce this wire at a rate of 7,143 pieces per hour. Therefore:

\[
\frac{560,000}{7,143} = 78.4
\]

It will take 78.4 hours for the Artos to produce this order.

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**Structuralism**

by Judith Turner

Twentieth century criticism defies a neat summary except in terms of its diversity and by the fact that most of its issues are empirical and technical in nature: the social sciences of psychology, anthropology, and sociology have influenced criticism immensely with their concern with scientific inquiry and method. New Criticism, the post-World War I school of critical theory that typified this modern preoccupation with scientific inquiry of the work itself and its intrinsic value, has led in turn to a new theory, a theory not of content but of process - structuralism. Structuralism represents a major shift in world view from a world of objects to be studied and catalogued to a world of relations between these objects.

Isaiah Smithson in his essay, “Structuralism as a Method of Literary Criticism,” clearly defines structuralism as a system of transformation: a system of interrelated elements and the transformation of these elements within the system.1 Breaking structuralism into four major principles, Smithson says the emphasis is on relations that determine the elements' meaning with a distinction between the synchronic and diachronic nature of the structure; synchronically, the structure exists across time and not, diachronically, as a cause and effect sequence through time (pp. 146-48). Third, Smithson points out that these structures are below the surface and only through the structural method can these relations be found and articulated, making “something visible which was not” (p. 148). Finally, Smithson insists that the structuralist method is universal and can be applied to any field - it can be applied to literature because literature consists of elements of meaning that depend on their system of relations for their meaning and they are built by the mind on an unconscious level (below the surface) conforming to laws that are general but implicit (p. 149). Denying the possibility of defining structuralism in a few words, Howard Gardner in *The Quest for Mind* instead insists on describing structuralism in terms of common themes and approaches among a group of men most influential in establishing structuralism as a school of thought.2 Gardner then spells out the most prominent convictions of the structuralists which also fills out Smithson's definition: “... that there is structure underlying all human behavior and mental functioning, and ... that this structure can be discovered through orderly
analysis, that it has cohesiveness and meaning, and that structures have generality" (p. 10). Borrowing Gardner's idea, it might prove helpful to look at the founding fathers of structuralism and their major contributions to the present form.

While noting that structuralist thinking is not entirely alien nor did it "spring, fully formed with horns and tail, out of the sulphurous Parisian atmosphere of the last decade," Terence Hawkes first describes the subtle influence of Giambattista Vico (1668-1744) who in 1727 published The New Science and was the first to make a clear case for the role of man's creative imagination in the formation of distinct myths and that this creativity comes from within the human mind. In effect, man creates society, and in so doing he constructs himself; Vico called this universal ability for structuring the gift of "sapience poetica," poetic wisdom (pp. 11-15).

Hawkes next picks up the thread of development with the work and ideas of Ferdinand de Saussure (1857-1913) who as a linguist laid the groundwork for most contemporary structuralist thinking (p. 19). Inheriting the world view of objects, Hawkes says Saussure rejected it in favor of the view of language not as an aggregate of words but relational and contended that language must be considered synchronically as a structure because language is valid and complete at any moment apart from history (pp. 19-20). Hawkes sums up Saussure's structuralism as a dichotomy between langue and parole, between form and substance; langue is the abstract language system, and parole is the actual speech (p. 21). For Saussure, the larger structure of langue is that ability of man to concretize social intercourse, and parole is the clue to just what this abstract ability really is (p. 21). Further, Hawkes adds, by focusing on the oppositional mode of language, Saussure stressed that the basic units of language (phonemes) are devoid of structure when isolated and can only be defined by their relation to one another - this reinforces the self-contained nature of language as a structure of modes and not an aggregate of content, "a form and not a substance" (pp. 22-28). Putting this theory in a simple analogy, Gardner says: "Just as, in a chess game, a piece has meaning only in relation to all the other pieces, and any slab of wood so designated can represent that piece, so, in language, a part of speech is defined only in relation to other parts or signs and a concept may be represented by any available sound" (p. 45). Two other important terms for Saussure's linguistics defined in the introduction to Structuralism and Since by the editor, John Sturrock, are "signifier," the acoustic component of a sign, and "signified," the conceptual component; any word in a language is a sign composed of these two aspects which are in practice inseparable but in theory separated by the

linguist in order to understand how language works. Citing the direct influence of Vico's universal myth-making "poetic wisdom" of man and Saussure's structural linguistic method, Hawkes then describes anthropologist Claude Levi-Strauss' analysis of cultural systems (kinship, mythical, and primitive) in terms of the structural relations among their elements (pp. 32-38). Sturrock summarizes Levi-Strauss' adoption of three basic principles from the structuralist tradition to his study of anthropology and the addition of a fourth: first, as language can be studied synchronically, so anthropology should look at culture as an independent system complete in itself; second, as speech is broken down into minimal elements, so culture should be broken down to essentials; third, as language is defined by relational elements, so cultural behavior is defined by relationships; and finally, related structures should be transformations of each other conforming to internal rules (pp. 46-48). In summary, Levi-Strauss believed that, like a gigantic language, cultural systems may be said to consist of elements that are structured unconsciously by the human mind and that there are structural similarities underlying all cultures. Ultimately, an analysis of these relationships reveals an innate and universal human logic.

With the roots of structuralist literary theory and its heritage established, Jean Piaget offers the best formal definition of structure, in his book Structuralism, as an arrangement of entities embodying three fundamental ideas: wholeness, transformation, and self-regulation. (Smithson obviously relied heavily on Piaget for his authority.) Condensing Piaget's definition Hawkes says that wholeness, or internal coherence, means not an aggregate of independent elements but elements whose meaning depends on the structure, that transformation means the structure is not static but always structuring new material that conforms to the laws governing the structure, and that self-regulation means the structure is closed needing no outside confirmation (p. 16). Going one step further, Smithson defines structuralist criticism:

Structuralism as a method of literary criticism is one that attempts to see literature synchronously in order to isolate its structures - which exist "below the surface" - as well as to define the relations and rules of transformation that hold among these structures. In thus revealing the structuring principles of literature, structuralism seeks not only to elucidate the work itself and the structural parallels among various literary works, but also to relate the literary structures to structures existing in the non-literary realm, and to elucidate those related structures in terms
For Smithson, structuralism offers no help in evaluation since it is only a method, but there are other advantages (p. 151). Stressing the universality of structures, Smithson believes structuralism's value lies in its ability to put literature in the larger perspective of the world of existence, and modern critics fail to do this (pp. 156-58). Smithson also asserts that structuralism may not yield a model of the mind, but it brings to the surface ideas only sensed in the unconscious - "the reader's unconscious experience of the work" (p. 159). Piaget concludes that structure is essentially a method that should not be exclusive of other dimensions of investigation and that the search for structures will end in interdisciplinary coordinations; like any new discipline Piaget predicts the objections that arise will result in "those crucial points where new syntheses overtake antitheses" (pp. 137-43).

Noting the positive hopes Smithson and Piaget have for structuralist criticism, it is illuminating to see what others see for the future of structuralism, especially in literary criticism. Robert Scholes in *Structuralism in Literature* concludes that structuralism can be the means to a new ideology of love. While recognizing Piaget's insistence on structuralism as only a methodology, Scholes believes that the world desperately needs the ideology it has to offer, but he leaves the question of whether or not structuralism will succeed open (pp. 197-200). Gardner ends his own investigation of structuralism with the observation that "structuralism is simply an updated version of the scientific credo" (p. 247). Jonathan Culler concludes that the linguistic model of criticism may indicate how to proceed but can do little more; however, it has provided a perspective. Hawkes says the goal of structuralist criticism should be to construct a poetics which stands to literature as linguistics stands to language, thereby, coming closer to an understanding of a fundamental process that defines man (p. 160).

Maria Ruegg in her essay, "The End(s) of French Style: Structuralism and Post-Structuralism in the American Context," says that after some initial distrust in the early 70's structuralism was gradually assimilated into the mainstream of American criticism because it is a valueless system that affords the critic a comfortable niche in an atmosphere increasingly hostile to the New Criticism. Echoing this recognition of a subtle shift in critical thinking, Mary Land surmises that structuralism is an answer to the fragmentation and specialization prominent in the 60's that isolated the artist as the only one left to redeem the excellence of culture; with its search for a common structure among humanity, structuralism removed this elitism of the artistic consciousness and bridged the gap between disciplines.

When these critics are viewed as a whole it becomes apparent that there may indeed be a shift toward a more value oriented system. Few critics have been decidedly negative about structuralism (even the negative tempered their criticism with the brighter side) while most have been wholeheartedly in favor of structuralist thinking - ranging all the way from a restoration of Plato's ideals to a simple rehash of old methods. Apparently criticism is moving away from the New Criticism and its "tabula rasa" as critics and readers realize the incompleteness of an approach focused only on the printed page. The main problem is determining just what a particular critic reads into structuralism and what it in fact can offer. All agree that structuralism is a process, but the disagreement arises over whether this process necessarily leads to the same concrete ideas or whether the direction of this process depends on the individual. With all the stress on universals it is important to recognize that structuralism is universal only in the sense that it attempts to discover how man thinks and not what. Structuralism is not concerned with any abstract ideal and offers no aid in distinguishing between good or bad structuring; it only locates the structure.

Criticism belongs to the field of placing literature in a broader context, and some of the critics have recognized this need (Smithson and Scholes), but is structuralism the answer? Modern literary criticism's heavy borrowing from other fields such as anthropology and sociology leads to the conclusion that the basis and authority for literary judgment lie outside literature. Perhaps the astonishing growth in physical science and discoveries of what only used to be known intuitively and is now proven fact leads to the atrophy of human intuition. Something is surely lost when the creative output of man is put on the dissection table, and no amount of whistling in the dark by the structuralists that their method redeems scientific inquiry and brings it back to the realm of artistic endeavor changes the coldness of their approach and its lack of any yardstick of value. Resistance to this impersonal methodology could remind critics that rational procedures are not enough alone and certainly not a substitute for commitment to an ideal. The best critics still understand that criticism is an exercise of private discrimination and moral and cultural reflection.

**NOTES**

Ancient Cultures and Their War-Gods

by Christopher E. Allen

The nature of Greek, Roman and Norse cultures in ancient times was, in many cases, reflected by the religions or mythologies of those societies. The Greek, Roman and Norse deities had in common the trait of being very human in nature, mirroring the people that created them. Perhaps the most striking example of divinities representing the attitudes of their spawning culture is in the various manifestations of the gods of war. The notably different characteristics assigned by each culture to their war deities illustrate the differing outlook each society had upon this most glorious and gruesome aspect of human society.

The least martial of these three civilizations was that of ancient Greece. The very earliest of Greek civilizations, the Mycenaeans of the Greek Bronze age, were the only truly warlike Greeks. These were the famed Achaean, whose exploits Homer recorded in The Iliad and The Odyssey. The later Greeks of the Classical Age were hardly conquerors; they largely remained in their own polis, or city-state, isolated from the Greeks just down the road — much less the people of foreign lands. Though admittedly inter-polis squabbles were a regular occurrence, and the Athenians in the 5th century B.C. used their valiant resistance in the Persian Wars to forge something of an empire from the post-war Delian League, the Greeks were more interested in the internal society of the polis than in conquest. Even the fame of the Spartan warriors is based more on their rugged, disciplined lifestyle than on their military exploits.

The chief Greek gods of war reflect the lack of emphasis on military campaigns and wars among the Greeks. The martial gods of ancient Greece are Ares, god of war, and Athena, goddess of battle (also wisdom, though that is not germane to this subject). Ares was, simply put, "most hateful of all the gods." In The Iliad, Zeus says to Ares' face:

I hate you more than any other god alive. All you care about is discord and battle and fighting. You are just like your mother with that stubborn insufferable temper. . . .you are my son, after all: but if any other god had begotten such a nuisance, you would
had been down below the heavenly host long ago.\(^5\)

Had the Greeks emphasized war, they certainly would not have molded their war deity in the form of a "hateful nuisance." Rather, the Greeks seemed to have looked on war as murderous and chaotic, the "incarnate curse of mortals," for that is the way they saw their war god.\(^6\)

The distaste with which the Greeks viewed warfare is further emphasized by the train which accompanied the war-god into battle. His sons are there, Terror, Trembling, Panic and Fear; his sister Eris, which means Discord, and her daughter Strife; and Enyo, goddess of war, "ruiner of cities, and a retinue of bloodthirsty demons."\(^7\) When this hoarde moves through the battlefield, "the voice of groaning arises behind them and the earth streams with blood."\(^8\)

These followers represent, each one of them, a particularly grisly aspect of war. Nowhere among Ares' retinue is there a symbol of the more traditionally positive aspects of war, such as heroism, or courage, or glory. This illustrates that the Greek god of war, Ares, reflects the non-belligerent attitudes toward war of the ancient Greek society — embodying the military philosophy of the culture that spawned him.

Athena, however, was among the best loved of the Olympians; the famed Parthenon on the Acropolis in Athens is her shrine. Why should the Greeks ascribe to her rule over battle and combat, if it was so distasteful to them?

The answer is that the Greeks, despite their nonaggressive tendencies, were nonetheless great warriors, particularly in defense, and they thus worshipped with high esteem the goddess of battle skill. Their triumph over Persian invaders at Marathon, in 490 B.C., against perhaps 10-to-1 odds, illustrates the indomitable warrior spirit of the Greeks when aroused.\(^9\)

The difference between what Athena represented to the Greeks and what Ares stood for is as graphic as the difference between good and evil. "Ares was the god of total battle lust and love of killing and fighting, while Athena was the goddess of war and a love of style and battle art."\(^10\) Athena was among the most revered of the Olympians, as her many names and titles indicate: Polias, the protectress of cities; Soteira, the saviour; Hippia, tamer of horses; Ergane, mistress of industry; Parthenos, the virgin; and Mechanitis, the industrious and ingenious one.\(^11\) She represented to the Greeks wisdom, intellect, mastery of cultured skills — and the important skills of battle. The war-chariot and the warship were both attributed as gifts to the Greeks from Pallas Athena, tools to drive on to victory, through which would return peace and prosperity.\(^12\)

She is at once as fearful and as powerful as the storm, and in turn, as gentle and pure as the warmth of the sky when the storm has sunk to rest. . . . the soft, gentle and heavenly side of her character took from her functions as goddess of battle that desire of confused slaughter and massacre which distinguished Ares.\(^13\)

Pallas Athena was one of the most multi-faceted, beloved and openly fascinating of the Olympians; her role as the deity of battle and combat illustrates that the Greeks, non-belligerent as they were, still admired the fine quality of character that trial and conflict could bring about. Though they generally despised war, they still looked up to a fine warrior — an attitude reflected by the ancient Greek gods of war.

The ancient Romans incorporated much of Greek culture into their own, and this extended to religion. The Romans accepted the Twelve Olympians as their gods over a period of time, adapting the Greek deities to suit particular Roman needs. Nowhere is this adaptation more readily visible than in the transition of Ares into the Roman war-god Mars, a god of war who very much suited the military philosophy of the culture that spawned him — or at least adopted him.

The military philosophy of the Roman Empire is illustrated by the very fact that it was an empire — one of the greatest in mankind's history. In the three Punic Wars against Carthage, the Romans were often outwitted, underequipped and occasionally outnumbered — but surrender was never considered; they were fighters, so they just kept fighting until they were victorious.\(^14\) They took this relentless, hard-headed philosophy into the field on great conquests, conquests which led to a massive military empire — *veni vidi vici*, as Julius Caesar wrote (I came, I saw, I conquered).\(^15\) The Romans, then, were great believers in organized warfare, in strategic military campaigns involving great masses — a very different attitude than that of the Greeks, who admired individual prowess but generally opposed organized warfare.

With a culture so radically different, the Romans could hardly have worshipped Ares. If their god of war was to follow the pattern he would have to be a great campaigner, an epic warrior embodying the glorious aspects of armed conflict. The Roman god of war, Mars, evolved these qualities as the Romans molded the Greek Olympians to suit their religious needs.\(^16\)

"The Romans liked Mars better than the Greeks liked Ares. He was never to them the mean whining deity of the *Iliad*, but magnificent in shining armor, redoubtable, invincible."\(^17\) Mars was a warrior's war-
rior, embodying the most admirable qualities of a fighting man. In the Aeneid, Latin warriors consider it an honor to die on Mars' field, the battlefield, rushing proudly to "glorious death...in battle."19

The Romans considered themselves actual offspring of Mars, due to the fact that he was the Marspiter, the father of Romulus and Remus.20 They established an oracle to Mars, to advise them on matters of war; they dedicated a military exercise plain, the "Suovetaurilia," and was also the sight where booty returned from military campaigns was dedicated; and all Roman generals practiced a ritual of asking Mars' protection at his temple before embarking on a military campaign.21 "In Rome, however, with its conquests and pride of military power, he (Mars) enjoyed the highest honor, ranking next to Jupiter as guardian of the state,"22

Thus it becomes apparent that the martial Roman culture, famed for its strict military policies and the epic scope of its organized warfare, developed a god of war which reflected that cultural nature: a powerful, important, and highly admirable god, ranking high in the Olympian hierarchy, and figuring prominently in the daily life of the Roman people, as well. Like Ares and Athena in the Greek culture, Mars is an accurate reflection of the martial policy of the culture that worshipped him.

The culture that created and worshipped the gods of Norse mythology was vastly different from the cultures of ancient Greece and Rome, and so was the military philosophy of that society. Where the Greeks were intellectual and non-belligerent, and the Romans were highly organized, strategic conquerors, the Vikings of the European North were loosely scattered tribes of pirates and raiders, ruggedly independent and guided chiefly by emotion and desire instead of reason.23 There is some evidence now to suggest that the Vikings were far less barbaric than legend would have them; they probably had a fairly widely-used written language, and were skilled artisans in wood and other perishable materials.24 Nevertheless, the chief quality of Norse military policy seems to have been "look out for number one:" warriors fought singly or in raiding parties, but full-scale wars were rare, and lacked much coherent organization. The Vikings were pillagers, not conquerors, in their military policy; each warrior was his own army.

The Norse gods reflect this attitude, perhaps more clearly than do the martial gods of either Greece or Rome. Almost every major Norse deity carries a specially powered weapon, unique to him, and most ride unusual mounts, as well. Odin, for example, the All-Father and ruler of the gods, carries his spear Gungnir, which only he can carry; rides Sleipnir, his eight-legged grey stallion, which only he can ride; and is accompanied into battle by his giant black wolves Freke and Gere and his spying ravens Hugin and Munin.25 All of the Norse deities reflect this militaristic nature: the two gods that are most closely identified with battle, however, are Thor, god of thunder, and Tyr, god of war and law, leader of the Valkyries.26

Thor, while not a patron of war or combat, was the one Norse god who always seemed to be looking for, and finding, a fight. He was well armed for such battle; he wielded the mystic Uru Hammer called Mjollnir, which he could make as large as or as small as he wished, and, when thrown, would hit any target and return to his hand. Only Thor was powerful enough to even lift Mjollnir.27 He wears the magic gauntlet Jarn Griepner, which allows him to handle Mjollnir even when red-hot, and his already formidable strength is heightened by Meginjarder, his girdle.28 Furthermore, his war-chariot Tor-donn (Thunder), which produced thunderclaps as it rolled along, was drawn by Tanngnjostr and Tanngrisni, two goats who could be eaten in the evening and would fully regenerate by morning.29

Thor was a fighter, second only to Odin, his father, in the hierarchy of the Aesir, or Norse gods.30 Thor was hot and hasty of temper; when he rode out to meet the giants, the mountains trembled and the earth burst into flame.31 Thor's greatest battles were against the Hrimthursar and the Berg-risar, the Frost and Fire Giants. Those giants were constantly stealing one or the other of Thor's gadgets, forcing Thor to great lengths to achieve their return — even disguising himself as the goddess of love, Freya, to get his hammer back from the Frost Giant king, Thrym, in one instance.32 When his weapons were recovered, however, the results were invariably the same:

Thrym had at last the curiosity to peep under his bride's veil, but started back in affright, and demanded why Freya's eyeballs glistened with fire. Loki repeated the same excuse (her great desire for Thrym), and the giant was satisfied. He ordered the hammer to be brought in and laid on the maiden's lap. Thereupon, Thor threw off his disguise, grasped his redoubted weapon, and slaughtered Thrym and all of his followers.33

Thor embodied the fighting spirit of the Norwegian tribesmen. His constant battles with the giants came to represent the struggles of the Noresemen against the harsh elements.34 Thor's belligerent, hair-trigger temper and tendency to fight his battles alone was a clear reflection of the martial nature of the individual Norse Vikings who worshipped him.

While Thor, and to a lesser extent all of the Aesir, represented the
individual fighting spirit of the Vikings, Tyr, the god of war, battle and law illustrated the Viking attitude toward actual military activities.

"Men call upon (Tyr) in battle, and he gives them strength and courage and heroism. Therefore Tyr is the true god of war." Tyr figures little in the remaining Norse sagas, primarily because organized warfare was rare among the Germanic tribes that worshipped him. The admiration for, and importance placed upon, such wars by the Vikings is illustrated by Tyr's nature; however, Tyr was the most honorable and trustworthy of the rather unreliable Aesir, and was thus the god of law, as well.

When the dwarves finally forged a cord that could bind the Fenris Wolf, the great monster would only consent to having the cord put upon it if one of the Aesir would place his hand in the Wolf's mouth. Tyr, knowing what was planned, placed his right hand within the jaws without hesitation. When the Fenrir found that it was bound, it bit off Tyr's hand; but it could not escape. By honoring this contract, Tyr became the god of law.

Tyr's greatest function as war god was to oversee the Valkyries so that only the mightiest and most valiant mortal warriors would be brought to serve Odin in Valhalla. This was among the most important functions the Aesir religion provided the warrior Vikings — an admirable immortality in Valhalla for truly great warriors. That they entrusted selection of these ranks to Tyr illustrated the importance and respect they gave battle, and thus to the battle-god.

So respected was Tyr that he may once have been the supreme deity of the Germanic religions. In any case, the plural of Tyr, tivars, came to be the common noun for "gods" in ancient poetic phraseology; many of the war-like functions attributed to Odin under the name Sigtyr apparently were the province of Tyr, in actuality; and to Tyr is dedicated a day of the week, Tyrsdagr, or Tuesday.

Since Odin also had several aspects of a war-deity, Thor was second only to Odin in power, and Tyr's roots indicate the enormous prestige assigned to him, it becomes clear that, of all the major mythologies, the aspect of battle and warfare was most predominant, in all its varying forms, among the Germanic deities known as the Norse Aesir. This is yet another accurate reflection in mythology of the culture of its worshippers, for the various Germanic tribes all lived a rough, strife- and combat-filled existence. Each Viking fought alone, or at best with his fellow tribesmen or raiders, for his survival. Thor reflects this independence and self-reliance. Yet, these warriors recognized the power of organized warfare, and accorded great armies tremendous respect — a respect echoed in the honorable nature of their god of true war, Tyr. On occasions where the tribes did band together for a military conquest or defense, the captains and princes in command were always known by the title "Kinsmen of Tyr." Such operations of true warfare were rare, however; and not surprisingly, Tyr reflects this by having few legends extant concerning his exploits.

Three ancient cultures have left us with substantial evidences of their mythologies. All three were vastly different, and nowhere is this difference more marked than in their philosophies toward armed conflict, philosophies clearly reflected in the natures of their respective gods of war. Classical Greece was an endogamous society, non-imperialist and non-belligerent; Ares, their war-god, manifested only the most foul qualities of combat, being as wholly detestable to the Greeks as was war itself. Like all people, however, the Greeks could not fail to admire the skilled warrior or the valiant hero, when battle forced itself upon them; thus they assigned to Athena, among the most respected and beloved of the Olympians, patronage of the skills and tools of warfare.

The Romans were Empire-builders, supreme practitioners of organized militarism, of martial force as a way of government; Mars, god of war to the Romans, symbolized the glory of military conquest, a powerful and respected, if somewhat colorless, example for the Romans to follow.

The Germanic tribes that created the Norse myths lived in constant conflict: among themselves, the endless institutions they pillaged for survival, even against the harsh environment they lived in. Each and every Viking had to face these obstacles, and the only surely he could count on was the sword or hammer or axe at his side. All of the Aesir gods were touched by this strife-ridden environment, but Thor, greatest warrior of all the Norse gods, best embodied the military realities of the harsh Viking lifestyle, with his many great battles and incredible triumphs — almost always fought alone. The Vikings doubtless respected warfare in all its aspects, however; it provided them with a lifestyle; when organized, it proved awesome effective (and posed a tremendous threat when organized against them); and it provided a primitive sort of immortal heaven (Valhalla) when they died. The respect the Vikings held for armed conflict is echoed by the respect they held for their true god of war, Tyr, in whose trustworthy judgement they placed their final fate.

Obviously, these are very generalized statements about the nature of those three ancient cultures. There were a great many war-mongers in ancient Greece, some of whom figure prominently in the history of
western civilization; undoubtedly, there were just as many pacifists during the height of the Roman Empire; and there were certainly 98-pound weaklings among the brawny Norsemen (though how long a lifespan they enjoyed is subject to question). However, the overall, prevailing attitude toward armed conflict among those ancient cultures is, in each case, distinct.

That military philosophy, in each culture, can be determined from the nature of those beings, those deities, who held sway on the field of battle — martial reflections of the heroic mortal warriors who gave them birth — and who worshipped them in violent, valiant death.

END NOTES

7Gayley, p. 24.
8Hamilton, p. 35.
11Ward, p. 65.
14Chambers, p. 111.
15Chambers, p. 102.
16Hamilton, p. 35.
17Hamilton, p. 35.
18Murray, p. 84.
19Murray, p. 84.
20Murray, p. 84.
21Chambers, p. 190.

LIST OF WORKS CONSULTED

Irving's Diedrich Knickerbocker:
A Man of the Past, Present, and Future
by Debra T. Jones

The widespread popularity of Washington Irving's *A History of New York, from the Beginning of the World to the End of the Dutch Dynasty* had a great deal to do with the manner in which the book was written and presented to the reading public. Diedrich Knickerbocker, the eccentric little historian, must also be given a large amount of credit for the book's success. How did the composition of *A History of New York* come about and what were some of the things that Irving was trying to show in his portrayal of Diedrich Knickerbocker? The search for answers to these questions allows the reader to make many entertaining and interesting discoveries.

After the *History's* publication, a phenomenon occurred which was known as Knickerbockerism. Overnight, Knickerbocker societies and insurance companies were formed; Knickerbocker steamboats; Knickerbocker omnibuses; Knickerbocker bread and ice. Suddenly, it was important socially for those of Dutch descent to be able to say that they were "genuine Knickerbockers." How did the "genuine" Diedrich Knickerbocker come to life?

The initial research for the *History* was begun in 1808 by Washington Irving and his brother, Peter, as a way to have a bit of fun at the expense of a recently published book. Washington and Peter Irving called their work *esta obra.* "Esta obra or "our work" began as a parody of a rather absurdly pretentious little book by Dr. Samuel Latham Mitchell entitled *The Picture of New-York: or The Traveller's Guide through the Commercial Metropolis of the United States.* This little book traced the city's history from the days of the aborigines to the wonders of the present-day civilization, including such marvels as insurance companies and street lights.

Mitchell's *The Picture of New York* opened with solemn and bookish consideration of the aborigines of Manhattan. The Irving brothers planned to investigate a period somewhat earlier by starting with the beginning of the world. This kind of hilarious over-reaching is characteristic of Irving's *Salmagundi,* written earlier, and of much of the mockery contained in *A History of New York.* Obviously, Washington and Peter found the intense seriousness and extreme importance of Mitchell's *Picture* good reasons for mockery.

Burying themselves in the dusty volumes of the New York Historical Society, the Irving brothers gathered voluminous amounts of information with which to compile their book: "we laid all kinds of works under contribution for trite citations, relevant or irrelevant, to give it the proper air of learned research." After several months of gathering data, Peter Irving returned to Europe, leaving his younger brother to pursue the task alone. Washington Irving later explained his actions after his brother's departure. "I now altered the plan of the work. I determined that what had been originally intended as an introductory sketch, should comprise the whole work, and form a comic history of the city" (p. 11). So, what started out as a brief, imitative burlesque changed into a work which demanded a considerable amount of revision before Irving could combine his humor with his accumulation of historical facts.

During the time that Washington Irving was working on *A History of New York,* a terrible personal tragedy occurred. Matilda Hoffman, the young woman Irving had hoped to marry, died of consumption on April 26, 1809. Irving later wrote:

There was a dismal horror continually in my mind that made me fear to be alone — I had often to get up in the night & seek the bedroom of my brother, as if the having of a human being by me would relieve me from the frightful gloom of my own thoughts....

To combat his depression, Irving threw himself into the revising and writing of his *History.*

Twenty-two months elapsed between the inception and the publication of Irving's work. About two months before the actual publication of the *History* in December, 1809, the issue of the *Evening Post* on October 26 contained a personal notice which was to be the beginning of one of the most clever hoaxes in the history of publishing:

DISTRESSING.

Left his lodgings, some time since, and has not since been heard of, a small elderly gentleman, dressed in an old black coat and cocked hat by the name of Knickerbocker. As there are some reasons for believing he is not entirely in his right mind, and as great anxiety is entertained about him, any information concerning him left either at the Columbian Hotel, Mulberry street, or at the office of this paper, will be thankfully received.

P.S. Printers of newspapers would be aiding the cause of humanity in giving an insertion to the above, (p. 15)
In the November 6 issue of the *Evening Post* appeared an answer to the above query:

To the Editor of the *Evening Post*:

Sir,—Having read in your paper of the 26th October last, a paragraph respecting an old gentleman by the name of Knickerbocker, who was missing from his lodgings; if it would be any relief to his friends, or furnish them with any clue to discover where he is, you may inform them that a person answering the description given, was seen by the passengers of the Albany stage, early in the morning, about four or five weeks since, resting himself by the side of the road, a little above King's Bridge. He had in his hand a small bundle tied in a red handkerchief; he appeared to be travelling northward and was very much fatigued and exhausted.

A TRAVELLER. (p. 15)

On November 16, 1809, the *Evening Post* continued the hoax by printing the following:

To the Editor of the *Evening Post*:

Sir,—You have been good enough to publish in your paper a paragraph about Mr. Diedrich Knickerbocker, who was missing so strangely some time since. Nothing satisfactory has been heard of the old gentleman since; but a very curious kind of a written book has been found in his room, in his own handwriting. Now I wish you to notice him, if he is still alive, that if he does not return and pay off his bill for boarding and lodging, I shall have to dispose of his book to satisfy me for the same.

I am, sir, your humble servant,

SETH HANDASIDE,

Landlord of the Independent Columbian Hotel, Mulberry street.

(p. 16)

Readers were attracted by these notices which had the appearance of conveying the truth; however, the facts were that the City Directory listed no Independent Columbian Hotel or Seth Handside. The *Evening Post* printed, on November 28 of the same year, a notice of the upcoming publication of *A History of New York*. Finally, on December 6, 1809, the *American Citizen* printed the final notice:

Is this day published

By INSKEEP & BRADFORD, No. 128 Broadway,

*A HISTORY OF NEW YORK*.

In two volumes, duodecimo. Price Three Dollars.

Containing an account of its discovery and settlement, with its internal policies, manners, customs, wars, &c., under the Dutch government, furnishing many curious and interesting particulars never before published, and which are gathered from various manuscripts and other authenticated sources, the whole being interspersed with philosophical speculations and moral precepts.

This work was found in the chamber of Mr. Diedrich Knickerbocker, the old gentleman whose sudden and mysterious disappearance has been noticed. It is published in order to discharge certain debts he has left behind. (p. 16)

When readers became aware of the truth behind Knickerbocker's *History* is really hard to know. However, when the word did get out, it spread quickly. Diedrich Knickerbocker's *A History of New York* was an instant success. Speculation as to the true identity of Diedrich Knickerbocker began as soon as the book was recognized as a comedy. Within a month or so Irving's authorship was generally known. Not everyone was happy with Irving's *History*. Some of the old Dutch families were outraged by Irving's use of sacred Dutch names — Knickerbocker, Ten Broeck, Verplanck, and so on — and the burlesque fashion in which the bearers of these names conducted themselves. Irving did some apologizing; however, the outrage only served to make the book and its author more popular.

Irving was praised, flattered, admired, and became the most invited guest in social circles. The book that began almost as a joke and later became a way to fight the "dismal horror" of Matilda Hoffman's death was selling everywhere; its reception showered Irving with the writer's dream of fame and fortune. Irving enjoyed his sudden fame, confessing about his work, "It took with the public & gave me celebrity, as an original work was something remarkable & uncommon in America. I was noticed caressed & for a time elated by the popularity I gained." Diedrich Knickerbocker, the little historian, had caused Irving a bit of happiness to have only existed in Irving's imagination.

Knickerbocker's character was hardly new to Irving's imagination. Images of Knickerbocker are seen in the cranky old commentator Jonathan Oldstyle and the main character in "The Little Man in
Knickerbocker is a fine old monomaniac totally dedicated to his task of enshrining New York in the annals of history. Because of his fascination with the past and his desire to live in it, Knickerbocker has no real present. He gives expression to his desire by keeping his room "always covered with scraps of paper and old mousy books" (p. 18). In his History, Knickerbocker is fond of starting sentences with phrases such as "In those happy days" (p. 167), "In those good days" (p. 167), or "In those times" (p. 161). His dissatisfaction with the present is made evident by his belief that everything was somehow better in the past. There was "simplicity and sunshine" (p. 167) for the "well-regulated family" who "always rose with dawn, dined at eleven, and went to bed at sunset" (p. 169). Knickerbocker calls the present in which he lives an "age of skepticism" (p. 59) and even "a degenerate age, abandoned to the buffettings of fortune" (p. 146). He calls himself "a stranger and weary pilgrim" living in his "native land" (p. 146).

Irving's little historian uses the past as an escape from time and change. His idea of bliss is Communipaw, "a small village pleasantly situated among rural scenery" on the New Jersey shore across the Hudson from New York. Communipaw, even more than Sleepy Hollow, is a village that history has left behind. "As to the honest dutch burghers...like wise men...they never look beyond their pipes, nor trouble their heads about any affairs out of their immediate neighborhood; so that they live in profound and enviable ignorance of all the troubles, anxieties, and revolutions of this distracted planet" (pp. 98-99). On the whole, Knickerbocker believes that New Amsterdam was essentially like Communipaw from its founding to the Golden Age of Wouter Van Twiller. Unfortunately, they had the misfortune of developing complicated social and political institutions which transformed Knickerbocker's ideal past into his terrible present.

Though pessimism concerning the present is evident in his History, Knickerbocker is not always so depressing in his views. In fact, humor is the major component of his History, a humor which is almost Rabelaisian at times. The Dutch ships, Knickerbocker says, were built to honor the bells of Amsterdam — "full in the bows, with a pair of enormous cat-heads, a copper bottom, and withal a most prodigious poop" (p. 95).

Another amusing aspect of Knickerbocker's character is his pretense of complete accuracy in his History. He claims to have written "the only Authentic History of the Times that ever will be Published." Continuing, he says:

But the chief merit on which I value myself, and found my hopes for future regard, is that faithful veracity with which I have compiled this invaluable little work; carefully winnowing away the chaff of hypothesis, and discarding the tares of fable, which are too apt to spring up and choke the seeds of truth and wholesome knowledge. (p. 32)

There is much irony in this statement and in his eagerness to save the early history of New York from "entering into the widespread, insatiable maw of oblivion" (p. 34). He proves that he is far from the impartial, objective historian. His exaggerated fears about losing the past expose in the very beginning of the History his tendency to overestimate his importance. Longing for greatness, but frightened by the responsibilities that greatness entails, he would have a civilized society but shrinks from the conflicts through which decent institutions are established and maintained.

Obviously, Knickerbocker is eccentric but some critics seem to feel that he is a little insane. He may possibly be; however, he is still quite capable of serious insight and reflection, sometimes in the midst of his most serious shortcomings. For instance, he bases the European claims to Indian territories on the "RIGHT BY GUNPOWDER" and the "RIGHT BY EXTERMINATION" (p. 75).

Knickerbocker will often contradict himself within a page or move back and forth in time at will. He constantly digresses for pages but is self conscious and, therefore, aware of many of his shortcomings (this is another proof that he is relatively sane). At one point in the book, he describes himself as a "sentimental" (p. 145) historian and explains his digressions as "pleasing episodes which, like flowery banks and fragrant bowers, beset the dusty road of the historian and entice him to turn aside, and refresh himself" (p. 31).

As a "modern historian" Knickerbocker wishes he were not "doomed
irrevocably to... dull matter of fact." (p. 33). So, instead he claims to be an artist-historian and later in the book readily admits to having introduced a fictitious storm into one of his chapters. He reasoned that the storm would "give a little bustle and life to this tranquil part of my work, and... keep my drowsy readers from falling asleep." (p. 192).

An artist-historian is probably the best title that Diedrich Knickerbocker could give to himself. Though many of the facts in the History are accurate, the main purpose of the book is to provide amusement. A History of New York is an enjoy-while-you-learn history. Walter Scott said of the History: "I have never read anything so closely resembling the style (sic) of Dean Swift as the annals of Diedrich Knickerbocker. I have been employed these few evenings in reading them aloud to Mrs. S. and... our sides have been absolutely tense with laughing."25

There is a good possibility that one reading the History today would not be quite as amused as Mr and Mrs. Scott were, simply because persons living in the early nineteenth century would have better understood the satire involved; however, readers of today can still relate to many of Diedrich Knickerbocker's feelings. Almost everyone has at one time or another longed for what seems to have been the simplicity of the past. To most people, as to Knickerbocker, the present is a time of degeneracy and little compassion. Unfortunately, most people, like Knickerbocker, have a tendency to idealize the past, glossing over the undesirable and greatly illuminating the good. This aspect of human nature is typical and will continue as long as there is someone whose yesterday was more pleasant than today.

Notes

5. Mary W. Bowden, "Diedrich Knickerbocker's History and the 'Enlightened' Men of New York City," American Literature, 47 (1975), 160.
7. Johnston, p. 103.
Dorothy Leigh Sayers: Detective of Literary Theory in The Mind of the Maker
by Elizabeth Downing

Sherlock Holmes, Jane Marple, Ellery Queen, Hercule Poirot, Auguste Dupin, and Lord Peter Wimsey: all names which rouse sleepy reminiscences of bleak afternoons spent searching the seldom probed nooks and crannies of the mind in an attempt to find that elusive last piece of the puzzle that seems to come so easily to these logical detectives. They are all names of famous detectives who have perplexed and entertained readers for years; and all characters born, christened, and of the stories in which he found his niche as a detective. is several books. In short, the intricacies of the eternal mystery replaced the ever-soluble mysteries of the detective in their hierarchical importance. The Mind of the Maker.

This mind, quite obviously sharpened to a fine edge as a result of her years of working in a genre which R. Austin Freeman describes as finding its motivation in the desire to logically dissect “intricate mysteries,” was naturally led, if only by very human curiosity, to launch into the question that has mystified theologians and artists alike since time began: what is the relationship between the mind of the divine Maker and the mind of the human maker? Sayers attacks this mystery as she would have Lord Peter solve the perfect crime; she presents the problem lucidly, offers her solution, and applies her theory in a practical way, leaving no stone unturned and no crevice overlooked. Her result is a theory of the creative mind and its critical application to literature in The Mind of the Maker.

It is not unusual that Sayers turned to religion as a medium in which to work, although it does seem odd that she waited the extensive number of years that she did when the facts of her upbringing are considered. According to Ralph E. Hone, Henry Sayers (Dorothy's father) began his religious career as headmaster of St. Michael's College, Tenbury; progressed to chaplain of Christ Church; and spent the final two decades of his life as rector of parish church of Blunts-ham cum Earlsh. Mr. Sayers's great love was music, yet he realized the weighty importance of offering his only child a well-rounded classical education. Dorothy adhered readily to her father's wishes, learning Latin at the tender age of five, and displaying her inheritance of her father's musical appreciation as late in her life as 1934 when, in the foreword to her novel The Nine Tailors, she wrote "From time to time complaints are made about the ringing of church bells. It seems strange that a generation which tolerates the uproar of the internal combustion engine and the wailing of the jazz band should be so sensitive to the one loud noise that is made to the glory of God" (Hone, p. 67). Hints of prophecy glitter in this statement, since echoes of the same sentiments are heard frequently today.

Sayers did not deliberately avoid theological writing; indeed, she drifted quite unintentionally into the penning of detective novels at a time when she found herself enmeshed in trying financial straits, and later continued these endeavors in an effort to please the reading public. She felt that these mysteries served a significant purpose in the life of a reader, because, as she stated in an interview with Church Times:

Life is often a hopeless muddle, to the meaning of which [people] can have no clue; and it is a great relief to get away from it for a time into a world where they can exercise their wits over a neat problem, in the assurance that there is only one answer, and that answer a satisfying one.

Indications of one of the motivations for the writing of The Mind of the Maker have their roots in statements like this; however her religious impetuses evolved slowly and subtly over a period of years. One of the first signs that Sayers felt that there was a deeper meaning for her life and for the lives of her readers in the mystery story appeared in her essay "The Omnibus of Crime": “These mysteries made only to be solved, these horrors which [we know] to be mere figments of the creative brain, comfort [us] by subtly persuading that life is a mystery which death will solve, and whose horrors will pass away as a tale that is told.” In 1938, the importance of religion in Sayers's life became manifest when she — having been asked to write a Sunday Times editorial on “The Greatest Drama Ever Staged” — avoided the obvious world of the stage and surged instead into an explanation of the dogmatic principles of Christianity. She enthusiastically related “the plot of the incarnation, crucifixion, and resurrection...,” and found herself submerged in a mystery that has baffled the greatest minds in
history; the mystery of the significance of God in the human life (Hone, p. 92). This innovation in her life and her creative endeavors was to become a permanent aspect of her work, always associated with the name of Dorothy L. Sayers.

Perhaps Sayers's greatest statement of her faith is in The Mind of the Maker, where she makes it clear that she believes in an unalterable bond between not only the minds of God and man, but between the realities of their existence (Hone, p. 94). This faith, and the faith she instilled in others through her work, was admittedly based on the Creeds, the Gospels, and the offices of the Church. Sayers clearly states in her Preface, however, that "... I have expressed no personal opinion about... theological truth or otherwise; I am not writing 'as a Christian,' but as a professional writer." She sets out to prove that the Creeds are eternal truths in application to human experience and the creative mind, therefore establishing a relationship between the "trinity" of the human creative mind and the Trinity of God.

Sayers first attempts to distinguish between natural laws and opinions, reaching the conclusion that the natural law is the universal moral law of the Christian Church and this can only be understood by actual experience. She claims that the basis for comprehending all doctrine is the ability to distinguish between natural law that can be experienced, which becomes Christian fact for Sayers, and opinion. Since it is impossible to directly experience God or His mind, Sayers points out the necessity of thinking analogically, noting that man must always think of everything in terms of his own experience, having no other standard to measure by. She begins her analogy of the creative mind and the divine Mind by stating that human lives are spent in creation, and although we cannot create out of nothing as God created the world from nothing, we rearrange matter into unique patterns, therefore creating; and the artist is the man who has this ability over and above other men.

What Sayers considers the artist's or writer's trinity is what appears in the concluding speech of St. Michael in her play The Zeal of Thy House:

For every work (or act) of creation is threefold, an earthly trinity to match the heavenly.

First, (not in time, but merely in order of enumeration) there is the Creative Idea, passionless, timeless, beholding the whole work complete at once, the end in the beginning; and this is the image of the Father.

Second, there is the Creative Energy (or Activity) begotten of that idea, working in time from the beginning to the end, with sweat and passion, being incarnate in the bonds of matter: and this is the image of the Word.

Third, there is the Creative Power, the meaning of the work and its response in the lively soul: and this is the image of the indwelling Spirit.

And these three are one, each equally in itself the whole work, whereof none can exist without other; and this is the image of the Trinity.

(Sayers, p. 47)

The Idea, or the Father, is the writer's realization of his idea, but it manifests itself through the Energy or Activity or Son. In other words, the Idea cannot exist without its formulating Energy, and the Energy which creates the book in its physical form is dependent on the timeless and transcendent Idea. In analogy, the Father cannot be experienced without the realization that He was manifested in the body of Christ, and Christ cannot exist without the immanence and transcendence of God. As to the Power, it is the meaning conveyed to the reader, and the response it evokes from him. This response to the work is forever with the reader, just as the Holy Spirit is the proof of the eternal power of God. The Power acting within the mind of the reader creates a new trinity: the reader's Idea of the work, his Energy in formulating and expressing it, and the Power he instills in yet another. So the writer's trinity is eternal, even as the Holy Trinity.

Sayers then discusses the writer's creation of characters, saying that characters are in direct correspondence with varying parts of the writer's personality. In other words, the personality of a character is the total domination of that character by one specific aspect of the writer's personality. If this character becomes merely a spokesperson for the beliefs and opinions of his creator, he no longer lives within the work, and the work in turn loses its Power; thus the writer must allow his Energy to manifest itself equally in all his characters in order to retain the Power of the work. Free will is an essential element of the creatures in a work, for the development of and diversity within the characters is the one component that gives them life. Characters must be allowed to develop according to their nature; if forced to conform against their nature, they become either mechanical and lifeless, or are destroyed completely. The perfection of the unity of the work results in characters and plot naturally conforming to each other.

Sayers turns next to the genre of autobiography. The autobiographer's Idea is his own full personality; his Energy relies on his awareness of his personality and manifests itself in a material form, or Power. The autobiography, like all other forms of literature, must not only conform to the limitations of the medium, but must work lovingly
while those limits, as all successful creations do.

While Sayers deals with several theories of evil, she discards them all, claiming the irrelevance of a definitive evil, but the necessity of its acceptance by the writer as an inescapable element of nature and therefore of his medium. For Sayers, artistic evil is equivalent to artistic wrongness. She nevertheless proceeds to give a theory of Good and Evil which corresponds to Being and Non-Being. If Evil is an element of Non-Being, it relies on the reality of Good or Being; and the Good or Being automatically creates Evil or Non-Being merely by its existence. The creative will is capable of willing Non-Being into Being, producing a positive Evil rather than a negative Evil. Again, Evil is related to artistic wrongness, as Sayers describes the necessity of choosing the right word, making all other words not chosen wrong. A bad work is the result of a Fall or disharmony between will and Idea.

The power of words and passages is a very important concept to Sayers. Words possess the ability to successfully convey the Power of the work; passages, when correctly formed, have an associative capacity. They force the reader to recall past passages and experiences. The goal of this type of passage, however, is to form a new viewpoint, through which the Power can work and through which former associations of beauty and feeling stream.

Sayers feels that an artist's imperfections are reflections of imperfections in his trinity, and she calls these imbalances scalene trinities. The writer she terms as "father-ridden" is the writer who believes the Idea can be related without substantial Energy and with no consideration of the resulting lack of Power: the "son-ridden" writer relies almost solely on style and mechanics, smothering the Idea by attempting to force the Power into an un receptive mind; and finally, the "ghost-ridden" is the writer who feels that his Power, so deeply felt within himself, will communicate itself through a nebulous Idea and a lack of Energy. Conversely, a lack of Idea or the father results in wandering or contradictory plots, and bland, tasteless messages; the writer without the son or Energy becomes frustrated and insipid, and these qualities are manifested in poor form and grammar; and the unhosted or Powerless writer is the "unliterary writer," with little inspiration and still less craftsmanship.

All of this, according to Sayers, is of use to the common man as a learning experience. As the artist loves his work and lives within it happily, so must every man sacrifice the idea of mastery in favor of the concept of cooperation. Life must be viewed, not as a soluble problem, but as a creative medium, where the facts are manipulated and reconstructed to form a new creature. Finally, Sayers says that if life must be viewed as a series of problems, the problems must merely be restated in terms of an available solution. In other words, "The artist is not concerned in solving problems but in fashioning a synthesis which includes the whole dialectics of the situation" (Sayers, p. 194). Her final observation revolves around her belief that the desire to see the goodness in a work is the primary motivation in the creation of that work.

If all of this is understood, perhaps it would be beneficial to look at certain aspects of this theory as applicable specifically to literary criticism. Although considered by some a Neoplatonic critic, Sayers nevertheless displays basic Aristotelian influences. Just as Aristotle felt that the eternal was derived from the process of art, Sayers states that "...the activity of writing the book — is a process in space and time..." and "...[the Energy is] the sum and process of all the activity which brings the book into temporal and spatial existence" (Sayers, p. 49). Likewise, Aristotle's emphasis on unified plot is reinforced by Sayers's belief that "Our knowledge of how the whole thing 'hangs together' gives us a deeper understanding and a better judgement of each part..." (Sayers, p. 116). In yet another startlingly Aristotelian passage, Sayers discusses the necessity of propriety, verisimilitude, consistency, and goodness of character (although not in Aristotle's words), the importance of cause and effect (consequence) relationships, and the reliance of unity on plot:

The humanistic and sensitive author may prefer to take the course of sticking to his characters and altering the plot to suit their development. This will result in a less violent shock to the reader's sense of reality, but also in an alarming incoherence of structure... causes will be left without consequences, or with irrational consequences; the balance of the unity will be upset... At the worst, the theme (or bodily shape of the idea) will disappear along with the plot.

(Sayers, p. 75)

As still further evidence of Aristotle's influence on Sayers's concept of character, she states "...another forcible deformation of natural character occurs when the author has allowed a character to develop along its natural lines without noticing that it has grown right away from the part it is called on to play in the plot" (Sayers, p. 74). Aristotle, in his Poetics, describes the perfect character as one who serves a good purpose in the plot, is appropriate in characterization, is true to his type of character, and is consistent; therefore, both he and Sayers are advocating the same perfect character type. One final point at which Sayers agrees with Aristotle is that of miracle or the use of the Deus ex Machina (gods). Sayers finds it undesirable for "...the judgement of
natural law...to be abrogated by some power extraneous to the persons and circumstances" (Sayers, p. 82); while Aristotle writes "...the unravelling of the plot...must arise out of the plot itself, it must not be brought about by the Deus ex Machina..." (Aristotle, p. 28).

Sayers's influences were not limited to Aristotle or Plato; indeed, she was well versed in Church history, and several statements by Church fathers can be presented as defenses of her work. For example, St. Thomas Aquinas writes "God's knowledge stands to all created things as the artist's to his products."8 St. Hilary writes "Eternity is in the Father, form in the Image, and use in the Gift" (Sayers, p. 50). And St. Augustine writes "...because the image of the Trinity was made in man, that in this way man should be the image of the one true God" (Sayers, p. 43). Augustine developed his own theory of the Trinity, which includes memory, understanding, and will.9 While all of these are fine and useful examples of theories and postulates which could possibly have influenced Sayers's writings, her major source was undoubtedly the Bible. God created from an Idea, for without the Idea He could have formed nothing; God's Energy of creation was the giving of a word ("And God said, Let there be..."); and God conveyed the Power of His Idea and Energy through love of the creation.10

Obviously, Sayers had at her disposal many sources and influences that have not been discussed; however what is basic in her theory is her faith in the Trinity and in God as the Creator. When viewed as a purely literary critical theory, The Mind of the Maker is easily applicable to most works of literature as a technical standard (as demonstrated by Sayers's own use of examples); however, Sayers ignores the issue of the teaching of art. It can be inferred from the work that she is a hearty proponent of didacticism in literature, and is offering her testimony of the moral value of art through her chosen medium.

Although Sayers once said "The worse you express yourself these days the more profound people think you..." she refused to lower her standards to accommodate the majority, and often unthinking, segment of society (Hone, p. 50). Her mind functioned on a level that reveals her high ideals and her work reveals a similar need to express those ideals to others.11 Even as the detective story Sayers is so well-known for is, in essence, a purely analytical experience, peering into deep recesses for answers to the unanswerable, so is The Mind of the Maker a bit of detection into the mystery of the Divine; the final piece in the unfinished puzzle of creation.

NOTES

11 Sayers relied heavily on the Athanasian Creed both for defense of and contradictory arguments relating to her position: (written here as it appears in the Lutheran liturgy)

Whoever will be saved, before all things it is necessary that he hold the catholic (i.e., universal, Christian) faith.

Which faith except every one do keep whole and undefiled, without doubt shall perish everlastingly.

*And the catholic faith is this, that we worship one God in Trinity and Trinity in Unity.

*Neither confounding the Persons nor dividing the Substance.

*For there is one Person of the Father, another of the Son, and another of the Holy Ghost.

*But the Godhead of the Father, of the Son, and of the Holy Ghost is all one: the glory equal, the majesty coeternal.

Such as the Father is, such is the Son, and such is the Holy Ghost.

The Father uncreate, the Son uncreate, and the Holy Ghost uncreate.

The Father incomprehensible, the Son incomprehensible, and the Holy Ghost incomprehensible.

The Father eternal, the Son eternal, and the Holy Ghost eternal.

+ As there are not three Uncreated nor three Incomprehensibles, but one Uncreated and one Incomprehensible.

+ So likewise the Father is almighty, the Son almighty, and the Holy Ghost almighty.

+ And yet they are not three Almighties, but one Almighty.

+ So the Father is God, the Son is God, and the Holy Ghost is God.

+ And yet they are not three Gods, but one God.

+ So likewise the Father is Lord, the Son Lord, and the Holy Ghost Lord.

+ And yet they are not three Lords, but one Lord.

For like as we are compelled by the Christian verity to acknowledge every Person by Himself to be God and Lord.

So we are forbidden by the catholic religion to say, There be three Gods or three Lords.

*The Father is made of none, neither created nor begotten.

*The Son is of the Father alone, not made nor created, but begotten.

*The Holy Ghost is of the Father and of the Son, neither made nor created nor begotten, but proceeding.
So there is one Father, not three Fathers: one Son, not three Sons: One Holy Ghost, not three Holy Ghosts.

And in this Trinity none is before or after other; none is greater or less than another;

*But the whole three Persons are co-eternal together and coequal, so that in all things, as is aforesaid, the Unity in Trinity and the Trinity in Unity is to be worshipped.

He therefore, that will be saved must think thus of the Trinity.

Furthermore, it is necessary to everlasting salvation that he also believes faithfully the incarnation of our Lord Jesus Christ.

For the right faith is that we believe and confess that our Lord Jesus Christ, the Son of God, is God and Man;

God of the Substance of the Father, begotten before the worlds; and Man of the substance of His mother, born in the world;

Perfect God and perfect Man, of a reasonable soul and human flesh subsisting.

Equal to the Father as touching His Godhead and inferior to the Father as touching His manhood;

Who, although he be God and Man, yet He is not two, but one Christ:

One, not by conversion of the Godhead into flesh, but by taking the manhood into God;

One altogether; not by confusion of Substance, but by unity of Person.

For as the reasonable soul and flesh is one man, so God and Man is one Christ;

Who suffered for our salvation; descended into hell; rose again the third day from the dead;

He ascended into heaven; He sitteth on the right hand of the Father, God Almighty; from whence He shall come to judge the quick and the dead.

At whose coming all men shall rise again with their bodies and shall give an account of their own works.

And they that have done good shall go into life everlasting; and they that have done evil, into everlasting fire.

This is the catholic faith: which except a man believe faithfully and firmly, he cannot be saved.

Essential passages for Sayers.

*Sayers felt these passages were an insult to the discerning mind.

*Cleveland: The World Publishing Co., 1941, p. 15.

*As to Sayers's Neoplatonic influences, she believes, as manifested in The Mind of the Maker, that the heavenly One is reflected in the earthly one; or the Mind of God is reflected in the mind of the artist. She also holds to their belief that oneness or unity conquers matter into form and being. Sayers was also a follower of Augustine who based many beliefs on the Neoplatonic ideas of Plotinus.

*Bibliography


