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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.
PREFACE

As the Student Honors Bulletin continues its task of giving Western students an opportunity to publish their scholarly research and writing, it involves more and more schools and departments. The 1986-87 edition brings attention to work done in all four of Western's colleges and papers from eight departments.

It is refreshing to know that even in the day of large lecture classes and computer-graded examinations, professors are still encouraging personal research and writing. It is probable that by exposing such work in this form we can expect more such effort in the future.

Professors and students are invited to submit papers by May 1, 1987 for the 1987-88 edition of the Bulletin. Papers may be of any length, on any subject, and written in accord with any of the accepted standard forms.

James T. Baker, Director
University Honors Program
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15. "Is Creativity Teachable?" by Jewel Jackson presented to Dorine Geeslin, Teacher Education 503.


SIMMS'S FRONTIER CHARACTERS

Joan Flora

Nineteenth-century historical romancer William Gilmore Simms (1806-1870) is perhaps forever destined to fall short in the inevitable comparisons with the acknowledged master of frontier fiction, James Fenimore Cooper. Since both men dealt with the now-familiar themes of early American literature—men of heroic proportions pitted against a hostile native population in an unfriendly environment, events of national significance enacted in microcosm in the wilderness setting, and stories of pure, eternal love—comparison comes easily to literary critics. Unfortunately, much of this criticism is based on incomplete knowledge of Simms and his work. Tradition, it seems has dictated a lack of publication of his many novels and a disdain of the few in print. This is not only a disservice to a fine writer but also a disservice to the modern reader and critic. Much of what Simms wrote is of literary value, is, in fact, equal to the works of Cooper. Although Simms wrote poetry, histories, literary criticism, and editorials for The Tablet or Southern Monthly Literary Gazette and, later, for The City Gazette (which he also co-published), it is with his historical romances that today's reader and critic is most concerned. Simms's novels prove to be equally as fascinating and rewarding as those of Cooper. One aspect (among several) of Simms's romances especially worthy of critical examination is his depiction of the frontier character in its many manifestations. Colorful and diverse, his characters make long, dry historical passages or contrived eleventh-hour rescues palatable. Among the character types represented in Simms's novels are the expected—heroic officers, nasty villains, naïve heroines, and almost every other type found in Gothic literature—but also the unexpected—heroes who do not fit into the Gothic mold, ladies who are as brave and intelligent as their men, and protagonists who are not necessarily high-born white men. Perusal of just a few of the novels in Simms's two great American history series, the "Colonial Romances" and the "Border Romances," reveals many quite distinct and memorable characters. The same can be said for the shorter works collected in Wigwam and the Cabin (1845), which contains many stories of surprising depth and character development.

Simms's heroes may be the least interesting character group in all his fiction. Simms frankly followed the ways of the writer C. Hugh Holman called "the Scotch master," Sir Walter Scott. As Holman stated in his Introduction to Simms's Views and Reviews In American Literature, History and Fiction, "Sir Walter Scott was for Simms ... a master and a mentor...[He] echoes Scott's formulas and strictures again and again ..." Unfortunately, this severely limited the depth and dimensions of his single most important characters; they tend to be noble, brave, handsome devices, too stiff and mechanical to carry either the reader's interest or sympathy. The lofty and pretentious dialogue which Simms wrote for them does nothing to mitigate this fault.

Simms's other literary model, James Fenimore Cooper, did not provide an adequate high-born hero with a common touch for Simms to emulate. Although the true protagonist of the "Leatherstocking Tales" is Natty Bumppo (under his various sobriquets), Simms saw fit, apparently, to copy merely what were Cooper's secondary (and much less interesting) "gentlemenly" characters. Such characters invariably remind the reader of certain "rules" which, according to Twain's "Fenimore Cooper's Literary Offenses," were violated flagrantly by Cooper. Among Twain's rules which apply very well to both Cooper and Simms are those pertaining to dialogue and depiction of characters:

5. [The rules] require that when the personages of a tale deal in conversation, the talk shall sound like human talk, and be talk such as human beings would be likely to talk in the given circumstances, and have a discoverable meaning, also a discoverable purpose, and a show of relevancy, and remain in the neighborhood of the subject at hand, and be interesting to the reader, and help out the tale, and stop when the people cannot think of anything more to say.***

Or "Rule Number 10":

10. They require that the author shall make the reader feel a deep interest in the personages of his tale and in their fate; and that he shall make the reader love the good people in the tale and hate the bad ones. But the reader of the Deerslayer tale dislikes the good people in it, is indifferent to the others, and wishes they would all get drowned together."

While Twain went slightly overboard in his essay for satiric effect, he is, unfortunately, not far from the truth. Simms, in emulating Cooper, carried weaknesses as well as strengths. According to Holman, this time in an article entitled "The Influence of Scott and Cooper on Simms," "... Simms's greatest weaknesses are in those places where he is least like Cooper [emphasis mine]. Had he imitated the Northern novelist in shifting interest away from the aristocratic lovers to more robust central figures, the individual books would have had far greater unity and interest." Again, Holman is correct in his assessment, and an examination of several of Simm's heroes undoubtedly supports this.
The hero of Simms's best-known work, one part of the "Colonial Romances" series, readily falls into the Gothic-hero pattern described above. Charles Craven (or "Gabriel Harrison" as he is known throughout most of the book) of The Yemassee (1835) was historically the Governor of South Carolina during an Indian revolt, "The Yemassee War," during the first decade of the eighteenth century. Craven is perhaps the perfect aristocratic hero, but he is also the weak central figure in a powerful story. Craven walks through the novel, appearing in the right places, disappearing for tete-a-tetes with the insipid heroine, and generally annoying the reader with his lofty dialogue and painfully stalwart demeanor. Simms's description alone is enough to warn the reader of the character which will emerge: "The stranger was about thirty years old, with a rich European complexion, a light blue eye, and features moulded finely, so as to combine manliness with as much of beauty as might well comport with it." It is Craven's manner, however, which forever dispels the possibility of empathy between reader and character. A typical exchange might be the following in which Craven, or Harrison, meets an adversary in single combat:

Harrison grappled his assailant, and struggled with powerful limbs, in his embrace, crying out, as he did so:

"Ha! why is this? Who art thou? Would'st thou murder me, ruffian?"

"Ay! murder is the word! Murder! I would have thy blood. I would drink thy blood!"

Such was the answer of the madman, and the knife flashed in his grasp.

"Horrible! but thou wilt fight for it, murderer," was the reply of Harrison; while, struggling with prodigious effort, though at great disadvantage from the closely pressing form of Grayson, whose knee was upon his breast, he strove with one hand, at the same moment to free his own knife from its place in his bosom, while aiming to ward off with the other hand the stroke of his enemy.

"Thou hast erred, stranger. I am not he thou sekest."

"Thou liest," was the grim response of Grayson.

Reasoning fails with the "madman," and it is only a sudden and unlikely change in the assailant's mood which saves Harrison's life. The above scene illustrates several important points about Simms's style and characterization. In the first place, Simms's heroes tend to speak in a pseudo-Shakespearian manner during periods of great stress or emotion (a point taken up at greater length below). In the second place, it is obvious that the phrase "eleventh-hour rescue" could have been coined just for Simms. His heroes sometimes fight their way out of situations, but quite frequently they are miraculously saved. A third, less-obvious point concerns Simms's action sequences. On the whole, they are not action-filled. The elements are present which could summon up vivid images in the reader's mind, but the prose which could unite the elements is usually lacking. Simms at his best excels, as in Chapter XX, which could be called "Bess Meets a Rattlesnake," but even this chapter is memorable not so much for character or action as for Simms's near-prophetic tone and surprisingly effective imagery.

One other point must be made about Gabriel Harrison in particular and Simms's heroes in general. As mentioned above, Simms's characters—his heroes—speak in a rather stilted fashion when under the influence of deep emotion. Such words as "thou," "wilt," "thee," and "hast" and awkward phrases and phrasing creep into the hero's dialogue and distract the reader. Surprisingly, deep emotion does not come across during the love scenes, and, therefore, few "thees" and "thous" are present.

This is especially true of the first volume of Simms's "Border Romance" series, The Partisan (1835). The title character in this American Revolutionary War saga is Major Robert Singleton, a man who never becomes the least bit stilted in the presence of his love. He does, however, turn to the lofty phrase when under the influence of the emotion which has the greatest power to move him—patriotism. Needless to say, he has many opportunities to fall under the influence of this emotion throughout this heavy historical melodrama.

Singleton fits perfectly into the prescribed mold. By Simms's description, he is "...a tall well-made youth, probably twenty-four or five years of age..." with a "person" that is "symmetry itself..." He is perhaps not quite as good-looking as Harrison since his face, although "significant of a character of command, besides being finely intelligent" is only "tolerably handsome." He also possesses the weaknesses of character described above with the addition of a possibly more-damning flaw, bewilderment.

Unlike Harrison, who is always in command of himself (by both his rank and the flow of the plot), Singleton seems to initiate little action (outside of retaliation during swampland skirmishes with the British). He is an extraordinarily passive character who controls his men through some form of inner strength which is described by Simms but never truly demonstrated. Passages such as the following serve only to emphasize this flaw: "... the form of the stranger was elevated duly as he spoke, and his eye was lighted up with scornful fires..."

While both Harrison and Singleton are lacking in the qualities which would make them compelling main characters, there can be no doubts about their qualifications as frontier characters. Each man exhibits the requisite skills to survive and subdue the wilderness; courage, a cool head in the midst of chaos, knowledge of guerrilla warfare, and first-hand knowledge of their respective environments are all a part of their make-ups. None of these qualities has the power, unfortunately, to fuse with their personalities and create a unique and memorable character.

These criticisms do not apply to the hero of a later volume of the "Border Romance" series. In Colonel Clarence Conway of The Scout (1854), Simms has an almost perfect
proteinist and an engrossing frontier character. Conway is another leader in the Carolina resistance movement during the Revolution, but he is a multi-dimensional character—far superior to Harrison and Singleton. This hero is capable of strong emotions: loyalty, love, and hate are engendered and exposed by situations which threaten to destroy both his career and his sanity.

Certain reliable plot devices are effectively used by Simms in order to bring out these multiple emotions. The plot, a familiar one, is that of two diametrically-opposed brothers—on opposite sides in love and war. The situations which arise because of this simple premise are those which allowed Simms to expand and incorporate all elements of Clarence's personality. The mixture of wilderness and the faint beginnings of civilization also contribute to his turbulent character.

The major element of that character which separates Clarence from Simms's other heroes is developed early in the novel. Clarence has serious doubts about the loyalty and morality of his half-brother, Edward, who is rumored to be an associate of the Tories. These doubts are far more serious than any ever experienced by Harrison or Singleton. They carry the potential to destroy both men and perhaps to dispel the relationship with his brother; these doubts, plus the unease for much of the inner conflict.

Throughout Woodcraft, Simms tried to convince the reader that Porgy was not another hero who, because of looks and abilities, must be admired, but rather a man who has actually earned the right. Appearances, he emphasized, do not always tell the true story. Porgy, according to Simms, had a mouth "rather feminine and soft" and yet his chin was "well defined and masculine." Just by this brief description of Porgy's face, the reader is made aware of the inherent contradictions of the soldier's appearance and nature. Quite similar conflicts of appearance and nature can be found within the context of Simms's writings. At the time they were written, few recognized the deep political statements which ran through the works. They ignored the implications of a writer turning from nationalism to "intense sectionalism" over a period of years and over a series of novels. This was not wise, for in Simms's gradual narrowing of interests, one could discover the trend of the mid-century South.

What was Simms's intention in creating Porgy, a man he described in Woodcraft as a "soldier, not less than a bon vivant and gentleman"? Did he merely make use of Porgy as a central figure for the pro-slavery Woodcraft? Was he using Porgy to point out to his Northern readers that jovial Southern gentlemen can be hard and determined underneath? Was Porgy just an amusing change-of-pace character for a writer perhaps bored with stuffy, established heroes? The answer to all of these questions is a qualified yes. These do not represent the only or most important reasons for the invention of such a character. One much more significant reason for the creation of Porgy is that, considering the dozens of major characters he created, not one more fully represents or is more truly comparable to Simms himself.

Throughout Woodcraft, Simms tried to convince the reader that Porgy was not another hero who, because of looks and abilities, must be admired, but rather a man who has actually earned the right. Appearances, he emphasized, do not always tell the true story. Porgy, according to Simms, had a mouth "rather feminine and soft" and yet his chin was "well defined and masculine." Just by this brief description of Porgy's face, the reader is made aware of the inherent contradictions of the soldier's appearance and nature. Quite similar conflicts of appearance and nature can be found within the context of Simms's writings. At the time they were written, few recognized the deep political statements which ran through the works. They ignored the implications of a writer turning from nationalism to "intense sectionalism" over a period of years and over a series of novels. This was not wise, for in Simms's gradual narrowing of interests, one could discover the trend of the mid-century South.

Many more aspects of Porgy's character reveal links to
Simms. In the first place, Porgy is, as Ridgely noted, an aristocrat who is careless of his breeding and birth; he never acts in a rough or uncouth manner, but neither does he forever maintain drawing-room manners. To quote Ridgely, "Porgy is an unusual type in the Simms canon: he is the relaxed aristocrat, the gentleman who, because of personal inclination, has chosen to place himself just below the more sober-minded leaders." This is something which Simms, "not by birth a member of the Charleston merchant-planter society" (as Brooks and others phrased it), would have given anything to have been able to do. Many critics cite his lack of family connections and the inferiority generated by this as a factor in Simms's immense productivity. In the second place, Porgy excels at soldiering and conversation—two favorite occupations—but can not succeed at his peace-time occupation, being a plantation owner. Simms, too, was good at what he loved doing but was a failure in the role given to him by the society he married into: running a profitable plantation. Clement Eaton, in his Growth of Southern Civilization, 1790–1860, quoted a letter written by one of Simms's friends to the novelist in 1857: "I don't know whether it is the lands, negroes, or management, or all combined but certainly your planting for many years has been all—pardon the word—a farce.' Porgy simply turns over the management of the plantation to his ex-sergeant, a man named Millhouse, who takes complete control of the place. In answer to a question from Porgy concerning some detail or other, Millhouse refused comment—or consultation: "Don't you mind, cappin. I'm overseer, ain't I?" Simms, with no Millhouse, presumably kept writing to finance the ailing Woodlands. Finally, Porgy and Simms are alike in their treatment of their slaves. Eaton called Simms "a kind and indulgent master" who allowed each Negro to have his own garden and even provided him with entertainment! Porgy's treatment of his slaves is evidenced by their reactions upon his return from the war: "Their familiar features, and affectionate assurances of love touched the soul of... the soldier..." These are only a few of the ways in which the two are alike and only a few of the reasons why Simms wrote about such a man and devoted an entire novel to a definition of his character.

An overview of Simms's heroes demonstrates several important conclusions about both the writer and his frontier characters. Most importantly, it is apparent that when Simms bowed to the pressures of pleasing an audience with conventional characters, he created heroes that were too stiff and lofty to inspire sympathy or empathy. When he chose to ignore these conventional patterns, as in the case of Porgy, the results are often surprisingly original and memorable. Also it must be apparent that Simms's heroes are not tied to the frontier. Men like Harrison and Singleton fit into any action setting—not just a frontier settlement. They do little to civilize the environment; they merely create the correct atmosphere for civilization, which is, admitted-ly, no slight accomplishment. For the most part, however the heroes Simms created are never as memorable or enduring as his other characters.

It might be logical at this point to turn to those characters who stand in direct opposition to the heroes: the villains. This might be the logical course, but it is certainly not the wisest. Simms's villains are more interesting than his heroes only in that they are allowed to say and do things which the heroes cannot. Often they are just caricature nasties found in any nineteenth-century melodrama. There are some, such as Edward Conway, who are fully developed, multi-dimensional characters, but most remain locked into the flat pages of the novels. One villainous character does deserve mention, though, because of the fact that he is so much a part of the wilderness and is just plain weird. "Goggle" Blonay is a vile, disgusting creature, what Ridgely referred to as an example of Simms's "continuing bondage to earlier Gothic fiction, his old delight in the bizarre and melodramatic." With his strange, protruding eye and his ability to disappear into the muck, Goggle is certainly most bizarre. He serves a useful purpose in *The Partisan* in spite of the deliberately freaky nature of his character: he represents all the malevolent undertcurrents of the swamp. He is like the snakes that slip in and out of the mire; he is dark and unkempt like the moss-covered trees; his nature is like the stunted undergrowth which has seen nothing beyond the gloomy twilight of even the brightest mid-day in the swamp. The swamp, as Goggle serves constantly to remind the reader, may provide protection for the Partisans from the British, but it also has its unhealthy aspects which can warp the men even while it shelters them.

Simms had unique ways of dealing with what is perhaps the favorite frontier character, the American Indian. Simms depicted him best in his "natural" environment, free from the influence of whites. To him, Indians were intelligent, compassionate human beings who simply had a less-civilized culture than the whites. Unfortunately for the Indians, Simms's philosophy also dictated that since their culture was inferior, it had to give way before that of the whites.

Simms's philosophy was outlined in the story "Oakatibbe, or the Choctaw Sampson." Just one of many stories of interest in *Wigwam and the Cabin* (1845), "Oakatibbe" is a compelling and eloquent story of honor and understanding. Simms genuinely tried to be enlightening with a compassionate view of Indians rarely seen in the first half of the nineteenth century, and he created an extraordinarily sympathetic title character. The tall, handsome, strong, young, noble Oakatibbe ("Slim Sampson" to the whites) eloquently embodies the debate which occurs throughout the story between one Colonel Harris and a stranger who is visiting his plantation. The stranger comments upon Harris's use of Indians to supplement his black slaves in the cotton fields; he does not believe that the Indians will work for very long since they squander their pay on alcohol—making them unfit for work—or have their pay taken from them by husbands, fathers, or brothers. The Colonel disagrees, and the debate over the Indians' civilization ensues. Three lines of thought emerge: the Indians could be considered as red slaves; they could be assimilated by the white culture, or they could be allowed to maintain a separate, yet equal, culture.
Brooks and others describe the debate in this manner:

Like Jefferson, these two southern whites see the black man and the Indian in quite different terms. As against those seventeenth-century white Americans who, we recall, regarded the red man as a disgrace to humanity, Simms’s visitor in this story bespeaks the continuing opposite viewpoint, saying flatly that the American Indians are “decidedly the noblest race of aborigines that the world has ever known,” and he goes on to say that he thinks that they are capable of attaining a high degree of civilization. In fact he estimates their “natural genius [as] superior to that of the ancient Britons, at the time of the Roman invasion under Julius Caesar.”

Both men agree that if just one Indian changed just one tribal (e.g. barbaric) custom, then the whole Indian culture would benefit and civilization of the noble race would be underway. The most likely Indian to effect this change would be the charismatic Oakatibbe, finest of his race. When Oakatibbe kills the stereotypical drunken Indian, “Lobloppy Jack,” in self-defense and tradition decrees that he must also die, Harris and his visitor persuade him to flee, thereby changing a barbaric custom and saving the good Indian.

Oakatibbe’s departure creates a rather ugly situation on Harris’ plantation. Just as tribal custom dictates that Oakatibbe must die for killing Jack, so must a relative of Oakatibbe’s die if that Indian does not return by the morning set for his execution. This causes much consternation among the relatives present, and, when they refuse to abide by the law, chaos ensues. War between the relatives of Oakatibbe and relatives of Jack seems certain, until Oakatibbe returns to accept his punishment. In a very touching scene, he is shot on the edge of his own grave. Simms’s narrator, the visitor to the plantation, is moved:

I turned away with a strange sickness. I could look no longer. In the next instant I heard the simultaneous report as one, of the three rifles; and when I again looked, they were shoveling in the fresh mould, upon the noble form of one who, under other more favourable circumstances, might have been a father to his nation.

Oakatibbe returns to save his relatives, a truly heroic decision, but, in doing so, it is possible that he diminished his people’s chances for civilization. On the other hand, his death implies that Harris and his visitor were wrong in attempting to change the customs, however barbaric they appear to others, practiced by a society.

Matiwan, another of Simms’s memorable Indian characters, makes an equally difficult and personal decision. All of the Indians in The Yemassee are quite well-drawn, but Matiwan surpasses all in her dignity and strength. Devoted and regal wife of the Yemassee chief, Sanutee, Matiwan is torn between love for her son, Occonestoga, and her husband. Sanutee has disowned Occonestoga, who has become the “dog” of the English, drinking their whiskey and hunting their runaway slaves in the swamps. By Chapter XXV, Matiwan can bear the divided loyalty no longer: to save Occonestoga from further disgrace, she delivers a death blow to his skull with her hatchet. It is a severe test of her mother’s love, but her desire to give him a dignified death (as opposed to the traitor’s death he had undoubtedly earned) overcame any other emotion. The short scene in which the drama is enacted is perhaps the most frightening and yet most touching in the work:

“Shall not the mother say farewell to the child she shall see no more?” and she waved Malatchie back, and in the next instant drew hastily from the drapery of her dress a small hatchet, which she had there carefully concealed.

“What wouldst thou do, Matiwan?” asked Occonestoga, as his eye caught the glare of the weapon.

“Save thee, my boy—save thee for thy mother, Occonestoga—save thee for the happy valley.”

“Wouldst thou slay me, mother—wouldst strike the heart of thy son?” he asked, with a something of reluctance to receive death from the hands of a parent.

“I strike thee but to save thee, my son:—since they cannot take the totem from thee after the life is gone. Turn away from me thy head—let me not look upon thine eyes as I strike, lest my hands grow weak and tremble. Turn thine eyes away—I will not lose thee.”

Others try to intervene, but Matiwan is swift with her hatchet. Occonestoga cries out as he dies, “‘It is good, Matiwan, it is good—thou hast saved me—the death is in my heart.’”

Thus, Matiwan saved her son from further disgrace and her husband from the stigma of having a son ignominiously executed, and she did it all with dignity and courage.

A final Simms’s Indian has dignity and courage and loyalty. That character is Lenatewa, who plays a central role in another tale from Wigwam and the Cabin, “The Two Camps. A Legend of the Old North State.” Lenatewa is referred to as “‘a good lad”’ by the narrator of the story, his prospective father-in-law, a white settler! As Daniel Nelson tells it, Lenatewa was nothing less than the Indian equivalent of the Gothic hero described above. “He was a monstrous fine-looking fellow, tall and handsome . . . .’” Nelson even defends his daughter’s choice to his wife, stating that “‘. . . Lenatewa was just as good a husband as she could have had.’” Nelson is correct in his assessment of the brave who dies a tragic death at the end of the tale (saving Simms from the difficult choice of allowing an inter-racial marriage to take place). Lenatewa is loyal, keeping the family that befriended him as well as their settlement safe from Indian attack for eleven years. He is courageous in battle and a top-flight scout. Also he maintains his dignity primarily, according to Nelson, by not drinking.” Lenatewa is dignified, personable, and definitely on a par with the white man. Another fine point brought out in the course of the
story is Simms's objection to the designation of "good" and "bad" Indians. Simms implied that some Indians just get along better than others with whites, and the same applies in reverse; there are "good" and "bad" Indians just as there are "good" and "bad" whites.

These, then, are fine examples of Simms's Indian characters. With a few exceptions, all of his Indians are depicted as human beings and not just savages or children. As John Erskine said it, "More heroic, certainly, are Cooper's red men... but Simms endows his warriors with a natural humanity that has its own charm."

After Indian characters, Simms second-most popular frontier creations must be his faithful lieutenants. Where would the hero be without his "right-hand man" or his intrepid scout? Simms only problem with this group comes from their high quality; some are so good that they overshadow his weak heroes. For the most part, they are an active, quick-thinking group of men who are the true tamers of the wilderness.

*The Partisan* contains the two best examples of the faithful lieutenant; both characters are still in developmental stages as they are introduced in this work; both become full-fledged characters in later works. The first of these to be discussed is "Supple" Jack Bannister, a man wise to the ways of the wilderness and an extremely astute judge of the ways of men. Bannister is worthy of note for several reasons. First, his story forms the most important secondary plot in *The Scout*. The reader might speculate that the excellence of this character and his popularity persuaded Simms to change the title of this work from its original name, *The Kinsmen*. Second, Bannister is anything but a stoic observer of the actions which take place, and his emotions are both simple and deep. Third, he could easily be compared to Cooper's Natty Bumpo on the basis of his frontier knowledge and the depth of his character.

Jack Bannister is an intriguing figure. He is a man of remarkably high standards who does things which he disapproves of because of duty and affection for his commander, Clarence Conway. Since they were childhood playmates (although of different stations in life), Bannister takes the liberty of calling Clarence by his given name and giving him sage advice when they are alone. Bannister knows exactly what kind of man Edward Conway is long before Clarence ever allows himself to see the evil in his brother. When Edward tries to silence Jack with his uncouth manner, the perceptive scout will have none of it. This passage illustrates both Jack's plain speaking and his general philosophy.

Times change and we change, and it's unnatural [unnatural] to expect to keep the same face in all weathers. I know there's a mighty great change in me, and I'm thinking there's the same sort of change going on in a' most [almost] everybody. I used to be a quiet peaceable sort of person, that wouldn't hurt a kitten; and now I'm wolfish more than once a week, and mighty apt to do mischief when I feel so. I used to believe that whatever a pair of smooth lips said to me was true, and now I suspicious [sic] every smooth speaker I meet, as if he wor [were] no better than a snake in the grass."

Jack points out on the same page that one of the reasons for his distrust of Edward is that they "'havn't fou[t', and bled together... and starved together..." Jack bases his opinions on experience rather than on hearsay.

Simms had nothing but praise for his best of scouts, at times referring to his "virtuous erectness" of bearing. A full description of Jack is given early in the novel.

This was a man of middle size, stout, well-made, coarse in feature, strong of limb, active of movement, apparently without the refining influences of society and education, and evidently from the lower orders of the people. Let not this phrase, however, be understood to signify anything base or unbecoming."

The character of Jack Bannister is juxtaposed with that of another, less-savory scout, Watson Gray. Gray is rash and cruel; Jack is thoughtful and caring. When Jack accidentally kills his former childhood sweetheart, who is dressed as a "Black Rider," Gray merely says, "Do not let it afflict you so much. It can't be helped, and these things are common enough." The "Black Riders" need the skills of Gray to counterbalance those of Jack. Simms provided this nasty in order to maintain the perfect balance established by the similarities of Clarence and Edward. In the process, he created an almost-legendary frontier character who could "swim like an otter" and who was a "sturdy counsellor," a "worthy scout," and a backwoods philosopher.

The other example of faithful lieutenant mentioned above is found first in *The Partisan* and later in *Woodcraft*. In *The Partisan*, Lance Frampton undergoes his test of manhood and becomes a devoted follower of Robert Singleton. In *Woodcraft*, he is a pleasant, if a bit subdued, lieutenant of Captain Porgy.

Lance Frampton is at his most interesting while undergoing his coming-of-age test. This test of maturity is detailed in chapters thirteen through sixteen of Volume Two. These chapters are well-written and believable, surprisingly free from an excess of the lofty dialogue that Simms generally placed in the mouth of Robert Singleton, a prominent influence in the development of the youth and, therefore, a prominent player in this part of the drama. In the passages that deal with the boy's emotions and the Major's responses, Simms actually rings true, offering the reader sentiment without sentimentality. The development occurs naturally over the course of the rebels' attack on a Tory hanging party. Recently, Lance has been experiencing increased desires to be a real part of the troop, on his own merit, and not because he has no where else to go (his mother is dead, his father is mad, and his elder brother has no time for him). He longs to do a man's part of the fighting even though he is just sixteen. Most of this longing comes from observation of Singleton, who has become both father and
here to the poor youth. "'How I wish I was like him!' said the boy to himself. . . . 'If I was only sure that I could fight like him, and not feel afraid, when the time comes!'" At first, Singleton misinterprets the boy's nervousness as fear. He orders him to the rear with a gruffness that only just disguises his disappointment, for he had great hopes for the promising boy. Lance does not really know how to express his fears; but he finally gets it out: "'Oh, sir, I'm afraid I shan't fight as I want to fight.'" Singleton then understands the true state of Lance's feelings and assures him that he will be able to kill when the time comes. They work out a system whereby Lance will fire when Singleton gives the command and that Lance's shot will be the one to lead off the volley—the first shot and of great importance. All goes according to plan, and Lance acquits himself admirably.

"'Ha, boy!' said Singleton; "'you have done well—you have behaved like a man.'" "'Oh, sir, tell me,' cried the boy, 'can this be the bullet hole from my rifle?'" "'It is; your bullet was in the right time.'" "'***But I feel so strange!'" "'How, boy?'" "'I have killed a man: what would my poor mother say, if she was alive and knew it?'" "'Go, go, boy, you have done well; you have shot him in a good cause, and have saved innocent life besides. 'You could not have done better—but don't think of it.'" "'I can't help thinking of it, sir,' said the boy . . . ."

It is now Singleton's turn to feel insecure, to wonder whether he has done the right thing by the boy, as he recalls his dying sister's words: "'He thought of Emily, of her prayer for peace, her denunciation and her dread of war . . . the thought that she might . . . be a silent watcher from the heavens, was enough to persuade him to an effort to quiet the fierce spirit at work within the bosom of the boy.'" Lance's spirit cannot be quelled, since he has seen the same forces at work in the face and heart of Singleton during the heat of battle. Singleton tries to caution Lance against liking to kill. He tells the youth that it is a repulsive, yet necessary, side-effect of the fight for freedom, but he must not grow to enjoy it—"' . . . remember, boy, war is not a sport, but a duty, and we should not love it.'" Lance is not truly convinced and neither is the reader, for what is honor without opposition and opposition without conflict?

The chapters do represent one of the tightest and swiftest sequences of events in The Partisan, and the change from boy to man is most interesting to behold. Boys become men quickly in primitive circumstances, and Simms captured many of the feelings and images of such a transition period. It is fascinating for the reader to watch the actual creation of a devoted follower and worthy man.

Other faithful lieutenants are sprinkled throughout Simms's novels, but none are more representative of the frontier spirit and the novelist's ability to capture it than the two men profiled above.

The final group of Simms's frontier characters to be examined contains some of his best portraits, and it is, assuredly, his most diverse set of characters. Nearly every type of frontier woman can be found in Simms's works: the strong-willed patriot and the sheltered plantation miss, the lower-class pioneer wife and the frail, doomed beauty, the "fallen" woman and the typical squaw, the saucy bar-maid and the stereotypical black "mammy." Simms's heroes may lack the personality of the certain spark of humanity which makes them believable, but his heroines always strike the reader with their vitality. His heroines, in fact all his female characters, consistently prove to be lively, well-written characters that work within their settings. Simms seems to have developed fully whichever female character he was working with prior to the actual writing. He did not develop them as he went along. It is as if he saw Emily Singleton in his mind, knew her every dimension, then put it down on paper. The reader may not be overly fond of this purely nineteenth-century, overly-sentimental character, but he must admit that she is perfect in every detail.

Simms worked exceptionally well with his patriot heroines of the "Border Romance" series. Flora Middleton of The Scout may take a while to make a decision but her sentiments "she declared with equal modesty and firmness, whenever their expression became necessary; and, keen as might be her sarcasm, it bore with it its own antidote, in the quiet, subdued, ladylike tone in which it was uttered . . . ." Simms described her as "one of those youthful beauties of Carolina, whose wit, whose sentiment, pride and patriotism [were] acknowledged equally by friend and foe . . . ."

Flora Middleton is outdone, however, by the heroine of The Partisan, Katherine Walton. Simms liked her so well that he named one volume of the series after her. This lady has everything that Flora has, plus the ability to hold off the advances of a British officer while still saving her father's plantation from destruction. Kate Walton is not another Bess Matthews, dropping into a faint on the slightest pretext. Kate does not wilt in the face of danger, possessing (in Simms's words) many "manly" characteristics: she is compassionate, loyal, fierce, and efficient. She can be sarcastic as well—even with Robert Singleton! When Robert tries to make passionate love to her, for instance (using the old argument about fleeting youth in time of war), "'I . . . remember, boy, war is not a sport, but a duty, and we should not love it.'" Lance is not truly convinced and neither is the reader, for what is honor without opposition and opposition without conflict?

The chapters do represent one of the tightest and swiftest sequences of events in The Partisan, and the change from boy to man is most interesting to behold. Boys become men quickly in primitive circumstances, and Simms captured many of the feelings and images of such a transition period. It is fascinating for the reader to watch the actual creation of a devoted follower and worthy man.

Other faithful lieutenants are sprinkled throughout Simms's novels, but none are more representative of the frontier spirit and the novelist's ability to capture it than
unnaturally deep red from the veins of [her] countrymen.'

Mary Granger of The Yemassee is another of Simms's heroines who stand defiant in the face of danger. In Mary's case, the danger is quite immediate and bodily. The wife of the trader, Mary is trapped in the Block House with the rest of the settlers when the Indians attack. Although panic and fear would have been natural under such circumstances, Mary's strong, compassionate presence keeps these emotions under control.

In reason, there was really but a single spirit in the Block House, sufficiently deliberate for the occasion. That spirit was a woman's—the wife of Granger. She had been the child of poverty and privation—the severe school of that best tutor, necessity, had made her equable in mind and intrepid in spirit. She had looked suffering so long in the face, that she now regarded it without a tear.  

This could be Simms's most accurate portrait of the pioneer woman, a woman who must protect herself, her family, and her home from danger.

Simms's frontier women constitute his single-most impressive group. They are everything except dull, and they stand out for their wit, intelligence, beauty, and charm.

Simms's heroes, villains, Indians, scouts, and women are, as stated, a colorful and diverse set of frontier characters. Whether discussing the hero of The Yemassee (a man who "moves through the narrative with a rather too evident superiority complex") or the young Indian of "The Two Camps" (who radiates sincerity and nobility), all are distinct and memorable representations of many aspects of the frontier mind and spirit. A quotation from Ridgely's biography of Simms neatly expresses this observation: Simms's heroes and heroines, scouts and Indians are "... more carefully drawn and differentiated than is commonly admitted; Simms makes them stand, in their various ways, for certain problems in the Southern character." For the most part, Simms succeeded in this objective.

NOTES
2. C. Hugh Holman, "The Influence of Scott and Cooper on Simms," American Literature, 23 (1951), 218.


WEATHER STATIONS IN THE ANDES:  
A CASE STUDY IN MOUNTAIN CLIMATOLOGY

Joseph Schneringer III

Of all the climatic groups in existence, mountainous climates are the most complex (Hidore and Oliver, 1984). Here the atmosphere is channeled through canyons and mountain peaks, climbing to heights of condensation and flowing downward into dry mountain basins. Throughout this topographic labyrinth a variety of microclimates exist. A 5 km trek in any direction will likely bring about a different microclimate (Trapasso, Personal Communications, 1985).

This report focuses upon a region in the Ecuadorian Andes. The region surrounds the Ambato Basin in Tungurahua Province (see Figure 1). This intermontane basin lies between the Occidentals (Western chain) and Orientals (Eastern chain) of the Andes (Robinson, 1967). The Ambato Basin is a complex arrangement of deep river canyons (eg. Rio Cutuchi and Rio Ambato have eroded valleys which are 1100 to 1200 meters in depth, respectively). The basin is also surrounded by high volcanic peaks (eg. Mt. Chimborazo at 6310 meters and Mt. Tungurahua at 5016 meters above sea level). This area perfectly exemplifies the confusion involved in mountain climatology.

Five stations were utilized in this study. The first is Ambato, with 19 years worth of data records. It is located at 01 15'S and 78 37'W at an elevation of 2540 meters above sea level. Banos is the second station, located at 01 24'S and 78 37'W. This station lies 1843 meters above sea level and it too has a 19 year data record. The third station is Cevallas. This location has the shortest data record (4 years). It is at 01 22'S and 78 37'W and lies 2930 meters above sea level. Patate, the fourth station, lies at 2360 meters above sea level. At 01 19'S and 78 30'W Patate offers 18 years worth of data. The last station is Pillaro with a data record of 17 years. This station is located at 01 10'S and 78 33'W and 2805 meters above sea level.

The data utilized in this paper was supplied by Mr. Tomas Aguerrero, Agricultural Program Manager for the Peace Corps in Quito, Ecuador, and by Dr. L. Michael Trapasso, Department of Geography and Geology, Western Kentucky University. The data were collected by the Instituto Nacional De Meteorologica Y Hidrologica (INAMHI), this is the equivalent to the Ecuadorian Weather Service.

The analysis was completed using basic statistical and graphic software for the Apple IIe. Graphs of the data appear as Figures 2 and 3. Data summaries for temperature and precipitation characteristics are found in Tables 1 and 2.

The keys to understanding the varied microclimates in a mountainous region are elevation, orientation, cloud cover, and the orographic precipitation mechanisms (Hidore and Oliver, 1984). Near the equator, low pressure systems with cold fronts and warm fronts (as we often find in Kentucky) are non-existent (Trewartha, 1968). The study area lies in a climatic sector called Tierra Fría (cold ground found between 1800 and 3100 meters above sea level). In the Tierra Fría, convective precipitation mechanisms of warm humid regions (eg. summertime afternoon thunderstorm mechanisms in Kentucky) are also non-existent (Lutgens and Tarbuck, 1982). In essence, the type of meteorology in the study area is quite different from the meteorology which controls our weather in Kentucky.

Temperatures, as displayed in Figure 2 and Table 1, show the obvious relationship with elevation. As one leaves the earth’s surface and rises aloft in the troposphere (layer of the atmosphere where all weather phenomena take place) temperature decreases. In the Ambato Basin, a horizontal trek in any direction will cause a vertical displacement to a higher or lower elevation. This elevation factor is of vital
importance here. On Table 1 the only disruption to this relationship lies in the absolute maximum and absolute minimum temperatures which are offset between Pillaro and Cevallos. This discrepancy is due to cloud cover variations. As anywhere on earth, cloud cover during the day will decrease surface exposure to incoming solar energy radiation (i.e. visible light, ultraviolet and infrared radiation). However, cloud cover at night tends to warm the surface by keeping the earth’s warmth (i.e. thermal infrared radiation) from escaping into space.

Precipitation is less dependent upon the elevation of the station and more dependent upon the orientation of the nearest mountain slope. In the equatorial region the winds are light and variable (the Doldrums). The Trade Winds in this part of the world would cause a dominant easterly wind direction (opposite to the Westerlies which dominate the contiguous United States). In this case, east facing slopes are windward (i.e. they face the wind). As a moist air mass is forced up a slope (Orographic Uplift) the air can reach a level of condensation; this process will initiate cloud cover and precipitation. As air reaches a mountain peak and descends the other side (leeward side which faces away from the wind) it warms, dries and creates an arid climate. Arid areas created by this mechanism are called rainshadows. In Table 2, Cevallos lies in a rainshadow while Banos occupies a windward slope. Patate, Ambato and Pillaro occupy slopes oriented to other directions (El Instituto Geográfico, 1978).

At first glance, the climates of a mountainous region appear to be confusing. In this report, data from five stations around the Ambato Basin or Tungurahua Province in Ecuador, South America, were compared and contrasted. Using standard statistical and graphic techniques, several very important climatic factors were revealed. They were: station elevation, orientation, cloud cover, and orographic uplift. Though these factors alone cannot unravel the total picture of mountainous microclimates, their discovery, however, constitutes an important first step to the understanding of this rather complex climatology.

**Notes**


Hidore, John J. and John E. Oliver, 1984, Climatology: An Introduction, Charles E. Merrill, Columbus, Ohio, 381 p.


Trappaso, L. Michael, 1985, Personal Communications, Department of Geography and Geology, Western Kentucky University.


**Table 1**

<table>
<thead>
<tr>
<th>Station</th>
<th>Elevation (meters)</th>
<th>Mean (°C)</th>
<th>Max (°C)</th>
<th>Min (°C)</th>
<th>ABS</th>
<th>ABS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Banos</td>
<td>1,843</td>
<td>16.9</td>
<td>22.7</td>
<td>13.0</td>
<td>26.6</td>
<td>9.6</td>
</tr>
<tr>
<td>Patate</td>
<td>2,360</td>
<td>16.1</td>
<td>21.8</td>
<td>11.0</td>
<td>26.0</td>
<td>6.8</td>
</tr>
<tr>
<td>Ambato</td>
<td>2,540</td>
<td>13.0</td>
<td>19.0</td>
<td>9.1</td>
<td>24.2</td>
<td>7.7</td>
</tr>
<tr>
<td>Pillaro</td>
<td>2,805</td>
<td>12.9</td>
<td>18.9</td>
<td>8.2</td>
<td>24.1</td>
<td>6.7</td>
</tr>
<tr>
<td>Cevallos</td>
<td>2,930</td>
<td>12.5</td>
<td>18.6</td>
<td>7.8</td>
<td>26.0</td>
<td>1.8</td>
</tr>
</tbody>
</table>

**Table 2**

<table>
<thead>
<tr>
<th>Station</th>
<th>Elevation (meters)</th>
<th>Yearly Precipitation (mm)</th>
<th>Maximum 24 hours (mm)</th>
<th>Days With Precipitation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Banos</td>
<td>1,843</td>
<td>1358.7</td>
<td>35.1</td>
<td>255</td>
</tr>
<tr>
<td>Patate</td>
<td>2,360</td>
<td>547.1</td>
<td>19.0</td>
<td>130</td>
</tr>
<tr>
<td>Ambato</td>
<td>2,540</td>
<td>595.7</td>
<td>15.1</td>
<td>169</td>
</tr>
<tr>
<td>Pillaro</td>
<td>2,805</td>
<td>671.0</td>
<td>33.0</td>
<td>206</td>
</tr>
<tr>
<td>Cevallos</td>
<td>2,930</td>
<td>361.1</td>
<td>53.7</td>
<td>134</td>
</tr>
</tbody>
</table>

**Figure 2**

Mean Temperature by Month

**Figure 3**

Mean Total Precipitation by Month
The recent multitude of products liability cases presents a source of concern for many groups in society today. Manufacturers risk the problem of facing multi-billion dollar liability suits, and insurers complain of massive losses which are contributing to insurance commercial lines insolvency. The cost to the manufacturer is passed on to the consumer in the form of higher prices. Eventually the taxpayer, who often has no involvement with the product, must pay the costs of extensive court litigation. Following is an explanation of current problems existing in products liability litigation and recent proposals for remedying these problems, focusing upon the Products Liability Act as a possible solution.

Recent punitive damage awards have been exorbitant, the most amazing being the $125 million punitive damage amount in the Grimshaw case. The Johns-Manville Products Corporation was the defendant in about 16,500 asbestos suits and anticipates further liability in 40,000 more cases, totalling $2 billion in damages. Although both companies were proven liable, the irony of these incredible awards is that only $10 to $25 of every dollar awarded goes to the plaintiff. Transaction costs of the legal process consumes the majority of the award. In fact, reports claim that $.77 is spent in legal costs for every $6.66 in injured claim receipts. The injustice extends to the taxpayer, as a federal court case costs the government $1740, a state case $400.

These punitive damage awards have led to bankruptcy and unemployment. Three major bankruptcies have resulted from the asbestos cases; UNARCO, AMATEX and Johns-Manville. The bankruptcy filing of Johns-Manville upon anticipation of massive liability suits has raised much controversy. At issue is whether a healthy, solvent corporation may use bankruptcies as a refuge from products liability claims. If permitted, this may present a solution for manufacturers, but it denies compensation to the injured party.

Several reasons exist for these exorbitant punitive awards. First, a wide variety of legal remedies are available to products liability plaintiffs, including strict liability, negligence, breach of express or implied warranty, failure to warn or instruct, misrepresentation and fraud. A plaintiff may claim damages from several remedies for the same incident, adhering to the procedures regarding each claim. There are currently 51 different sets of product liability rules. Confusion resulting from these legal differences leads to drastically inconsistent standards used to determine liability. The Grimshaw case serves as an example of this, as the trial court used "malice" as a criteria, while the Court of Appeals emphasized the probability versus the possibility of the injury.

The ambivalence of products liability outcomes is exacerbated by a lack of measurement and control in determining the amount of punitive damages awarded. Juries usually consider the degree of reprehensibility of the defendant's conduct, the nature and extent of the plaintiff's injury, and the amount of the defendant's wealth. However, jurors who sympathize with defendants may erroneously award large amounts. Concrete justification for these enormous amounts is seldom offered, which discredits the system as it presently exists.

The evidence permitted in products liability cases further confuses the process. Proof of an alternative safe design may infer a product defect. However, the abuse of such evidence may provide a disincentive for the manufacture of new designs, curtailing innovation. If a new, superior design proves safer than the old design, the new design could possibly be submitted as evidence against the old design. Manufacturers could become hesitant to produce new designs, given the possibility of products liability litigation. In this situation, the court possesses the power of product recall of the inferior design. An issue of jurisdiction arises as the practice of product recall is ordinarily considered an administrative function. Thus the use of an alternative safe design as evidence presents ramifications beyond the products liability case itself.

Products liability cases impose a burden upon interstate commerce as well. Some states have promulgated products liability laws which present problems for manufacturers conducting business in more than one state. Conflicts between federal and state government result. Dawson v. Chrysler Corporation exemplifies the unfairness of applying state rules to a product marketed nationally. Although the Chrysler vehicle in question complied with federal safety standards, the state court ruled that the design was defective because it was not rigid enough to withstand side impact. The ambiguity regarding what law prevails in products liability contributes to inconsistency of punitive damage awards.

As a consequence of these enormous awards, insurance premiums for products liability insurance have skyrocketed. The subjective insurance ratemaking process establishes the basis for these high premiums. However, the rate increases are understandable considering that the number of federal products liability cases has tripled since 1973. The insurance expense to the manufacturer is passed on to the consumer, which appears justifiable by the argument that the one benefiting from the product should pay for its total cost, including liability.

As indicated by these problems of ambivalence, action towards a comprehensive solution is long overdue. Yet a majority of the proposals recommended appear to be piecemeal approaches, which are too specific effectively to improve the current products liability situation. Requiring state products liability acts would only contribute to the
jurisdictional confusion. Eliminating punitive damages would require resorting to criminal law as punishment. As evidenced by widespread corporate crime, such laws are ineffective deterrents. Another alternative would be to allow judges to determine the amount of punitive damages and encourage them to consider less expensive alternatives such as summary judgments.

Market share liability, as established in Sindel v. Abbott Laboratories, introduces an innovative method of establishing the amount of liability in cases where the defendant cannot be determined. This case held all drug manufacturers liable for their respective market share at the time of the incident. This concept appears an equitable method of apportioning damages in the event liability cannot pinpoint one defendant.

The Interagency Task Force on Products Liability suggested improving methods of insurance rate determination through ISO, the national Insurance Services Office. Nationalizing rates would reduce subjective ratemaking and distribute the risk throughout the nation, adhering to the insurance principle of large numbers to minimize the exposure to any one company. A national product liability pooling system at both a primary and reinsurance level would accompany the nationalized rates, requiring all companies to share equally in the losses. This system has proven applicability in assigned risk worker’s compensation, whereby those extremely high risks are shared equally by participating companies. Another suggestion involved a no-fault compensation arrangement, similar to automobile no-fault, to avoid excessive litigation. Improving products liability prevention techniques using the Consumer Product Safety Commission and OSHA was another task force recommendation. The Interagency Task Force proposes federal solutions, which offer the best approach to reducing inconsistency. However, these proposals address specific issues such as insurance rates and claims procedure. A substantive revision of products liability law would provide a more encompassing remedy to the current dilemma.

The Products Liability Act offers such a comprehensive solution. This Act is a bill proposed by Representative Shumway (R-California) and Senator Kasten (R-Wisconsin). The overall effect of the Act is to unify products liability law and relieve the manufacturer of excessive liability by shifting the burden of proof upon the plaintiff. This Act would pre-empt all state law, thereby eliminating jurisdictional conflict. Manufacturers would incur strict liability for product construction defects and breach of express warranties. Yet strict liability would be eliminated from design defect and failure to warn cases.

The procedure replacing strict liability for design defect and failure to warn cases requires the victim to prove that the manufacturer knew or should have known about the danger based on knowledge that was reasonably accepted in the technological or scientific community. This knowledge requirement could prevent recovery in drug products liability cases. Due to improper testing, no hazardous drug side effects may be discovered at the time of distribution. This lack of knowledge would have prevented recovery in Bickler v. Eli Lilly because the cancer causing side effects of this drug was unknown in 1953, the year of distribution.

The knowledge requirement would drastically change current rulings regarding toxic substances. For example, in the recent asbestos case, Beshada v. Johns-Manville Products Corporation, lack of knowledge is not recognized as a legal defense against the manufacturer’s duty to warn. Also regarding duty to warn, the learned intermediary doctrine regarding pharmaceuticals imposes upon the manufacturer a duty to warn the physician and also supply him with information on reasonably foreseeable treatment of side effects. Duty to warn cases have expanded to require post-sale obligations, even if the manufacturer has not assumed the obligation.

The Products Liability Act asserts the use of comparative responsibility to apportion damages on the basis of relative fault. The practical application of this concept is the case Jorae v. Clinton Crop Service, which applies the Michigan Act doctrine of comparative negligence. A farmer injured on a crop sprayer rented from Clinton Crop Service was determined to have assumed 22.5% of all negligence in the accident. As a result his damages were decreased from $200,000 to $155,000.

Damage amounts would be limited by several provisions of the Products Liability Act. Plaintiffs who may also collect Workmen’s Compensation must pursue those remedies and subtract them from subsequent products liability awards. The Shumway version of the bill would limit punitive damages to the lesser of $1 million or twice the compensatory amount. A statute of repose would disallow the hearing of most cases brought 25 years after the date of product delivery, which also limits potential damage awards through limiting the number of cases.

The Products Liability Act provides more concise criteria for determining assumption of risk. The plaintiff must assume a comparative portion of the risk if injured by a defective condition which would have been apparent to a reasonably prudent person, a known defective product was voluntarily used or the product was misused, altered or modified. Such criteria contribute toward a more expedient, effective and just trial as opposed to the current ambiguity.

Opinions favoring the Products Liability Acts applaud the unification of products liability action. The Products Liability Alliance, composed of 200 manufacturers, insurance companies and other businesses, support passage of the bill to relieve the immense liability payments to which they have been subject. Declaring strict liability to be unworkable in design and warning cases, the supporters of the Act advocate the new standard set within the bill.

Opponents of the Act disagree with alleged federal intrusion upon states rights. Jack Pope, Chief Justice of the Texas Supreme Court, indicates that the Act would overburden the U.S. Supreme Court and serve to nationalize the state judiciary. The Association of Trial Lawyers suggested federal codification of common law would result...
in compromise and sacrificed quality for political expediency. They also oppose the repudiation of the “accumulated knowledge, wisdom and experience of lawmakers.” by pre-empting the tort system. “Diversity is no vice, uniformity no virtue” according to the lawyers, who indicated the need of multiple remedies to the disadvantaged claimant. Shifting the burden of loss to the claimant is unsound in their opinion, considering an injured claimant unable to collect for damages would eventually be supported by the taxpayers through welfare programs. The manufacturer more appropriately deserves this liability in the opinion of the lawyers.

The AFL-CIO disapproves of the workmen’s compensation clause as an unjust reduction to a worker’s entitled award for damages. Therefore, the Act does not serve the best interest of the worker, but favors manufacturing management. States rights are also promoted by the AFL-CIO.

Despite these opposing arguments, the Products Liability Act has received the endorsement of the Reagan Administration. It must now be passed by Congress. The problems with products liability—exorbitant punitive damage awards, inconsistency, evidence, jurisdictional disputes, skyrocketing insurance premiums—appear most comprehensively answered by the Product Liability Act reform of tort law. Nationalization of these standards would improve uniformity and remove much ambiguity in the law.

However, one could surmise that the products liability problem is caused by the ubiquity of short-term management policies within U.S. corporations. Failure to manage production in consideration of the long term effects of current decisions results in future damages. A change in corporate management would require a transformation of business attitudes, which is beyond the law. A federal mandate enforcing long term planning would most likely be opposed as a government intrusion upon private industry. Therefore, the most practical available comprehensive solution to the products liability problem is offered by the Products Liability Act.

NOTES


*Anderson, p. 3.
*Anderson, p.2.
*IBID.
*U.S. Congress, p. 6.
*Owen p. 9.
*Owen p. 39.
*Schwartz, Post-Sale Duty to Warn: Two Unfortunate Forks in the Road to Reasonable Doctrine, 58 NEW YORK UNIV. LAW REVIEW 901 (1983).
*Congress, p. 2.
*Schmit, p. 217.
*Owen, p. 50.
*Pope, p. 301.
*Freemer & Friedman, p. 594.
*IBID., p. 595.
*IBID.
*Atkeson & Neidick, p. 623.
*Congress, p. 39.
*Congress, p. 32.
*IBID., p. 39.
*Owen, p. 39.
*Schmit, p. 300.
*IBID., p. 624.
*Pope, p. 301.
*Schwartz, p. 899.
*Atkeson & Neidick, p. 633.
*IBID.
*Congress, p. 23.
*Congress, p. 32.
*IBID., p. 235.
*IBID., p. 178.
*IBID.
*IBID., p. 303.
*IBID., p. 226.
IS CREATIVITY TEACHABLE?

Jewel Jackson

Webster's New World Dictionary simply defines creativity as “productive; inventive.” While this definition will adequately serve a broad definitive purpose, it does not account for individual preceptions or various ingredients of creative motivation. One must first look at the definition of the gifted and talented in order to identify these students. Blockhurst and Berdine (1981) relates that Section 902 of the Gifted and Talented Children’s Act of 1978 defined gifted children as:

Gifted and talented children means children, and whenever applicable, youth, who are identified at the pre-school, elementary, or secondary level as possessing demonstrated or potential abilities that give evidence of high performance capability in areas such as intellectual, creative, specific academic, or leadership ability, or in the performing and visual arts, and who by reason, thereof require services or activities not ordinarily provided by the school.¹

Creativity does not always conform to the prevalent values of society. Therefore, can it be taught? One finds strong agreement among researchers that the creatively gifted are independent individuals who are often unconscionable by social acceptance. Convergent thought processes are dictated by factual data inputs, and presentation of these inputs can be laced with the instructor’s social values and perceptions. Divergent thinking on the other hand does not directly relate to inputs except, perhaps, as a basis for inspiration and as such exhibits the opportunity for flexibility of thought beyond the current social value system. Dillas and Gaier (1970) support this hypothesis as they conclude that the creatively gifted child and adult possess an openness to stimuli whether they be taboo or not. Moreover, they also speculate that such individuals are independent in attitude and social behavior and they have a strong intrinsic motivation and interest that sustains the creative through inevitable periods of frustration.²

Less scientific perhaps, but one must evaluate one’s own self to recognize the extent of creativity. Each individual can reflect on personal situations where, without prior experiences to relate to as a decision base, a response to the situation at hand was formulated. Is this not creativity as we are most aware of it? Torrance (1973) states that creative thinking involves strong elements of the emotional, the irrational, the preconscious. After breakthroughs involving these emotional, irrational elements, of course, the results must be subjected to logic.³ Is this to say that a logical thought process which can be taught is the answer to cultivating creative thinking? Perhaps it is a significant element of creative thinking, but the emotional, irrational and preconscious elements must also be recognized as the basis for inspiration. Recognition that creativity involves unique thought processes are included in this definition: “Creativity is a combination of the flexibility, originality and sensitivity to ideas which enables the learner to break away from usual sequences of thought into different and productive sequences . . .”⁴ It therefore appears that the teacher seeking to foster creativity should recognize the difference between inspiration and the act of creative thinking.

Researchers agree that there are four stages in the creative process: (Wallas’ Stages 1926) (1) preparation, (2) incubation, (3) illumination, and (4) verification. Both artists and scientists state that during the process of creation some switch takes place in the consciousness of the creator. Amy Lowell spoke about experiencing trance-like states.⁵ Albert Einstein, who at the age of five was deeply impressed by the mysterious behavior of the compass needle, stated later that “something deeply hidden had to be behind things.”⁶

Present evidence seems to indicate that people, gifted or not, prefer to learn in creative ways. Creative ways of learning involves exploring, manipulating, questioning, experimenting, risking, testing, and modifying ideas. Recent research suggests that many subjects can be learned more effectively in creative ways rather than by authority. “Learning creatively takes place in the process of sensing problems or gaps in information, making guesses, revising and retesting them, and communicating the results.”⁷

After reviewing one hundred forty-two experiments and reports designed to provide insight into the teachability of creativity, Torrance concludes that the most successful means of teaching children to think creatively has been through complex programs involving packages of materials, the manipulation of teacher-classroom variables, and the use of modifications of the Osborn-Parnes Creative Problem Solving training program.⁸

Morgan, Tennant and Gold describe the Renzulli’s approach to educating the gifted as acknowledging the need to cultivate the inquisitive tendency of the pupil. Renzulli characterizes this concept as a three-pronged model of enrichment. General exploratory activities establish an environment in schools through resource centers which invoke the pupils’ curiosity and interest in further research.

The second prong of Renzulli’s approach centers on the classroom and the materials, methods and techniques. This element is important because it develops the thinking and feeling processes. Renzulli describes the intent to be “to develop in the pupil the processes or operations that enable him or her to deal more effectively with content.”
Renzulli's third prong calls the gifted to utilize their capabilities to investigate real problems. He refers to this aspect as individual and small-group investigations of real problems. It adds emphasis to the teacher's role as facilitator. The impetus of the facilitator is to: (1) assist the pupil to formulate a realistic research problem, that is, one that can be researched and a conclusion formulated; (2) suggest alternatives to be utilized in the investigation; and (3) guide the pupil as he or she establishes a means of communicating the results.  

Renzulli's approach conforms to the belief that creativity will be, as a result of pupil commitment to understand the questions as well as the answers, the inquisitiveness that Albert Einstein referred to. Renzulli's concept relates to the traits and behaviors that Lindsey (1980) describes in highly creative children:

- Less concern with convention and authority
- More independence in judgement and thinking
- Keener sense of humor
- Less concern with order and organization
- A more tempermental nature

In his studies of gifted adults, Maslow tries to identify those characteristics that seem to be possessed by all these people in greater or lesser degree. First, there is a lack of artificiality and a certain simplicity and naturalness about their approach. Second is their ability to focus on problems that lie outside themselves. Above all, Maslow finds one characteristic in particular to be common to all the people studies — a special kind of creativity, originality or inventiveness.

Maslow in his research of adults, Lindsey's description of highly creative children, Renzulli, Einstein, Torrance, all elude to two common elements:

- inquisitiveness
- environment or opportunity

To state definitively that creativity is teachable would be grossly presumptive. Scholars of the subject of creativity have generally recognized external factors as major contributors to the creative process. Creativity exists to some degree in each individual, and it becomes the teacher's role to facilitate the opportunity that each pupil is presented with. The creatively gifted pupil possesses characteristics which must be recognized and cultivated if his or her talents are to blossom.

The tendencies of the gifted to be a free spirit can cause conflict and curtail the activities of the creative mind when faced with the restrictions of the prevalent social climate. "It is only the exceptionally creative child who can weather the hurricane of rules and regulations and still emerge twelve years later creative and imaginative." It compels educators then to avoid attempts to teach creativity, but to provide tools, i.e. brainstorming techniques and resources, which will encourage creativity. With the understanding that creativity can not be taught but only encouraged, educators have developed curriculum models for the teacher of gifted children in a regular classroom. Two such models are the Enrichment Triad Model and the Self-Directed Learning Program. Teachers dealing with the creatively gifted should strive "to free the inspiration and not to teach the craft, except in its rudiments." The inevitable conclusion is that gifted children must be challenged in the public schools. Their brains, abilities and minds must be challenged to search, to create, to be exercised in top performance in order to meet their needs and to keep them enthusiastic and willing to meet and go above their limits. Creativity can not be taught but can be facilitated. These students should be given every opportunity to reach their maximum potential, for from this group of youngsters will emerge the leaders and thinkers of our country, and our country can be only as great as its leaders.

**NOTES**


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CLASSICISM IN WESTERN SCULPTURE AND ARCHITECTURE

Michael Padgett

Beauty and perfection have been the goals of many artists through the centuries. Each generation of artists bases its art on a certain definition of beauty and grace. Thus, because every person has a distinct concept of beauty, there are many different types of art that may be regarded as beautiful. Yet many times in the history of sculpture and architecture, artists have employed classicism to produce their version of ideal beauty.

The definition of classicism, however, has plagued scholars and art historians. For, as the Encyclopedia of World Art points out, "The concept of classicism is fundamentally ambiguous." The reason for this vagueness is not because classicism has not been defined but because the many interpretations which have been offered do not necessarily agree with one another. Classicism is a very obscure term because the elements which determine if a work is or is not classical are not clearly defined. Even though they do not provide a thorough definition, "[t]he central plan in buildings, the regal pose favored for statues, the alignment of columns in perspectives, and the arcaded porticoes" are traditional images which convey a sense of what is classical.

Still almost all authorities agree that classicism had its beginning in Ancient Greece in the 4th and 5th centuries B.C. Gina Pischel echoes this thought when she says that Greece was the culture which gave classicism its feeling through "values of form" which include "balance, harmony, order, proportion, and moderation." Classical Greek art, which exudes stability, ultimately received its inspiration from Nature. The Oxford Companion to Art presents an explanation for this phenomenon:

The concept justifying . . . reverence for the Greek antique was that while representing Nature they so refined away everything transitory and inconsequential as to achieve a kind of formal idealization based on Nature but portraying Nature so enhanced as to be no less worthy of imitation than Nature herself.

Polykleito’s statue Doryphoros is a prime example of this Greek attitude. While proportionally perfect, the statue has an ideal beauty which is also based on realism. Representing Greek architecture is the Parthenon, the most celebrated structure on the Acropolis in Athens. Combining Doric with a few interior Ionic columns, the Parthenon’s geometric design exudes harmony and timelessness. Thus a work that is classical is a work which is beautiful instead of totally realistic, and balanced instead of dynamic.

When the Roman armies conquered Greece, they carried much of Greece’s culture, including the premise of classicism, back to Rome. Being a practical people, the Romans employed classical ideals not only in their temples but also in their public buildings. Two examples of Roman sculpture and architecture which show the influence of Greece are Augustus of Primaporta, with its monumental pose which resembles the Doryphoros, and the Pantheon, which recalls the structure of Greek temples despite its hemispheric design.

After the fall of the Roman Empire, there was a decrease in classical inspiration in the West. Still some medieval artists were inspired by the past, for rulers such as Charlemagne used classical images to emphasize their own importance. Nonetheless, medieval art as a whole was not based on classical principles.

With the beginning of the Early Renaissance in the early 15th century, there was a return to the past, to the art of Greece and Rome. Just as medieval art sometimes contained classical traits. Early Renaissance art often contained gothic elements. The primary difference between Medieval art and Renaissance art was where the concept of order was placed. Medieval artists believed that order and structure lay in Heaven with God, while Renaissance artists emphasized order on Earth. For this reason, Renaissance artists, who equated beauty and order, looked for objects of ideal form on Earth. Leon Alberti, the Florentine architect and writer, helped define the Renaissance understanding of beauty when he dealt with the subject of contrapposto. He maintained that a small degree of contrapposto, such as the shifting of weight from one leg to the other, was natural, while extreme twisting, which would occur in later Manneristic figures, was physically impossible and therefore did not imitate Nature, the source of all beauty. Alberti’s advocating classical principles was very influential among Renaissance artists, particularly architects.

Another Florentine artist who promoted classicism was the architect Filippo Brunelleschi. While Alberti was more concerned with theory, Brunelleschi concentrated on designing buildings filled with classical elements. After discovering linear perspective, he used this principle and mathematical proportion to analyze the classical style and incorporate his finds into his designs. Thus later classical architects looked to Alberti for theory and Brunelleschi for example.

As the Early Renaissance evolved into the High Renaissance, classicism evolved as well. There were fewer Gothic elements in art, since there were now several generations of Renaissance art from which to draw. Perhaps the most beautiful piece of High Renaissance sculpture is Michelangelo’s David. While Michelangelo did produce several pieces of nonclassical art, his David looks back
to the statues of Heracles for its ancestry. For Michelangelo designed this sculpture after studying Roman copies of Greek studies.\(^1\)

One of those High Renaissance architects who looked to Alberti and Brunelleschi for inspiration was Donato Bramante. Working in Rome, Bramante designed the central plan Tempietto in 1508. Because of its appeal to antiquity, the Tempietto has been called "the perfect prototype of classical, domed architecture."\(^1\)\(^2\) Ironically, this Greco-Roman style shrine is supposed to mark the spot where Saint Peter was killed.

Andrea Palladio, a widely imitated Late Renaissance architect, was not influenced by Alberti so much as he was by ancient ruins. After studying Roman architecture, Palladio designed the Villa Rotunda and the Church of San Giorgio Maggiore in Venice. The Villa Rotunda inspired hundreds of imitations across Europe and later in America.\(^1\)\(^4\)

Indeed, Palladio was imitated more so than most Roman architects, not necessarily because of superior talent but because of Venice's position as a trading center for mainland Europe.

When the Renaissance came to a close and the era of Mannerism began in the mid- and late 16th century, the impact of classicism lessened, while the contortions which Alberti had cautioned against became increasingly prominent. At the beginning of the 17th century, however, there was once again a return to classicism, although not on the same scale as during the Renaissance. The Baroque era drew its inspiration not from Periclean Greece but from Hellenistic Greece.\(^1\)\(^7\) and therein lies the reason for the difference between Renaissance and Baroque classicism.

Nevertheless, there is a classical influence in Baroque sculpture and architecture, for, as Frederick Artz states, "The artistic styles of the Baroque [exhibit an] admiration for classical Roman grandeur [and] love of harmony and symmetry."\(^1\)\(^8\) A superb instance of the more ornate Baroque classicism is the colonnade of the Louvre in Paris. "Though the work is patently Baroque . . . the chief impression evoked by this noble facade," declares John R. Martin, "is of antiquity reconstituted."\(^1\)\(^9\) Yet even though most Baroque art was highly decorative, some artists preserved the static classicism of the past. Francesco Dusquesnov's sculptures, for example, were unpopular during his time because he "refused to bend his classicism to the High Baroque tastes and techniques set by Bernini."\(^1\)\(^8\)

The third rebirth of classicism since the Middle Ages occurred during the late 18th and early 19th centuries, and has been termed Neoclassicism. An interesting aspect of Neoclassicism is its relationship to Romanticism. Neoclassicism was once thought to be completely opposed to the Ingres-led Romantic movement,\(^1\)\(^1\) but the modern view is that Romanticism and Neoclassicism are not opposites but complementary aspects of the same movement.\(^1\)\(^2\)

Regardless of this relationship, Neoclassicism did represent a programmatic return to the past. This fascination with the antique, which had already begun, was stimulated by the excavations which took place at the ancient Roman cities of Pompeii and Herculanum during the mid 19th century.\(^1\)\(^3\) These cities had been buried by a volcanic eruption in 79 A.D. and were preserved in a state of remarkable completeness. Yet the trove of artifacts found merely strengthened the classical appeal: the actual movement was a reaction to the events of the time. In France, Neoclassicism represented an aversion to Rococo and to the irresponsible aristocracy that favored it, while in Germany it opposed French influence in general. In Italy, Neoclassicism represented a rejection of Baroque styles, and in England, it was popular because of its usefulness in establishing an academy equal to those of France and Italy.\(^1\)\(^4\)

According to its champions, Neoclassical art was directly opposed to Rococo art because Neoclassicism exuded "truth, purity, nobility, [and] honesty" while Rococo represented "licentious[ness], frivolity, and deception."\(^1\)\(^5\) Clearly Neoclassicism had a moral connotation of virtue.

Although it was very influential, the Neoclassical movement did have its opponents. There were those who felt that the style was too static. According to Gina Pischel, the Neoclassicist's concern over ideal beauty evolved into a movement with so many rules that it became very restrictive.\(^1\)\(^6\) Nevertheless, the original premise of imitating a deified Nature to gain a model of perfect beauty appealed to many and can be traced directly to Ancient Greece.

Four examples of Neoclassical art which exemplify the classical attitude are Antonio Canova's monument to Pope Clement XIV, William Henry Rinehart's 'Leander,' the Virginia State Capitol in Richmond, and the Paris Pantheon designed by Jacques Germain Soufflot. In the Pope Clement XIV monument, Canova rejected Bernini's heavy ornamentation and designed a monument which exemplifies "noble simplicity and calm grandeur."\(^1\)\(^7\) The 'Leander' by Rinehart is almost a direct copy of Praxiteles' 'Hermes Belvedere' and has been called "calculatedly graceful."\(^1\)\(^8\) Neo-classicism was even more influential in architecture than it was in sculpture, with Neoclassical traits being used in buildings almost worldwide. Soufflot's version of the Pantheon has a Greek cross plan and is topped with a colonnaded dome,\(^1\)\(^9\) while the Virginia State Capitol was designed by Jefferson and Clerisseau in imitation of the Maison Carree at Nimes, one of the most famous surviving Roman temples.\(^1\)\(^10\) Serene elegance and flawless beauty—these were the characteristics that Neo-classical artists strove to achieve by imitating Greco-Roman art.

But even today, examples of classicism abound. Nearly every town in America has some building, perhaps a courthouse or library, which is embellished with a Greek temple facade or a sturdy Doric colonnade. Evidently, the classical ideal is still appealing today, just as it often was in the past. And even though an exact definition of classicism may be difficult to ascertain, the reason for its attractiveness is not. Each time there has been a classical revival, there has also been a desire to live in a world of security and beauty, a world such as the one that the Ancient Greeks were supposed to have inhabited. In this respect, classicism reflects a nostalgic yearning for a world not like it is but the way it should be.
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CARSON McCULLERS: THREE CHARACTERS AND HER MAIN THEME IN RELATION TO HER LIFE

Naheed Shafi

Until the age of fifteen, Carson McCullers did not consider becoming a writer. Her first passion was music. In her dreams she envisioned herself as a renowned concert pianist, performing only in select places and always at a full house. However, her dreams were shattered when, as a teen, she was stricken by a severe illness that left her bedridden for weeks. During that period, McCullers was forced to re-evaluate her goals and choose an occupation requiring less stamina than music. She chose writing, whereby she finally found the acceptance which she had sought from her early life. Yet she still remained aloof, as independent in her style of writing as she was in her rationale and mannerisms.

In fact, throughout her life Carson McCullers possessed an inherent contradiction in character: she longed to belong to a group, yet she sought her independence fiercely. This conflict in desires, which stemmed from her early childhood of spiritual desolation, lies at the root of his loneliness. He dreads spending time with his wife and often seeks the solace of his daydreams. McCullers' own life along with her theme.

The Member of the Wedding. The Heart is a Lonely Hunter. The Ballad of the Sad Cafe. Furthermore, these qualities mirror McCullers' own life along with her theme. Brannon's marital problems center around his confusion with his wife and often her dressing in man-like fashion. McCullers also possessed a keen ability to relate to the underprivileged. This is reflected by her sensitive portrayal of blacks in The Heart is a Lonely Hunter, particularly of the character Dr. Benedict Mady Copeland. She was able to write with such profound insight about blacks because she empathized with the blacks' inferiority. It was this inborn ability to relate to the underprivileged which allowed her to create the deaf character of John Singer in The Heart is a Lonely Hunter without ever having met a deaf mute. Like Brannon, McCullers also carried over her concern for the underprivileged into a preoccupation with freaks. In fact, during her early years, growing up in her hometown of Columbus, Georgia, she had spent days watching freaks at the local Chattahoochee Fair; and she would spend hours poring over hugh photographic collections of them.

Later this fascination for freaks was reflected in McCullers' description of the grotesquely disfigured hunchback, Lymon, in The Ballad of the Sad Cafe and the portrait of a deformed Negro woman in the short story The Aliens. Thus Brannon and McCullers felt a special affinity with the under-privileged. Why were Brannon and McCullers able to relate to the lonely so well? It is because they were lonely themselves. Their own spiritual desolation allowed them to show their deep concern for others. Unfortunately for them, this spiritual desolation resulted from their failed marriages.

This theme of spiritual desolation is reflected further by the character of Amelia Evans in The Ballad of the Sad Cafe. Carson McCullers once said, "Everything significant that has happened in my fiction has also happened to me — or it will happen eventually." This is pointedly evident in The Ballad of the Sad Cafe. This tale portrays the monotony and futility of life in a dying Southern town. An air of pessimism pervades the book, and the tone is one of spiritual fatalism. The characters are caught in a "Catch-22" world of restrictions from which there is only one escape: love.

McCu[l]ers also possessed a keen ability to relate to the underprivileged. This is reflected by her sensitive portrayal of blacks in The Heart is a Lonely Hunter, particularly of the character Dr. Benedict Mady Copeland. She was able to write with such profound insight about blacks because she empathized with the blacks' inferiority. It was this inborn ability to relate to the underprivileged which allowed her to create the deaf character of John Singer in The Heart is a Lonely Hunter without ever having met a deaf mute. Like Brannon, McCullers also carried over her concern for the underprivileged into a preoccupation with freaks. In fact, during her early years, growing up in her hometown of Columbus, Georgia, she had spent days watching freaks at the local Chattahoochee Fair; and she would spend hours poring over hugh photographic collections of them. Later this fascination for freaks was reflected in McCullers' description of the grotesquely disfigured hunchback, Lymon, in The Ballad of the Sad Cafe and the portrait of a deformed Negro woman in the short story The Aliens. Thus Brannon and McCullers felt a special affinity with the under-privileged. Why were Brannon and McCullers able to relate to the lonely so well? It is because they were lonely themselves. Their own spiritual desolation allowed them to show their deep concern for others. Unfortunately for them, this spiritual desolation resulted from their failed marriages.

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However, if love is the only answer to spiritual isolation, then it is a bizarre love, one which is portrayed as unsatisfying and ruinous.22

Such was love in the life of Miss Amelia Evans. Miss Amelia is an Amazon-like woman of 6 feet two inches with several masculine characteristics. She dresses in overalls and boots, is as strong as a man, and even fights a man in the book.23 As stated before, McCullers also dressed in masculine fashion.24 Moreover, like Amelia Evans, McCullers came from a small Southern town, Columbus, Georgia, a town which she often portrayed as languorous and monotonous in her fiction.25 Evans' love problems stemmed from a love triangle involving her ex-husband and a hunchback with whom she was in love. The love which she had for the hunchback allowed her to escape the stifling tediousness of life in her dreary town for a few years and transformed her into a sociable, contented person.26 However, when her ex-husband and the hunchback ran away, Amelia sank into a sea of despair and isolation.27 McCullers once stated that when a person has lived with another, it is better to take in an enemy than to live alone.28 Amelia was left alone, and she became embroiled in spiritual desolation.29 Similarly, McCullers was involved in several love triangles during her life which left her emotionally devastated.30 Once involved herself, her husband Reeves, and her Swiss friend Annemarie,31 another involved Carson and Reeves McCullers and a young composer named David Diamond.32 Both of these triangles left McCullers torn and full of despair, thus adding to her sense of spiritual isolation.33

It is this sense of aching loneliness which may have motivated McCullers to write a lengthy exposition on love which appears in The Ballad of the Sad Cafe:

... There are the lover and the beloved, but these two come from different countries. And somehow every lover knows this. The value and quality of any love is determined solely by the lover himself. It is for this reason that most of us would rather love than be loved. The state of being loved is intolerable to many. The beloved fears and hates the lover, and with the best of reasons. For the lover is forever trying to strip his beloved, even if this experience can only cause him pain.34

Thus striking parallels can be made between Amelia Evans and McCullers' theme of spiritual desolation, as well as with McCullers' life.

Even more distinct parallels are found between the character of Frankie Addams, a twelve-year-old adolescent in The Member of the Wedding, and Carson McCullers. McCullers' younger sister, Margarita Gachet Smith, once said that Carson McCullers was most like the character of Frankie Addams.35 One of the main similarities between McCullers and Addams was that they both longed to belong to a group.36 Frankie Addams found herself isolated in her adolescent because she could not play with the younger kids nor comfortably join the adults.37 For this reason, when she found that her brother, Jarvis, was going to get married to a girl named Janice, she looked upon this wedding as a perfect opportunity to find a place to belong.4 Furthermore, she reasoned that Jarvis and Janice were the "we of me" and that she belonged with them.42 McCullers was looking for a "we of me" throughout her life to overcome her desire to belong. This is evident by the fact that once when her husband expressed a desire to attend medical school at Amherst (which was near the home of an author friend of hers, Newton Arvin), she imagined how nice it would be to have this "we of me" with all of them together and happy.44 However, for Frankie Addams, the period following the initial ecstasy at finding an identity was marked by a sense of disillusionment.45 She had failed to become a part of her brother's marriage and this love triangle failed as she became spiritually isolated again.46 Similarly, McCullers' plan to have a successful triangle between herself, her husband, and her friend Mr. Arvin failed.47 Here we see a recurring motif in the works of Carson McCullers: the intense spiritual desolation occurring from failed experiences in love triangles.

In addition to resembling McCullers in her desire to belong and her creation of a love triangle to fulfill this desire, Frankie Addams resembled McCullers because she changed her name in order to gain acceptance. Since she wanted to be in the triangle involving her brother and his fiancee, who had initials J.A., Frankie began calling herself F. Jasmine Addams.48 Likewise, McCullers changed her name at the age of thirteen from Lula Carson Smith to Carson Smith at the suggestion of her friends who teased her about her height.49

Furthermore, Frankie Addams paralleled Carson McCullers because she was concerned about her height. Addams thought that she was too tall and felt isolated by her height; she figured out that if she continued to grow as she had been growing, then she would be over nine feet tall at her eighteenth birthday.44 McCullers, too, was concerned about her height, standing five feet eight and one-half inches at the age of thirteen and always being the tallest girl in her class.9 In fact, at the age of fourteen, McCullers announced to her mother that she had begun smoking in an attempt to stunt her growth.51 Perhaps McCullers felt like a freak because of her height. Perhaps it is for this reason that she portrayed Frankie Addams as a person who was fascinated by freaks. Being spiritually isolated as she was, Addams felt able to relate most easily to the maimed and deformed because she considered herself a freak.52

Clearly, then, McCullers' main theme of spiritual desolation is reflected in her fiction. Particularly, her portrayals of Biff Brannon, Amelia Evans, and Frankie Addams convey this theme as remarkable parallels are found between these characters and the life of Carson McCullers. Although she was stricken by spiritual isolation, she was able to create works of fiction which attest to her keen perceptiveness regarding human desolation. McCullers was able to write of such futility of the soul because she was a "lonely hunter" herself.53 It is for this reason that she portrayed Biff Brannon, Amelia Evans, and Frankie Addams

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as seekers who failed to find true acceptance. Theirs was a world of seclusion, a world from which there was little escape. However, in this world, they had one advantage: they were able to view others through eyes which were made extra-perceptive because they were accustomed to misery.

NOTES

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RIGHT-TO-WORK LAWS

Doug Ford, David Gray, and Nick Nauman

Among the most controversial issues in current labor relations are right-to-work laws. The controversy surrounding these laws is not new. For the last forty years, right-to-work laws have been the focal point in the battle between anti-union and pro-union forces. Recently the right-to-work laws debate has even touched some of this nation's most highly regarded symbols: the Boy Scouts of America, the Statue of Liberty, and Lee A. Iacocca.

It is necessary at the outset to define some key terms.

1) Right-to-work laws—laws passed by state legislatures which forbid membership in a union as a condition for employment.1

2) Closed shop—an unlawful arrangement between an employer and a union whereby a person must be a labor union member before being employed and must remain a member of the union while employed.2

3) Union shop—an arrangement between an employer and a union whereby an employer may take on new employees who are not union members so long as they join the union after they have entered employment.3

4) Yellow-dog contracts—an unlawful agreement under which an employee agrees not to join a union while working for the employer.4

The analogy of the pendulum lends itself well to describing the labor relations legislation passed by Congress. Until 1932, yellow-dog contracts were a legal means by which employers could prevent employees from forming or joining labor unions. However, Congress that year passed the Norris-LaGuardia Act, which made yellow-dog contracts illegal.5 The pendulum was beginning to swing toward unions. In 1935, federal legislation was passed which further increased the rights of employees to unionize. The National Labor Relations Act, commonly known as the Wagner Act, set forth a list of activities that employers could not engage in to prevent unions, and it established a procedure by which employees could elect to join or to form a union. The pendulum was most certainly swinging in the favor of unions.

This pendulum was to swing again in 1947. This was the year in which Congress passed the Labor-Management Relations Act, also known as the Taft-Hartley Act, which was an amendment to the National Labor Relations Act.6 This amendment made the practice of closed shops illegal. More importantly the amendment declared that individual states have the right to decide whether or not union shops are legal. Section 14 (b) of the Taft-Hartley Act states the following:

Nothing in this Act shall be construed as authorizing the execution or application of agreements requiring membership in a labor organization as a condition of employment in any State or Territory in which such execution or application is prohibited by State or Territorial law.7

Therefore this section allowed the retention of the right-to-work laws that had been previously enacted. In addition, because of the ever increasing scope of the federal government, some states viewed this section as an opportunity to regain power in labor relations. As a result of the Taft-Hartley Act, the pendulum began to swing back in the favor of management and of people who did not want union membership as a condition of employment retention.

Congress made a very wise decision in 1947. Because of the diversity of the nation, mandatory union membership is perceived differently in different regions. Union shops are appropriate for highly unionized states like New York and New Jersey, but right-to-work laws are suitable for individualistic states like Texas and Nevada. Today there are twenty-one states that have enacted right-to-work laws.

The first states to pass such legislation were Florida and Arkansas in 1944.8 Other states that have enacted these laws are the following: Alabama, Arizona, Georgia, Idaho, Iowa, Kansas, Louisiana, Mississippi, Nebraska, Nevada, North Carolina, North Dakota, South Carolina, South Dakota, Tennessee, Texas, Utah, Virginia, and Wyoming.9 Of these states, Idaho's right-to-work laws, passed in 1985, is the most recent.

Idaho's right-to-work law has been engulfed in controversy. The bill that gave the state a right-to-work law breezed out of the Republican-controlled House and Senate but then collided with a buzz saw, Democratic Governor Bob Evans. He vetoed the bill just as he had done in 1982.10 This was his only intelligent, political option. For many years, the Democratic Party has been aligned with pro-union forces. In recent years those people in favor of right-to-work laws have been associating themselves with the Republican Party. True to form, Idaho's Republican-controlled House and Senate overrode the veto by 65-18 and 28-14, respectively.11 This did not end the battle. Idaho's AFL-CIO filed a motion with the Idaho Supreme Court to block the law on the grounds that some provisions of the law are unconstitutional; the court issued an injunction that deferred enforcement until a referendum vote on the issue was held at the November 1986 general election.12

As defined earlier, right-to-work laws are passed by state
Legislatures to forbid membership in a union as a condition of employment.\(^1\)\(^4\) Basically, this means that states can enact laws which make union shops illegal. In addition, the courts have interpreted these laws to rule on the legality of other unions security arrangements in these states. The issue of maintenance of membership—a union security agreement which requires employees, who are members of a union on a specified date, to remain members during the term of the contract—was decided by the United States Supreme Court in Algona Plywood Co. vs. Wisconsin Employment Relations Board.\(^1\)\(^5\) The Court held that maintenance of membership agreements were unlawful in states with right-to-work laws. The Supreme Court ruled in Retail Clerks Local 1625 vs. Schermerhorn that agency shops—union security agreements that require employees who do not join the union to pay the union a fee equal to union dues—were prohibited if the state had a right-to-work law.\(^1\)\(^6\) As a result of these two decisions, the Supreme Court expanded the definition of right-to-work laws.

Right-to-work laws were never intended to guarantee everybody a job. Right-to-work laws were passed by various states to protect the rights of those individuals who were able to locate employment and who did not wish to join a union to retain that employment. An even clearer understanding of right-to-work laws is gained by reading one. The following is an excerpt from Iowa's right-to-work law:

> It is declared to be the policy of the State of Iowa that no person within its boundaries shall be deprived of the right to work at his chosen occupation for any employer because of membership in, affiliation with, withdrawal or expulsion from, or refusal to join, any labor union, organization, or association, and any contract which contravenes this policy is illegal and void.

> It shall be unlawful for any person, firm, association, or corporation to refuse or deny employment to any person because of membership in, or affiliation with, or resignation or withdrawal from, a labor union, organization or association, or because of refusal to join or affiliate with a labor union, organization or association.\(^1\)\(^7\)

One of the appealing arguments for right-to-work laws is that they encourage responsive leadership within unions. By allowing employees to decide whether or not to join a union, union leaders must work hard to gain the respect of the employees. Thus union leaders must strive to protect the interests of their members and not their own. Right-to-work laws provide a much needed avenue by which employees may voice their displeasure with union representation.

Another argument is favor of right-to-work laws is that union security provisions give unions excessive power in terms of hiring decisions. If a state does not have a right-to-work law, then persons hired for jobs which are unionized must join the specified union at the end of thirty days or be dismissed. In addition, if the union refuses to admit the person or the union expels a member companies must terminate these employees. Employers at unionized companies must hire people who are willing to join unions. This results in management not always being allowed to employ the most productive workers. Therefore, right-to-work laws give employers and employees more freedom in the hiring process.

Right-to-work laws also protect one of man's most guarded liberties—the right to engage in work. People cannot survive without work. The basic belief of this society is that if individuals can locate employment, then they should be permitted to continue as long as their job performance is satisfactory. Consequently, if employment decisions should not be based on race, color, religion, national origin, or sex, why must these same decisions be based on whether or not a person is a union member? Right-to-work laws afford people who do not desire to join a union the opportunity to seek employment at firms which are unionized.

Right-to-work laws also allow states to have some legislative authority in the area of labor relations. This is essential because the individual states, in order best to serve the needs of their population, need to be permitted to decide the legality of union security agreements. It would not be in the best interest of the nation if federal legislation dictated whether or not union security agreements were legal or illegal. A right-to-work law is enacted when state legislators believe that their constituents are in favor of such a measure. State legislators who desire to be re-elected usually do not vote for bills that their electorate opposes. Therefore, states which have right-to-work laws have them because the majority of citizens in those states wanted the laws.

Finally, right-to-work laws protect employees who do not wish to join the union at their place of employment. As stated earlier, employers cannot discriminate against employees who join unions. However, there is no federal law that prohibits employers at unionized firms from dismissing employees who choose, for whatever reason, not to join the union. Hence, this does not represent fairness in employment practices. Right-to-work laws make union membership a voluntary action. Furthermore, one's employment should not be determined by membership in the local labor organization.

Despite these arguments for right-to-work laws, there are also strong arguments against these laws. Among the least appealing aspects of right-to-work laws are free riders: union-represented workers who refuse to join or pay dues to the union.\(^1\)\(^8\) Because of federal law, unions must represent and bargain for all of the members of the collective bargaining unit, irrespective of union membership. As a result, employees can receive labor union representation without paying union dues. This is not fair to the employees who join a union and pay dues. In addition, union members are obligated to strike if contract negotiations breakdown. Conversely, nonunion employees have no such obligation. Therefore, right-to-work laws can have a negative impact on unions most powerful weapon against management—
the strike.

Another argument made against right-to-work laws is that there should be federal legislation to decide the legality of union security agreements. Of course organized labor believes that these agreements should be the law of the land. Labor unions have tried unsuccessfully for many years to convince Congress that Section 14 (b) of the Taft-Hartley Act should be repealed. Their point is that labor issues are national and not local in scope. For the moment, the federal government has decided to stay out of the right-to-work controversy.

Right-to-work laws favor management more than they favor workers. Nonunion employees drastically reduce the effectiveness of strikes. There have also been incidents where managers of unionized firms in states with right-to-work laws would covertly recruit employees who would not join unions. This practice has caused the power of unions which are located in states with right-to-work laws to be eroded. As a result, right-to-work laws definitely give more power to management.

Finally, unions have claimed that right-to-work laws lower the standard of living in the states where they are present. However, research on this issue has been inconclusive. States with right-to-work laws have traditionally not been industrialized. Right-to-work laws have been instrumental in attracting industries to states in the South and West. Hence the standard of living may be improved in these states. As more data is collected, a better decision concerning the issue of standard of living can be formulated. Based on the information presented, it seems obvious that there should be right-to-work laws. Unions are perceived too differently across the nation for there to be federal laws requiring union security agreements. In some states the majority of citizens still have a negative view of unions. Because state legislators are closer to the people, they are the most qualified to make a decision in regard to right-to-work laws. However, as states with right-to-work laws become more industrialized, it will be interesting to see if union membership in these states increases or decreases. At this time, states should be allowed to have right-to-work laws. Nevertheless, at some time in the future, this position should be re-evaluated.

Most of the current controversy concerning right-to-work laws is created by the National Right to Work Committee (NRTWC), an anti-union lobby organization based in Washington, D.C., and by its president, Reed E. Larson. Recently, the NRTWC clashed with the Boy Scouts of America over their proposed "American labor" merit badge. The NRTWC accused the Boy Scouts of allowing the AFL-CIO to contribute ideas on how the pamphlet which explained the merit badge should be written. Changes were made in the requirements for the labor badge, but Scout officials claim that it was not because of pressure from the NRTWC.

In addition, the NRTWC has attacked the Statue of Liberty and Lee A. Iacocca. The NRTWC charged that nonunion contractors were excluded from bidding on the Statue of Liberty and Ellis Island restoration projects. After receiving about 10,000 angry letters of protest, the Statue of Liberty-Ellis Island Foundation changed the bidding procedure to give nonunion contractors a chance to bid on projects. The NRTWC has also accused Lee Iacocca of using his involvement in the Statue of Liberty-Ellis Island projects to further his company's image (Chrysler). NRTWC bases this claim on the fact that Chrysler plans to produce a small car called "Liberty." Nevertheless, the major controversy that NRTWC has become involved in is that of the General Motors' (GM) Saturn plant in Tennessee. Although the plant will not begin production until 1988, GM has already granted the United Auto Workers (UAW) exclusive bargaining rights. This means that the UAW will be representing the employees at the plant. Because of the agreement between GM and UAW, employees at the Saturn plant must either be or become members of the union. Consequently, the NRTWC has filed legal charges against the UAW and GM with the National Labor Relations Board. The NRTWC contends that the Saturn plant labor agreement violates Tennessee's right-to-work law. No matter what the NLRB decides, this issue appears to be headed for the United States Supreme Court. The Court will have to decide whether Tennessee's right-to-work law or the exclusive bargaining unit between GM and the UAW takes precedence. Those individuals involved in labor relations will be keeping a close watch on this controversy. The future of labor relations could be altered by the developments in Tennessee.

NOTES


"Leon A. Wortman, A Deskbook of Business Management (New York: AMACOM, 1979), p. 98.


"Miner and Miner, p. 123.


"Hunt, p. 23.


""Idaho Legislature Overrides Veto of Right-to-Work Bill,” p. 42.


"Foster, p. 49.


"Haggard, p. 151; Miner and Miner, p. 561.

"Harrison, p. 168.

"Goldman, p. 245."


JAMES I AS KING LEAR

Doug Logsdon

Shakespeare’s King Lear is a play written about a king, Lear, and for a king, James I of England. This fact naturally leads to the question, “To what extent were the two kings one?” How much of Lear, if any, is a reflection of James I? What did Shakespeare have in mind in writing King Lear? The answers to these questions cannot be proven beyond a shadow of a doubt; both Shakespeare and James are dead. The play does, however, imply a connection between the fictional court of Lear and the real court of James I.

When King Lear was written, Shakespeare and his company were under the patronage of James I. Shakespeare had gone to London and become a playwright sometime between 1585 and 1592. By 1594 he was a member of London’s foremost acting company, the Lord Chamberlain’s Men, which included Richard Burbage, John Heminges, and Henry Condell, Shakespeare’s lifelong friends and colleagues. Shakespeare was a principal actor in the company, he shared in its profits, and he owned interests in the Globe and Blackfriars theaters along with other members of the company. Besides these obligations, Shakespeare was the company’s “attached dramatist.” He was contracted to write plays exclusively for the company and could not publish them without the company’s consent. The Lord Chamberlain’s Men are known to have performed before Queen Elizabeth on several occasions.

James I, who succeeded Elizabeth in 1603, “much enjoyed theatrical entertainment,” especially comedies and farce. He chose the Lord Chamberlain’s Men as the nation’s finest and granted them a royal charter when he took the crown, thus creating the King’s Men. This was about the time Shakespeare was writing Measure for Measure and Othello. He probably wrote King Lear in 1604 or 1605 for it was performed before James I on St. Stephen’s Day, 1605. King Lear, then, may have been the first play Shakespeare wrote after gaining the royal charter. Coming early in the reign of James I, and from Shakespeare—a playwright who was also part historian—King Lear could have been intended to warn James of the dangers inherent in his monarchy.

Shakespeare encourages the audience to relate to King Lear from different perspectives by repeatedly using the image of a microcosm—a smaller world within a larger one. The entire Gloucester subplot is an encapsulated version of the Lear plot: an aging noble, threatened by his evil child, mistrusts his better child. Besides the parallel plots, Shakespeare constantly compares the parallel worlds of weak humanity and omnipotent Nature, the realm of the gods. Lear “Strives in his little world of man to outscorn/ the to-and-fro conflicting wind and rain,” but ultimately finds his power is no match for Nature. Gloucester, after being blinded, realizes his own powerlessness in the universe: “As flies to wanton boys are we to the gods/ they kill us for their sport” (IV i 37-8). A few scenes later, Edgar describes the microcosm from another point of view—the imaginary Dover cliff: “The fishermen, that walk upon the beach/ appear like mice” (IV vi 17-18).

Gloucester again refers to the correspondence between humanity and the universe when he meets Lear: “O ruined piece of nature! This great world/ Shall so wear out to nought” (IV vi 133-34). Finally, Lear himself brings out the most obvious (but never previously stated) microcosm effect, that of the play as a miniature reflection of reality. Lear speaks as his madness subsides: “When we are born, we cry that we are come/ To this great stage of fools” (IV vii 177-78). Certainly Shakespeare, aware of these images of the smaller world within the larger, must have known that Lear on stage could be taken as a reflection of James; whether or not he intended it can only be guessed. Still, the king was his patron, and Shakespeare “had a sharp and penetrating eye for the realistic motives and cues for passion that lie behind certain basic political stances.” The play does seem applicable to England of 1606, and Lear does share certain characteristics with James I.

The succession of the new order to the old was an issue to James I as well as Lear. Although Lear gave his lands away, James doubtless tried to hold on to his. In James’s day, this was “the central social issue of the time: the transfer of land from the old aristocracy to new entrepreneurs, and from one type of management stressing a natural relationship between estate, lord, and tenant to a new type of exploitation of the land for profit.” Lear’s desire to keep “the name, and all the additions to a king” (I i 134), such as 100 knights, reflects the desire of many old feudal barons to keep armies even after they lost their land. The general trend of James’s time was from aristocracy to a middle-class society; the House of Commons was gaining power and prestige. Thus the old order in King Lear is followed by a committee decision: Albany, Kent, and Edgar discuss who is to rule. None of them wants to, but finally Edgar accepts the responsibility, since a ruler is necessary: “The weight of this sad time we must obey” (V iii 323).

In addition to the general reflection of English society in King Lear, there are several particular characteristics of James I reflected in Lear. After his retirement, Lear wants to hunt with his knights; James’s “chief pastime was riding, and he was often on horseback. For dogs, horses, and hunting he developed a passion that remained with him always.” When James took the throne in England, he lost popular support by playing favorites and getting into disputes with Parliament. In 1599 James published
James's playing of favorites was a major complaint of his subjects; his "partiality for favorites at court prevented him from judging dispassionately the ability of his ablest servants ...." Shakespeare has Lear pick his favorites at the beginning of the play by how much they can flatter him. Lear's vanity was a good example of what not to do for James, but the king evidently paid no attention. He had a receptive ear for flattery, and as his reign progressed, "he ignored words spoken to him unless they were prefaced by titles such as most sacred, plesaful, wise or learnerd." Around 1616, James began to rely heavily on the counsel of George Villiers, a favorite flatterer, whom he made Duke of Buckingham, an action which brought many unwelcome consequences in later years. James often displayed the high-handedness that got Lear in so much trouble, as in this excerpt from an address to his already alienated Parliament: "It is presumption in a subject to dispute what a king can do or say that a king cannot do this or that." Lear's actions reflect the absolute certainty and steadfastness James had in his decisions: "Let it be so! Thy truth, then, be thy dover!" (I i 106).

How could Shakespeare show the divine right of kings fail, make fun of selling monopolies, and imply that James played favorites and ruled arbitrarily? The Fool was Shakespeare's answer to the problem. There was no Fool in The Truth Chronicle Historie of King Leir and His Three Daughters Goneril, Ragan, and Cordella, from which Shakespeare took his story line. "Shakespeare created him. The "all-licensed" Fool is allowed to mock Lear because the king loves him—and Shakespeare is allowed to implicate James because James loves drama. The Fool implies that Lear is a worse fool: "Thou hadst littell wit in thy bould crown when thou gavest thou golden one away" (I iv 143). Although Lear threatens "Take heed, sirrah, the whip" (I iv 96), the Fool knows this is only an idle threat. Shakespeare was not "all-licensed" but he was supported by the aristocracy. The relationship between court and theater has been described this way:

[The acting companies'] members would have been at the mercy of the laws against vagabonds were it not for the protection afforded by the status of being the Lord Chamberlain's servants or the King's Men. The monarchy censored plays and licensed performances through the offices of the Master of the Revels, but it also protected the theaters . . . from the attempts of the city to pluck them down."

Shakespeare may have felt that he himself was the Fool of James's court. There is a certain similarity in their professions: two poets who entertain but use their entertainment to expound on pertinent issues. Shakespeare probably felt sympathy for the Fool at the warnings of "the whip"—Shakespeare had ruffled feathers at court, too. And Shakespeare, like the Fool, was never treated as an equal or given much respect by the nobles, since drama was considered a lowly art in his time: "The men who wrote for the theaters were, in the minds of most people, merely the less serious writers who worked for the players and the acting profession, though an ancient one, was held in low esteem." Shakespeare is careful to show that in spite of his sharp tongue and low station, the Fool is one of Lear's wisest and most faithful friends. Perhaps Shakespeare wanted James to notice him and identify him with the Fool; whether he did or not, Shakespeare must have felt for the Fool he had created.

What was James's reaction to King Lear? He was apparently not displeased because Shakespeare and the company continued as the King's Men for many years. Perhaps James paid the play less attention than he should have, for as Regan remarks, "Jesters do oft proove prophets" (V iii 72). The end of the first scene might have been particularly interesting to James:

REGAN: 'Tis the infirmity of his age; yet he hath ever but slenderly known himself.

GONERIL: The best and soundest of his time hath been but rash; then must we look to receive from his age . . . the unruly waywardness that infect and choleric years bring with them. (I i 289-94).

The above portrait fit James just as well as it fits Lear: an already stubborn, decisive king, James suffered from faltering judgment, even senility, in his later years. He was not in step with his people or his Parliament; and he was, finally, an easy mark for ambitious power-seekers. James's son, Prince Charles, formed an alliance with the king's old favorite, the Duke of Buckingham, and the two proceeded to assume authority. Beginning around October of 1623,
"they showed small respect for his person . . . James was half-excluded from government not only by ill health but by the deliberate policy of Charles and Buckingham." *3* Although he tried to regain it, James had little authority for the remaining eighteen months of his life. Thus James, in his old age, went the way of Lear.

Whether Shakespeare prophesied James’s fall, tried to prevent it, or did not even address it in *King Lear*, it is interesting to note the similarities between the real king and the stage king. Both were victims of their own stubborn snap decisions; both lost some of their mental faculties with old age; and both were prematurely succeeded by their children. Perhaps the Fool would have pointed to James in his later years as he points to Lear, saying, "That’s a shealed peascod" (I.iv 176).

NOTES


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PERSONALITY DETERMINANTS: RESEARCH RESULTS AND IMPLICATIONS FOR INTERVENTION

Terrell Coble

There are many areas of controversy within the behavioral and developmental sciences, but none has been greater than the debate over what determines the personality of an individual. There are those who believe that the chief determinant in personality development is biologically or genetically based. On the other hand, there are those who believe that environmental factors are the more important.

This controversy seems to be of critical importance both to those dealing with behavior and to those whose area of concern is development. For persons in the therapeutic realm it is important to know what parts of personality (if not all of it) are open to change and what areas might not be. Should therapeutic intervention be aimed at changing some aspect of personality, thus getting to the "root" of a problem, or should it rather be directed at helping the individual to cope with something that will always be there? The likelihood of effecting change in some area of the personality certainly seems greater if that area is shaped by environmental rather than genetic factors. Thus the outcome of the biological vs. environmental determinants issue is of critical importance in determining both the aim of therapy and, by implication, the characteristics of the treatment modalities themselves.

The outcome of the biological vs. environmental determinism debate is of no less importance to those in the developmental area. The purpose of developmental studies is, after all, not only to determine how development takes place but also how optimum development might be encouraged. If personality is predetermined biologically, the focus of development ought to be on genetics and other related sciences. On the other hand, if environmental factors shape the child's personality development, there is the possibility of intervention by changing certain of those factors, thus encouraging optimal personality development as he grows.

Twin studies would appear to provide the optimum vehicle for examination of genetically-based development, since monozygotic (MZ) twins share exactly the same genes while dizygotic (DZ) twins share only 50% of their genes. Since MZ twins share the identical genes, discordance in their behaviors or traits would indicate environmental influences in personality, while strong concordance would be the expected finding if genetics plays a major role in development. With DZ twins, the fact that they share only 50% of the same genes makes similarities between themselves and MZ twins indicative of substantial environmental effects.

Despite the advantages of twin study, two factors should be borne in mind. The first is that the twin sample may not be representative of the whole population. The second is that the fact the twins interact provides a possible source of contamination (Loehlin, Willerman and Horn, 1982).

Although temperament and personality are not the same thing, they are seen by some as being vitally related. Temperament, which can be determined in the infant, is viewed by some to be the foundation upon which the later personality will be built (Goldsmith, 1983). It is also believed to be influential in the development of later childhood behavior disorders (Goldsmith and Gottesman, 1981).

In their longitudinal study of twins, Goldsmith and Gottesman (1981) studied 504 twin pairs at the ages of 8 months, 4 years, and 7 years. At 8 months the children were evaluated by psychologists for such things as speed of response, active manipulation, response duration, pursuit persistence, activity level and interest in persons. At 4 years they were evaluated for such factors as emotional reactivity, degree of dependency, attention span, goal orientation, degree of irritability, and activity level. At 7 years the twins were evaluated for qualities such as self-confidence, frustration tolerance, assertiveness, fearfulness, emotional reactivity, degree of dependency and attention span. (This listing of factors evaluated is representative rather than complete).

In this study the evidence for a genetic proponent in the dimension of activity was seen to be strong at 8 months of age. However, at ages of 4 years and 7 years no specific genetic influence was shown, although activity level appeared to be a modest predictor of I.Q. and attention span at 4 years. At 4 years persistence was seen to be affected by genetics, although its heritability was less at 7 years. The apparent instability of these effects was believed to be a reflection of a changing role of genotype during successive periods of personality development.

Another twin study, this one with a sample of 93 sets of twins with a mean age of 50 months, used the Activity Level Questionnaire rather than assessment by psychologists (Willerman, 1973). The ALQ was completed by the mothers and consisted of 32 items related to the child's behavior during mealtime, watching television, playing, etc. Mothers rated the behavior during these activities on a 3 point scale (none to yes—very much). Results of the study were that a significant genetic component for activity level in twins was found, rivaling that found for intelligence (p. .05). However, it should be remembered that similar behavior by twins could also be due to the effects of modeling.

Brown, Stafford and Vandenb urg (1967) in their study of 140 pairs of twins observed such variables as laughing and smiling more readily, shows temper more often, has feeding problems, has more tantrums, cries more, has more
sleeping problems, generally succeeds in taking toys from
twin and more like mother in personality. To evaluate these
items they relied upon mothers’ reports. These reports were
made at 3, 6, 9, 12 and 18 months and at 2, 3, 4 and 5 years
of age. Their results showed a greater concordance in
behaviors of MZ twins and a greater discordance of
behaviors of DZ twins, which would be consistent with some
genetic influence. Figures of significance were obtained for
feeding problems, sleeping problems and mother seeing one
as more like herself in personality.

A final study in the area of temperament is one by
Willerman and Plomin (1973). This was a study comparing
activity levels of children and parents and involved 43
families with children ranging in age from 34-70 months.
The Activity Level Questionnaire was again used, and in this
case the mothers filled out questionnaires for their children
and for themselves. Fathers filled them out only for
themselves. Both mothers and fathers were found to
correlate significantly with their children for activity levels.
The rating methods used would appear to be open to
contamination. However, the authors felt that the agreement
between self ratings of mothers and fathers seemed to argue
for the validity of the method.

In summation, nearly all of the studies examined in the
area of temperament showing genetic influences dealt with
the dimension of activity. The exception was that persistence
was also shown to have genetic influence. None of the
studies cited pointed to environmental influences on
temperament. If temperament is indeed the foundation upon
which personality is built, then there would appear to be
some potential genetic effects upon personality development.
However, a concrete link between temperament and
personality needs to be ascertained.

Several studies have been done involving measurement of
aspects of personality in an attempt to gauge the extent of
genetic and environmental influences. One such study
involved a population of unwed mothers and their offspring
which had been adopted away (Lochlin, Willerman and
Horn, 1982). This study offered the possibility of avoiding
distortion due to interaction inherent in the usual twin
studies.

One part of the sample was comprised of a group of 300
families, each having both adoptive and natural children.
The mothers who gave up the adopted children comprised
the other part of the sample. While at a home for unwed
mothers, subjects were administered a shortened form of the
MMPI. The same test was later administered to the
adoptive parents. Also, children in the adoptive group over
age 8 were given the 16 Personality Factor test, as well as
either the Children’s Personality Questionnaire (ages 8-12)
or the High School Personality Questionnaire (ages 13-18).
In addition to this, one of the adoptive parents rated children
ages 3 and older on 24 bipolar 9-point scales intended to
tap 12 Cattell factors.

The information gained was analyzed to yield 4 factors:
extraversion, socialization, emotional stability and
dominance. The results were that the adopted children were
somewhat more extraverted and dominant than the natural
children. The 2 groups were equally well socialized and
emotionally stable.

The adoptive parents were better adjusted as a group than
the unwed mothers. However, the children of maladjusted
mothers tended to be more extraverted, better socialized,
more dominant and more stable emotionally than the children of the better adjusted mothers. Those children
reared apart from their mothers who were more extraverted
and dominant tended to have mothers who were the same.
The authors concluded that there was evidence for direct
transmission of extraversion but were still left with a question of why maladjusted mothers had well adjusted
children. It was postulated that perhaps there was a
genetically based sensitivity to parental warmth or rejection
which predisposed the mothers to maladjustment while
predisposing their offspring to better than average
adjustment. Thus there seemed to be a genetic-
environmental interaction. However, without more
evidence, these assumptions would appear to be reaching.

Another personality study (Miller and Rose, 1982) used
as its sample 50 MZ pairs and 59 DZ pairs. The subjects
were college students, and controls were singleton students.
The aim was to ascertain familial resemblance on the
personality trait of locus of control. The Internal-External
Locus of Control Scales was administered to all the students
and mailed to the parents to complete also. Complete data
were received from both parents in 86 twin families and 13
single parents of twins.

If the locus of control trait was substantially
environmentally based, correlations between MZ and DZ
twins and parents would resemble each other equally.
However, the correlation between parents and MZ twins was
approximately twice that of the DZ twins and their parents
(r = .46 vs r = .18). Also, the resemblance between DZ twins
and parents approximated that of non-twin siblings and
parents, which was as expected. These results suggest at least
modest heritability of locus of control, and a within-pair
F-test for genetic variance yielded significant results (p < .01),
suggesting the presence of heritable factors.

Another study of personality resemblances between
siblings and parents yielded different results (Scarr, Webber,
Weinberg and Wittig, 1981). In a group comprised of
adolescent and young adult siblings from 110 biological
families and 115 adoptive families, identical tests were
administered to both parents and children. The tests used
were the Edwards Personality Inventory to measure
extraversion and neuroticism, the Differential Personality
Questionnaire to measure social closeness, social potency
and impulsiveness, and the Activities Preference
Questionnaire, which was used to measure trait anxiety.

The results when analyzed yielded parent-child
correlations of .20 for biological children and .06 for
adoptive children. Sibling-sibling correlations were found
to be .20 for related sibs (much less than the .50 suggested
by a purely genetic effect) and .07 for unrelated ones. It was
concluded from the data obtained that only a small
percentage of personality variances could be accounted for
by genetic differences, since the correlation for related
siblings was only .20.

However, since the unrelated siblings yielded a correlation of only .07, the variances in effect could not be explained by the family environmental similarities. The authors postulated that the individual experiences of siblings must be sufficiently different that their personalities develop differently. This would still be an environmental effect, but it appears to be somewhat speculative.

A final study is one by Plomin and Foch (1980). It is yet another twin study involving 108 pairs and was done to eliminate possible distortions inherent in questionnaire-based studies (which most in the genetics vs. environment area seem to be). The twins (average age 7 years) were objectively assessed for activity level, fidgeting, vigilance, distractability, selective attention, and aggression.

All assessment measures were subjected to reliability testing. As a result a part of the test for activity level was eliminated, leaving only a week long test with a pedometer attached to the child to measure activity. Also eliminated were the measures for vigilance and distractability. The remaining measures were as follows: selective attention was measured by asking a child to point out pictures while hearing descriptive words about them on headphones. This was done with and without the addition of background noise. Fidgeting was measured during a 9 minute rest period with the child in a bean bag. Aggression was determined by observation of a one-minute video tape made with a Bobo doll. The number of hits, intensity of hits, and number of quadrants were evaluated.

The only significant correlation was found in the week long activity measure. Other measurements were said to reflect no significant genetic influence. Strong between-family influences for selective attention and number of hits were seen. These same between-family factors were thought to account for variances in the fidgeting measures (with some possible genetic influence) and for about 50% of the variances in the intensity of hits and number of quadrant measures of aggression. All told, it would appear that this study found more environmental influences than genetic ones. However, the superiority of these objective constructs over questionnaires is open to question.

The effects of genetics on temperament appear to be shown most clearly in the trait of activity, suggesting at least a moderate influence. It would also appear that the trait of persistence shows some evidence of heritability, based on the studies evaluated.

In the area of personality there appear to be genetic influences as well. There was evidence of a biological component in such personality dimensions as extraversion, socialization, dominance, emotional stability and locus of control. The evidence is strengthened by the fact that much of it comes from twin studies, which when properly done have a great deal of power inherent in them. One potential weakness of the evidence is that it involved the use of self-report and questionnaire methods. However, there is the danger in objective assessment that constructs themselves might not be valid measurements.

It would appear that a major difficulty in investigating the determinants of personality is that there are no reliable psychometric instruments available for longitudinal research. A combination of instruments must be used at present, which leads some to question the results obtained. Also, there is a scarcity of instruments which are useful in assessing personality in children, resulting in gaps in the coverage of personality concepts. It is felt that work in this area will be hindered until a valid test useful for both children and adults becomes available. Research which would help in the development of such an instrument would be valuable.

Such research might profitably focus on establishing a link between traits of temperament and personality concepts. If temperament is indeed the foundation upon which personality is built, it would appear that such a link would exist, and it would bolster the case for biological influences in personality development if it should be established. In the process both temperament and personality constructs might be better understood and defined.

On balance, the studies examined seemed to argue for biological factors as being important determinants of personality. If biological factors are indeed significant personality determinants, there are important implications for both the therapeutic and the developmental realms.

The implications center around the possibility of therapeutic change. Such changes in a personality dimension would appear much more unlikely if genetic rather than environmental factors are responsible for its development. In a personality area showing strong genetic influences the therapeutic techniques which have adaptation as their aim would seem to have much more likelihood of success than techniques which are directed toward effecting change.

This holds true for the developmental area as well. If a personality dimension is seen to be substantially genetically-based, it would appear that there would be limits to the amount of change to be expected from parental and environmental intervention. This might seem discouraging to some, but if it is true its recognition might help to prevent additional frustration when attempts at change fail. It might also help those parents who feel guilt because they mistakenly blame themselves for their children's undesirable personality traits.

**BIBLIOGRAPHY**


THROUGH PONTORMO'S EYES
Michael Gray

Have mercy upon me, O Lord, for I am in trouble: mine eye is consumed with grief, yea my soul and my belly. For my life is spent with grief, and my years with sighing: my strength faileth because of mine iniquity, and my bones are consumed. Psalms 31:9-11

This excerpt from the thirty-first Psalm of David taps deep into the emotional strata of human religious experience. David sees the world through grieving eyes. The world sees the grief in David's eyes. Whether it is dollar or terror or guilt, our eyes, like David's, become the mirrors of our soul. Indeed, the human eye is an exquisite communicator. What words fail to express, we see in the gesture or manner of the eyes. Thus, it is no wonder that perceptive artists have tried to recreate their rich mystery and, in so doing, capture the very essence of the person whose face they dominate.

The Renaissance master Jacopo Carrucci da Pontormo is one such artist. His treatment of the human eyes is memorably unique. In his chalk studies, they become strongly emotive symbols, records of the kind of all-consuming, even paralyzing grief of which David speaks. Moreover, his dark, vertical ellipses reveal much of his own personality—they testify to his quiet, withdrawn, and meditative nature. And finally, as they are far from naturalistic, they symbolize Pontormo’s Manneristic divorce of the Neoclassical attitudes held by many of his peers. In short, the eyes of Pontormo’s sketches convey at once the (religious) pangs of his subjects, his own inner torment, and the pathway of art in sixteenth century Italy.

Pontormo was born Jacopo Carrucci in 1493 or 4 in the small town near Empoli, Italy, whose name he adopted upon arriving in Florence. Says Mayer in her book Pontormo's Diary: “His father died before he was six, his mother by the time he was ten, then his grandfather and grandmother/guardian in a few more years, finally his sister in 1512 when he was eighteen or nineteen.” She adds: Jacopo had the understanding that comes from being a “rootless child,” he knew the difficulty of staying alive “that grows from boredom into tension, then active solitude” (109). According to Vasari, Pontormo studied under Leonardo, Piero di Cosimo, and Albertinelli and worked as an assistant to Andrea del Sarto. However, in an article for The Burlington Magazine, Beck discredits these early connections, especially the apprenticeship to Albertinelli at age eleven (624). That he was a prodigy is nonetheless generally accepted. Vasari cites an occasion when Raphael, upon seeing a small “Annunciation” done by Jacopo before 1508, was amazed that its painter had been so young. Pontormo’s first independent works date from about 1513, and in them he mimicked the then dominant Classical idiom of his older Florentine contemporaries—specifically Fra Bartolommeo and Andrea del Sarto. Because Pontormo’s assimilation of the High Renaissance was so insightful and penetrating, his break from it would be of historical consequence. This breach came in 1518 with the completion of the altarpiece of San Michele Visdomini.

According to Freedberg, Jacopo’s motives in the Visdomini altarpiece were not negative but simply an extension of the tenets of Classicism—a pressing of them to “negate their origin” (Paintings in Italy, 181). He also writes: “There is a dual reference, in almost each important facet of the altar’s style, to Classical antecedent and to alterations worked on it. The motive force for change begins in an expressive will that has a character of contradiction in it, at the same time irrationally intense and exceedingly refined” (181). It is this will to surpass Fra Bartolommeo’s constraint and del Sarto’s emotional discretion that prevented Pontormo from stagnating in his own pictorial formula as Vasari did. By his thirties, he had reached the eminence of del Sarto, was the leading painter of Florence in the absence of Michelangelo and Raphael, and was the favorite portraitist and mural decorator of the Medici family.

Yet he was not content. As Canaday notes, “he grew inwards, adapting his style not to the taste of the patrons but to the demands of his own shy, introspective, and solitary nature” (275). Although during his forties his popularity diminished (as other Mannerists, including his pupil Bronzino, became more favored) his paintings became increasingly enigmatic, “filled with [writes Canaday] ambiguous relationships, with exaggerations and sophisticated refinements of Gothic forms borrowed from Durer, and with contortions reflecting the anguish but not the positiveness of Michelangelo’s late work (275). Still he worked for whom he pleased, without regard for wealth. His last commissions, the frescoes of the choir of the Medici church of San Lorenzo, came as quite an honor. He spent the last eleven years of his life struggling with them only to have Bronzino finish the work after his death. Mayer comments:

... he painted Adam and Eve, their temptation, the expulsion from paradise, a resurrection, tilling the soil, Cain and Abel, Noah and the ark, the deluge, Moses and the evangelists, Christ judging the blessed and the damned. He died alone on New Year’s Eve, Monday or on New Year’s Day, a Tuesday in 1557 and was buried on Wednesday, January 2, 1557. By 1742 the choir walls had cracked. They were replastered and white washed. The sketches in the Diary and some of
his drawings for the frescoes survive. (167)

Because they were misunderstood, many of his paintings, like the San Lorenzo frescoes, have disappeared or been destroyed. Primarily what we are left with are, according to Rarick, some three hundred and eighty-three drawings(4). These are widely considered to be the true Pontormo. For Canaday, they "amount to a perpetual soliloquy"—a questioning soliloquy that never even expects a denouement (275). Therefore, if we desire to unravel the mystery of the eyes he gives his drawn figures, we must first understand the development of his drawing style, then realize the tension of his manner, and finally, analyze a representative sample of his work.

As he is of the Florentine school, the emphasis he gives to drawing is to be expected. We are not surprised when, in a letter to Varchi, Pontormo claims there is only one aspect of art which is "noble" and it is the basis for both painting and sculpture—the element of disegno (Mayer, 55).

"To the average Florentine artist, drawing was the basis of art in a somewhat academic sense;" to Pontormo, "it was an investigative and creative activity, at once intellectual and intuitive, that was essential to the full expression of his artistic individuality" (Rarick, 3-4). In Pontormo's drawings, most of which are individual, single figure studies, either nude or draped, the conventional distinctions between pensiersi, studi, and modelli are lost in favor of "a highly individual variant of the disciplining, dialectic preparatory process of the Renaissance." In fact, Rarick believes his impulse for drawing was "expressive, not analytic." She claims that in his ouevre there are numerous drawings not connected with pictorial preparation, "free sketches in the modern sense" and many other drawings whose relation to the pictorial process is only "a tangential one." She also notes that while there are few studies of details (like hands and draperies) and few complete modelli, there are, however, numerous head studies—important, she believes because of their psychological content(6).

At the time when Pontormo was expanding disegno into the finished drawing and free sketch, he was also establishing the kind of individuality characteristic of Mannerists throughout the sixteenth century. In the High Renaissance, individuality tended to be subordinate to other more classical ideals, but with Mannerism the pendulum swings back to a more personal, romantic, and impassioned approach. Yet, his arrival at this approach was neither direct nor hasty. He developed via a dialogue between the Classical and Nonclassical. He developed via meditative experiment.

As earlier mentioned, the first phase of Pontormo's career, the period from 1514-1519, is characterized by an attention to late Quattrocento concepts of drawing. His second phase, 1519-1521, is marked by some one hundred drawings and an awareness of the Roman High Renaissance. His studies for the Poggio a Caiano lunette, which are expressly Mannerist, are the climax of this period. The third phase features a typically abrupt rejection of his earlier formula and subsequent artistic isolation. In his drawings for the Certosa cloister, he turns to the solutions of the Durer and Lucas van Leyden prints then popular in Florence.

Gendel says that Pontormo, in these times of seclusion, was "indrawn and painfully bent on his craft"(37). It is in the fourth phase which he makes his most mature Mannerist statement. In the drawings from 1525 to 1530, he attains a synthesis or resolution between what Rarick calls "mannerist novelty and classical tradition"(16). This precarious balance achieved, he is left to again experiment in the period between 1530 and 1545, only this time he is very much involved in the art of Michelangelo, and his work of this phase well within the scheme of the Maniera. Pontormo's last phase (1545-1556) was one of isolated response to the Maniera. These are the drawings of the lost San Lorenzo frescoes whose "sheer creativity and novelty" Rarick believes "equals that of any of his earlier works"(17).

Pontormo's paintings, like Mannerism in general, were largely unappreciated by the Florentine public (his drawings were privately kept). Thus, to truly understand Pontormo and his diminishing appeal it is necessary to realize the strangeness, the foreignness of Mannerism and his particular brand of it. McCarthy writes:

Up to the time of Pontormo and II Rosso, there had been a general agreement, not restricted to connoisseurs, as to what constituted beauty and what constituted ugliness, and the judgement of the citizens of Florence was regarded as supreme. Their quick applause for the new had kept this agreement from becoming a form of philistinism—nobody complained that Giotto was not like Cimabue or that Brunelleschi had violated the plan of Arnolfo. The Mannerists were the first to require a special vision, an act of willed understanding, on the part of the public. With II Rosso and Pontormo, "What can anyone see in it?" became for the first time, a question propounded about a work of art. And even today, the visitor off to the Uffizi who has not been prepared by a heavy reading course in art criticism and theory will find himself wondering, in the Mannerist rooms, what anyone ever saw or sees in this art, with its freakish figures arranged in "funny" postures and dressed in vehemently colored costumes. (108 9)

Says Hauser: "the development of Mannerism marked one of the deepest breaks in the history of art"(3)—for the first time art had intentionally diverged from nature. Moreover, the discipline of form, "the complete permeation of reality by the principles of order," and the balanced sense of harmony were now rules to be broken. For Pontormo's generation the attributes of classicism seemed "cheap, if not actually mendacious" and harmony seemed "hollow and dead." "Unambiguousness seemed over-simplification." "Unconditional acceptance of the rules seemed like self-betrayal" (Hauser,6). In fact, while Classicism best captures the ideals of the Renaissance, Mannerism best describes the real Italy during that period. Like any age in which classical notions prevail, the Renaissance was a precarious, fleeting
balance—what Hauser calls "an interval of euphoria between periods of misery and suffering." "The tormented art of the Mannerists, impregnated with the mentality of crisis and so much denounced and decried for insincerity and artificiality, is a much truer reflection of the age than the ostentatious peace, harmony, and beauty of the classics" (Hauser, 7).

Also, whereas Pontormo's masters, Fra Bartolommeo and Albertinelli were staunch upholders of the Classical tradition, Leonardo was in the end a romantic and Raphael and Michelangelo became increasingly Mannerist or Baroque. Thus, even the work of the very leaders of the rebirth portends its demise. This tension, this instability, is significant because it is the struggle of Pontormo's experiments. To maintain gratia and to deny the Classical was his problem; a nervous, emotional leggiardria was his answer.

If the people of Florence were finding it difficult to accept the new mannerism, Pontormo's reclusive lifestyle only made matters worse. The psychological unease conveyed in the eyes of his figures also seems evident in his personality. Vasari is primarily sympathetic toward Pontormo as a man. He describes him as "a modest person who spoke honorably and in a manner proper to an orderly and virtuous man" (Wackernagel, 81). On the other hand, he criticizes the "madness" of Pontormo's interest in Durer, his extreme solitude, and even his home. Vasari asks: "Did not Pontormo know, then, that these Germans and Flemings came to these parts to learn the Italian manner, which he with so much effort sought to abandon as if it were bad"(99)? Of Pontormo's house he writes: it has "rather the appearance of a building erected by an eccentric and solitary creature than of a well-ordered habitation"(80). He particularly objects to the ladder, which when pulled up, prevented anyone from disturbing Pontormo while he worked or slept. Furthermore, how could Pontormo refuse to work for the Magnificent Ottavio de Medici and then tell over a picture of Our Lady for some "simpleton" mason?

That Vasari was perplexed by Pontormo's nature, even by the way he sealed off the chapel of San Lorenzo for eleven years, may be as much a compliment as a denunciation. Freedberg describes Jacopo as a "frugal and sober man" who was rather miserly than moderate" in his dress and manner of life and who chose to live "almost always by himself, without desiring that anyone should serve him or look for him." Freedberg also mentions Pontormo's fear of death (that he avoided seeing dead bodies) and his dread of crowds. Most interesting is Freedberg's observation that while Pontormo had no difficulty executing a problem once he had determined the best solution, he labored much over the preparatory choices. "At times [writes Freedberg], going out to work, he set himself so profoundly on what he was to do, that he went away without having done any other thing all day but stand thinking"(84). Such a man as this must surely have been exceedingly sensitive, not mad. Such a man as this would no doubt relish the rich, intuitive, symbolism of prompto chalk lines and smudges—even the hasty accident of a well trained hand.

What Vasari best documents is Pontormo's deviation from the Classical norms of painting. These too are significant to a more complete grasp of Pontormo's drawing style as they are reflected in both the finished paintings and earlier draftsmanship. Of the frescoes for the Medici chapel, Vasari comments:

... it does not seem to me that in a single place did he give a thought to any order of composition, or measurement, or time, or variety in the heads, or diversity of flesh-colors, or, in a word, to any rule, proportion, or law of perspective; for the whole work is full of nude figures with an order, design, invention, composition, coloring, and painting contrived after his own fashion, and with such uneasiness and so little satisfaction for him who beholds the work, that I am determined, since I myself do not understand it, although I am a painter, to leave all who may see it to form their own judgement, for the reason that I believe that I would drive myself mad with it and would lose myself, even as it appears to me that Jacopo in the period of eleven years that he spent upon it sought to lose himself and all who might see the painting, among all those extraordinary figures.

(Italian Art 1500-1600, 82-3)

It has already been established that Pontormo gave much thought to his compositions. His "chaos" is intentional. When judged by the criteria presented in Alberti's On Painting, his work both obeys and disobeys. The summation of and cause for all the discrepancies with the code of Alberti is, as Vasari stated, Pontormo's attempt to represent more than what is seen. He does not copy nature—he interprets and adjusts it. Yet even when he obeys he disobeys. Says Alberti, "painting is the finest and most ancient of ornament of things"(67) and in it "grace and beauty must above all be sought"(73). Pontormo heeds these recommendations well: his paintings resonate both ornament and grace, but the beauty they exude is an artificial beauty unlike Creation's. Color, lighting, and depth are all managed so as to develop what Freedberg calls, in the Encyclopedia of World Art, Pontormo's "evocations of singular, haunting states of mind and personality." The resulting figures are "profound in emotion" and "almost precious in their artistic fabric." (Freedberg, 468).

At no time does Pontormo's artificial scheme work better than in the drawings of his fourth phase. These drawings, from the period of San Felicita (1525-1530), represent his most mature Mannerist's style. Says Rearick: "the tensions that have been set up between elements of realism and abstraction were now resolved." His adjustments had been so subtle that "each began to partake the qualities of the other"(59). His arbitrary lighting, originally of this world, is now a strange fluorescent pallor (that Rearick terms "a mystical luminismo") whose beauty, once combined with the rhythmic ornamentality of his line, creates the "binding factor" in the "harmonious interpenetration" of the worlds of realism and abstraction (Rearick, 59). In other words, his success in this fourth phase is due to his unique
luminismo and disegno. Another element important to his successes of this period is his careful reassertion of the Classicism of Leonardo, Raphael, and Michelangelo—a reaffirmation evenly balanced by the style of his own earlier experiments. While the grace of his line and modeling pays tribute to their classicism, it comes short of mimicry; he merely exploits their strengths to his advantage. His figures in the sketches for The Deposition, The Annunciation, the Madonna and Child with St. John, St. Jerome in the Wilderness, and the Portrait of the Halberdier are all born of the "continuous, warping, rhythmic contours" (Rearick, 60) made famous by the Renaissance masters.

Rearick describes his lines in this way:

Line is now a finespun red chalk filament slowly pulled out with a precise grace and without interrupting accent or undue stress. There is no trace of either the shorthand angularity that distorted shapes with sharp brilliance in Poggio a Caiano drawings or the laconic thinness of line that dematerialized them in the Certosa drawings. Forms are anatomic by virtue of Pontormo's own experiments of the past decade, but these attenuated and warped shapes do not seem to be, as before, discovered at the moment of seeing. Rather they exist as a priori rhythmic patterns that imperceptibly but with exact calculation absorb natural form. In these S. Felicita studies we witness the birth of the disegno interno in Pontormo's drawings and the shift in creative procedure that this implies. (60)

The studies for The Deposition (III.4) and St. Jerome (III.1) offer prime examples of his "complex gracility of curving line" (Freedberg, Painting in Italy, 182). Of the composition in The Deposition (III.2), Freedberg states: "it moves in a counter-clockwise interlacing like a visual polyphony, unfolding the narrative and commenting on its emotions as it proceeds" (188). Clapp describes the rhythm as "strange, torn, gyrating" with "complex cycles of movement" whose effect is still "delicately adequate and soothing" (45). This is true of the studies for St. Jerome as well. In these drawings, the upwardly flowing, serpentine contours simultaneously defy any physical weight and lead the eye in a vortical path towards a vacant center. As a result, Jerome appears to float up and topple forward as if there were no gravity. This same "effect occurs in his The Deposition, only the center is now the Virgin's lap instead of Jerome's abdomen."

As for Pontormo's lighting, it is achieved via a transparent veil unlike his earlier sfumato—it is what Rearick calls a "radiant chiaroscuro" (61). Rearick posits that the predecessor of this delicate modeling is the shading Leonardo gave his silver point head studies (62). The musculature is, on the other hand, broadly borrowed from the sculptural studies of Michelangelo except through manipulation it too affects a feeling of weightlessness. Thus, Jerome's muscles look airy rather than dense and his bulky shoulders look inflated rather than stout. Rearick concludes that Pontormo's "rarefied atmosphere" is "incapable of sustaining any but his dematerialized beings (62).

Balance is the magic of Pontormo's work and the fruit of his many carefully induced resolutions. He regroups nature's postulates so as to communicate his disturbing messages with an ironic sweetness. The emotional states he portrays range from "mute outcry" to "yielding sympathy" to "paralyzing inaction" (Rearick, 62). Yet each one is delivered with a serenity that satirizes Classical restraint. To be in such dynamic poses, his figures appear stilted, like puppets hung with strings. And when viewed from outside his Manneristic structure, his visions become pale, impotent children of the incestuous vacuum of his isolation; viewed from within they are magnificent, tottering balances between abstraction and naturalism.

In summary, the greatest visual gift of sketches like those of St. Jerome is the emotion they convey. For when the poetic expressiveness of St. Jerome's pose is heightened by the grief we see in his eyes, we in effect become surrogate sufferers. Pontormo's Manneristic style only adds to this more. We feel the terror and the fear that wrench his body and soul. Likewise, when we view The Deposition, we experience the event through the eyes of each participant. We sense their shock and their impending tears. Truly Pontormo could render an eye, like David's, consumed with the kind of grief that engrosses body and soul as well.

Thus we come full circle. The strange, darkened, vertical ovals are the trademark of Pontormo's oeuvre (III.3-5). That he draws them so frequently in this fashion demonstrates his fondness for their greater symbolic potential. They foretell the strong emotion of the glaring, upturned eyes of the finished drawing or painting—they initiate the emotional expression of the figure's face. As they are elongated, they also parallel the Manneristic lengthening of the figure in general. As they are unnatural, they resonate Pontormo's brand of arbitrary creativity. And finally, as vehicles for emotion (for grief) they represent Pontormo's meditative melancholy.

NOTES

For a more complete treatment of Pontormo's life see pages 1-98 of Clapp.

Edmund Pilsbury, in his review of the Rearick text for Master Drawings, claims that while her book "still constitutes the best available account of the artist's career and place in sixteenth century Italian Painting," many of her assumptions are disputed because of her restricted view of Pontormo's oeuvre. He and other reviewers feel she may have sacrificed odd studies (including certain anatomy drawings) in order to establish a coherent, streamlined, account of his stylistic development. At any rate, her work is crucial for this paper.

For an in-depth look at Pontormo's entire career, complete with an extensive discussion of his many influence see the Rearick text. In order to further understand how Pontormo's work and especially the eyes in his chalk figures capture the essence of the Mannerist movement, I will examine in detail only the fourth phase of his career—the phase of his mature synthesis.

"Leggiadria is what Leonardo calls "elegant charm." Human figures of this quality should be delicate and elongated without too much exhibition of muscles, they should have relaxed limbs, and they should have no part of the body in a straight line with the part next to it."

In his letter to Varchi (pages 55-59 of Mayer), Pontormo professes that painters are "too daring and too eager to imitate all things nature has
made it "too daring" to make objects come alive on a flat surface. 

"when God created man he sculpted him in the round, which makes it easier to give life to a figure." Painting, he says, is a miraculous and divine discipline "full of artifice."

Alberti would be at once proud of such lofty movements and repulsed by the many upturned eyes who seem as close to fainting as to Heaven. The upward movement in both paintings is aided by the narrow, pointed feet, reminiscent of Botticelli.

BIBLIOGRAPHY


See illustrations on following pages.
1. Study for St. Jerome, c. 1527-28 (Uffizi 441F recto)
2. *Deposition*, Capponi chapel, S. Felicita, Florence, 1525-28
3. Draped boy seated on a stool, c. 1514 (Uffizi 6564F recto)
4. Study for the Deposition. S. Felicita. c. 1525-28 (Uffizi 6666F recto)
5. Study for the Christ in Glory and Creation of Eve, S. Lorenzo, Florence, c. 1546-50 (Uffizi 6609F)
OPERATING UNDER THE FAIR DEBT COLLECTION PRACTICES ACT

Jennifer Womeldorf

The Fair Debt Collection Practices Act was signed into law by President Carter on September 20, 1977. This statute is the first of its kind. Before its passage there was not much federal regulation regarding abusive debt collection practices.1

The professional debt collector is a familiar figure in the American population. Almost every adult in the U.S. has bought goods on credit. All these people are possible targets for abusive debt collection practices. A lot of people who are abused (by harassing calls and threatening letters) have every intention of paying their bills, and they need some protection.2

The purpose of FDCP act is to stop abusive debt collection practices and also to encourage similar state action to protect consumers. The FDCP is negative in nature: a number of practices are forbidden instead of requiring the collection agencies to become licensed. One interesting feature of the FDCP act is that it applies only to independent debt collectors and not “in house” debt collection. So when collecting on his own debt, a creditor can use methods an independent debt collection agency cannot. Congress did not include them in the act because of goodwill considerations and also their stable economic nature. However, they are amendable to regulation by the FTC because of the latter.3

The act applies to consumer debts. Purchases are mostly personal. The theory behind this is that businesses can protect themselves from abusive collection practices.4

Under the FDCP act, there are some collection tactics considered harassing or abusive; these include certain types of misrepresentation and the use of unfair collection techniques. The language in this section is vague in order to cover most any problem in this area. This way most any person adversely affected by an unfair act could be protected, even though not specifically protected under the act.5

Under subchapter 5 S1692 abusive practices by debt collectors are prohibited. This subchapter’s purpose is to eliminate abusive debt collection practices by collectors, assure that debt collectors who do not use abusive practices are not disadvantaged, and provide consistent laws concerning abusive practices by all the states. This subchapter is known as the Fair Debt Collection Practices Act (FDCP)6

1692a is filled with definitions used in this subchapter. I will use the terms consumer, creditor, debt and debt collector, assuming the reader knows the definition of these terms.7

1692b is concerned with acquiring location information. When a debt collector tries to get information from a person other than the one owing the debt, the person must identify himself and his purpose. For example, when acquiring location information, the collector cannot say that the consumer owes a debt. Furthermore, a collector should not communicate more than once with that person, unless asked to do so by the person or under the assumption that incorrect information was given at first and now the person knows the correct information. The debt collector must not use a postcard to communicate. He must also not use any symbol on an envelope that would indicate the sender is in the debt collection business. After the debt collector knows the consumer has an attorney, he must talk only with that attorney unless the attorney does not respond within a reasonable amount of time.8

Communication in connection with debt collection is under 1692c. First, a collector must not communicate at any unusual time or place or at any time known to be inconvenient. Convenient time is normally 8 a.m. to 9 p.m. Second, he cannot communicate with the consumer when the consumer has an attorney. Last, the collector must not contact a consumer at work when the collector knows the employer prohibits this type of disturbance.9 Another aspect of 1692c is communication with third parties. Put simply, a debt collector cannot try to talk to any one concerning the collection of a debt except the consumer, unless otherwise authorized.10

The last part of 1692c concerns stopping communication. When a consumer writes a debt collector and refuses to pay the debt or asks that any further attempts to communicate be stopped, the debt collector must stop. The only other communication necessary may be a notification that communication will be stopped or that the collector will use certain remedies to collect the debt.11

Harassment or abuse is the subject of 1692d. A main thrust of this act is the prohibition of any activity which will harass or abuse the consumer. Violations may include the use of threat of violence, the use of obscene language, the publication of names of consumers who do not pay their debts, and annoying phone calls. In a decision related to conversations by phone, the conclusion was harassment when the collector called again immediately after hanging up the phone. (Bingham V. Collection Bureau, Inc. D.C.N. 1981, 505f. Supp. 864).12

False or misleading representation is covered under 1692e. While collecting a debt, a collector may not use any deceptive or misleading practices. Misrepresentations may include: The amount or legal status of a debt, the amount charged to collect a debt by a collector, the false implication that a person is an attorney, the implication that non-payment will lead to time in prison, the threat to take action that is not legally possible, and the implication that the consumer
committed a crime.\textsuperscript{14}

Concerning the status of a collector, a collector was found not in violation of the section when the collector did not misrepresent his status in a notice to the consumer but stated that people who paid their accounts would keep a clean credit standing (Harvey vs. United Adjusted D.C. Or, 1981, 509 F. Supp. 1218).\textsuperscript{15} In another decision involving threats of illegal actions, a collector was found in violation of this section when he threatened to contact the plaintiff's employer and/or friend which could not legally be done. (Rutyna vs. Collection Accounts Terminal, Inc., D.C. 111, 1979, 478 F. Supp. 980).\textsuperscript{16}

1692f concerns unfair practices. A debt collector may not use any unfair means to collect a debt. A few violations include: the collection of any amount that is not agreed upon or authorized by law; the suggestion of accepting a post dated check while threatening a consumer to deposit the check early; charging a person for communication, such as phone or telegram, when the person did not know the purpose of the message; threats of non-judicial action to take away property if the collector has no legal right; and finally notification by postcard or any symbol on an envelope implying the letter is from a debt collector.\textsuperscript{17} In relation to this last point, the defendant, the collection agency, violated this subchapter when a return address was put on an envelope. This indicated the defendant was in the debt collection business. (Rutyna vs. Collection Accounts Terminal, Inc., D.C. 111, 1979, 478 F. Supp. 980).\textsuperscript{18}

1692g involves validation of a debt. Within 5 days of the first communication with the consumer, the collector must send a written notification stating the amount of the debt, the name of the creditors to whom the debt is owed, and a statement that unless the consumer disputes the validity of the debt within 30 days the debt will be assumed valid. If the debt is disputed, the collector must get verification of the debt; and if the consumer requests, the collector must provide the name and address of the original creditor, if different from the current creditor.\textsuperscript{19}

Another section of 1692g states that if the consumer does not dispute the validity of a debt, the consumer is not liable.\textsuperscript{20} A decision concerning the verification of a debt states that a debt collector's verification notice violated this section because in the notice the collector did not provide certain information concerning the consumer's right to dispute a debt or any portion of a debt. The consumer received the notice, but information was omitted. (Harvey vs. United Adjusted D.C. Or, 1981, 509 F. Supp. 1218).\textsuperscript{21}

Multiple debts are the subject of 1692h. If a consumer has multiple debts, then a single debt sent to a collector must be applied as the consumer requests, not as the collector would like.\textsuperscript{22}

Legal actions by debt collectors are covered by 1692i. When a debt collector brings legal action against a consumer, he must do so in a judicial district or similar legal entity where the property is located. If property is not involved, then action should be brought in the judicial district where the consumer signed the contract, or in the district where the consumer lived at that time.\textsuperscript{23}

1692j says that it is against the law to design any form that may lead the consumer to believe that anyone but the actual creditor is participating in the collection of the debt.\textsuperscript{24} 1692k is concerned with civil liability. If a collector violates this subchapter, he may have to pay damages. In an individual case, damage may not be greater than $1000 or 1% of the net worth of the collector. Also, the costs of attorney's fees and court fees may be included. If the suit was brought in bad faith, the court may award attorney fees to the collector.\textsuperscript{25}

Any action taken to enforce this law may be taken in any appropriate U.S. district court. The amount of the suit or any court or jurisdiction is not a condition. The action must be taken within 1 year of the violation.\textsuperscript{26}

1692l is concerned with administrative enforcement. The elements of the subchapter will be enforced by the FTC except where another agency is specifically assigned. The FTC can use all its powers to enforce this act, whether the violator is engaged in interstate commerce or meets any other jurisdictional tests. It can enforce this act as if it were a violation of a FTC trade regulation rule.\textsuperscript{27}

1692m requires a report to Congress by the FTC on a yearly basis, including recommendations.\textsuperscript{28} 1692n states that state law is not annulled by the act unless there is an inconsistency between state and federal law, then only to the extent of the inconsistency. However, if state law provides greater protection to the consumer, it is not considered inconsistent.\textsuperscript{29} 1692o provides some exemption for state regulation. If the FTC determines that a state's laws are as stringent as FDCP and if there are proper enforcement provisions, some classes of debt collecting within any state may be found exempt.\textsuperscript{30}

There are two defenses for a debt collector charged with violating the FDCP: that the violation was the result of an unintentional error or that the action was done in good faith, on the advice of the FTC. If the debt collector is trying to prove he made an unintentional error, he must show a reasonable attempt of preventing that error.\textsuperscript{31} One decision where a firm relied on FTC advice suggested that the firm was not protected by the error defense. In Hulsizer vs. Global Credit Service, a debt collector relied on the informal advice of the FTC. The collector violated the FDCP Act. The eighth circuit concluded that the violation of the law while relying on the advice of a counsel is not protected under the error defense of the act. The advice was informal and Global chose to rely on it instead of statute.\textsuperscript{32}

With all the prohibitions of the FDCP Act, it would seem debt collectors would be opposed to it; but this is not the case. On the average, individual debt collectors in support of the act believe reputable collectors can live under the act. The act may prevent unethical debt collection agencies from obtaining a competitive advantage.\textsuperscript{33}

There are some problems with the act. For example, it can be difficult to get proof of the identity of debt collectors. When debt collectors do use abusive tactics, they often go under assumed names and do not identify the party for whom they are calling. An abusive activity is also hard to identify.\textsuperscript{34}
It seems practical to require licensure of debt collectors. Thus, when an abusive activity is proved, the collector could have his license taken away. It would be a powerful incentive. However, this may require additional agencies.

Another area of concern may be criminal sanctions. The Justice Department will probably not add criminal sanctions. Criminal penalties might be a stronger deterrent, but individual civil remedies probably reduce abuse.

There are two areas that Congress did not regulate: director creditor (in-house) debt collection activity and debt collection practices aimed at non-consumer buyers. The American Bar Association opposed the act because it did not cover in-house debt collection. Because of this exemption, there may be a decrease in the use of outside debt collectors by creditors; or company ownership may be manipulated to make the debt collector a subsidiary of the creditor. The FTC believes that regulation of in-house collection agencies may be needed. Possible regulation of non-consumer buyers may also be extended under the FDPC act.

One last problem is the dumping of a large number of cases on the courts. The courts are definitely over-burdened. The usual monetary jurisdictional requirements are waived under the FDPC act which make the case load larger.

As a last addition, in February of 1984, the FTC adopted a new rule concerning debt collection by lenders and retail installment sellers. Any violation to the rule will be a violation under FTC act §5. Certain acts are considered unfair under this rule. 1) Wage Assignments: the creditor cannot deduct any amount from the wages of a consumer without staying within federal guidelines and judicial proceedings. 2) Household goods: a creditor cannot just go into a home and repossess and sell household goods when a loan is defaulted upon. Also required is the creditor’s notification to consignors that they will be required to pay if the debtor defaults. Certain waivers by the consumer are also thought to be unfair. These include a consumer’s waiving his right to be notified of his court dates and to present a defense or to hold on to certain personal properties. Last, the rule protects a consumer from multiple late fees when only one payment has been missed.

This act was a good first step to initiate changes in the abusive practices of a debt collectors. There are problems, but this step was an important and wise one.
A GLANCE AT PHENOMENOLOGY
AND ITS APPROACH TO LITERARY CRITICISM

Carole Baum

Phenomenology is described by John Vernon in his introduction to The Garden and the Map as a literary method which consists of a “contemplation of phenomena, putting aside any a priori methodological presuppositions or intellectual considerations” (xv). In an essay entitled “What is Phenomenology?” Maurice Merleau-Ponty calls phenomenology “a matter of describing, not of explaining or analyzing” (70).

“Contemplating” and “describing” are two somewhat synonymous but distinctive parts of a complex theory and literary method that emerged in the early to middle years of the 20th century. Seen more as an approach than a school, phenomenology has a large number of terms and concepts which have been unsystematically defined and redefined over a period of years. Developing along the existential thinking that followed World War II, it reflected the desire for a new philosophy of human experiences (Lawall 2). As a philosophy, it emerged on the Continent at the turn of the century through the works of Edmond Husserl. It later developed as a literary criticism, gaining greatest popularity around 1960. Through the translations of the works of Belgian critic Georges Poulet and the subsequent works of American J. Hills Miller, phenomenology entered the American literary scene. In time and origin it parallels the arrival and growth of Structuralism, both beginning on the Continent and growing to highest popularity in the 50’s and 60’s. As a criticism, existential phenomenology is often referred to as a criticism of consciousness and it also finds its place in reader-response and implied reader criticism. Just as a philosophy of phenomenology developed as a reaction to turn of the century empiricism, phenomenology as literary criticism was a reaction to the analytical and positivistic attitudes of the new critics and the Objective Theory of Art.

The language of phenomenology houses many terms which have been constantly defined and redefined. In Story, Sign and Self, Robert Detweiler lists what he considers some of the basic concepts of the “original” four philosophers of the movement, Husserl, Heidegger, Sartre and Merleau-Ponty: intentionality, the preobjective world, intuition, the epoché, the life-world, essences, noësis and noëma, and the transcendental ego (8). The following very brief descriptions (very brief indeed, considering the many volumes that have been written) are given for the reader to gain in some small sense an overview of the phenomenological process and some of the changes it underwent by its various proponents.

Arguing against the empirical idea that an object exists in a noemal realm of cause or material being, phenomenology “aims at an acausal analysis” of an object “that restricts itself to exhaustive description of what is directly given in awareness” (Preminger 961). An object achieves meaning only as it registers in the active use (intentionality) of the consciousness. “Consciousness is an act wherein the subject intends (or directs himself towards the object), and the object is intended (or functions as a target for the intending act) . . . .” (Magliola 4). Consciousness is always object oriented. “Consciousness always necessarily ‘apprehends’ its objects, which simultaneously reveal themselves to consciousness . . . .” (Detweiler 9). In the early stages of Husserl’s philosophy subject and object are reciprocally implicated. In his later stages his position shifted to a more Cartesian and Kantian focus, making subjectivity constitutive of objectivity (Magliola 4). Heidegger focused on consciousness as existence itself. Sartre posited two levels of consciousness, one of the reflective consciousness of self with the ego as object, the other a pre-reflective consciousness which is pure negation. Merleau-Ponty on the other hand believed the pre-reflective consciousness makes the world appear (Gras 9).

The pre-objective world is the world of “essences” beneath the world of facts. It is prior to the reflecting and objectifying processes that separate subject and object. It is arrived at in a series of steps called “reductions” and is accessible through the intuition and epoché.

The epoché is a French word which is translated “suspension.” One suspends or “brackets” (in order to get to the essences) the common-sense reality of the world around us. All natural observations and judgments are temporarily laid aside in order to prepare for the reduction. The resultant attitude is a presuppositionless neutrality.

The “reductions” are difficult to define. Husserl offers no method or technique on how to achieve them. Some interpreters describe six stages, others only two. Two will be described here. Most agree that the eidetic reduction is the most important. This is an attempt to reduce an object down to its essence (eidos) by systematically testing what can be discarded from it without destroying its identity. The next reduction brackets what is left and focuses on the pure stream of consciousness, “to transcend one’s own temporal historical ego-existence and encounter pure intentionality” (Detweiler 12). It is at this point that we encounter intuition.

Intuition is an openness and thinking back that leads to original perceptions of the world. These perceptions are called intuitive because they are not arrived at through deduction and empirical reasoning. (For an interesting example of how this works, one could read “The Visual Perception of Distance.”) In this essay, Edward G. Ballard describes how one might perceive or “intuit” distance through phenomenological methods. Discrediting the use of
scientific observation of data or linear measurement, he explains how to determine the nearness of farness of an object, in this case, the Saarinen Gateway Arch at St. Louis, Mo.) (187-195).

The life-world in Husserlian terms is "the moving historical field of our lived existence" (Detweiler 2). It is not the physical, material world surrounding us, "it is the world as it gives itself to the intending consciousness" (Detweiler 12). To the phenomenological critic life-world involves the author, the world created in the work, and the life-world of the reader.

The essence is what is present to consciousness after empirical reasoning is excluded. Factual data such as measurement, temporal-spatial description, and causal relationships do not describe the essence of an object to the phenomenologist. The essence is an act, not an object. It is noema, that which is perceived. (Act of perceiving is noesis).

The transcendental ego refers back to the second or transcendental reduction. The essence (eidos) is bracketed and the ultimate consciousness is revealed—a consciousness that makes this world possible.

The phenomenologist moves through the various stages of examining phenomena in the following way: setting aside all presupposed judgements of time, space, or description in the epoché one proceeds with exhaustive description of the object intended in the first reduction to focus an awareness on that which can be intuited as the essence (eidos). In the second reduction the eidos is further bracketed until the ultimate consciousness is revealed. The phenomenologist momentarily transcends the physical world of space and time and the intended object becomes subjectivity of his consciousness. It is this momentary point that George Poulet describes as "interior distance."

This distance is a zone of calm, a reserve, and a silence between finding a word and knowing the word, between speaking the word and the spoken word; it's the time and space of experiencing an experience. (qtd. in Haas 159)

The concept of consciousness or the subject/object dualism of Husserl is at the core of phenomenological thought and criticism. Each philosopher has a slightly different concept of consciousness. Martin Heidegger links man's existence to his consciousness. He describes man as "the temporal horizon with which the things of the world appear and thereby come 'to be' in time and history" (Gras 2). He also describes man as the meaning-giver. "Heidegger views man not as a thinking subject with fixed properties or categories, but as a Dasein, as a function more than an object... man is a process whereby meaning comes into being" (Gras 3). He does not deny that man needs matter or body to exist, but "human 'existence' consists in the creation of meaning" (Gras 3). The idea of human existence consisting in the creation of meaning became an important aspect of the literature and criticism growing out of this philosophy. This criticism sees literature as an act or creative genius, a drama taking place in the mind. To Heidegger, "Being-in-the-world (Dasein) is first and foremost a creative intentionality, a turning to the things that are in order to express and articulate them" (Gras 3). Further, "without human 'care,' without the exercise of human freedom as the 'being who raises the question of being,' neither self nor world would exist" (Gras 3). The existence of man is not a static unity but "an emerging, unfolding development. In and through temporality, human Dasein discloses the things that are while simultaneously creating his own existence" (Gras 3).

Sartre's concept of the pre-reflective consciousness gave rise to a negative existentialism. In his pre-reflective state, man "can never exist as being because he exists always apart as consciousness of being" (Gras 8). Since man as being becomes man of subjectivity of consciousness, the essential freedom of man is a void, a nothing. Sartre's writings reflect the struggle of the subjective man to become objective man, a thing in-itself. But the transcending ego is always ahead of itself and man can never exist as he is. Merleau-Ponty's view, on the other hand, was that the pre-reflective consciousness makes the world appear. He looked at the eidetic reduction as that which "brings the world to light as it is" (Ponty 79). Arguing with those who would say the world is a state of consciousness, he comments: "The world is not what I think, but what I live through. I am open to the world, I have no doubt that I am in communication with it, but I do not possess it; it is inexhaustible" (80). He further adds: "We must not, therefore, wonder whether we really perceive a world, we must instead say: the world is what we receive" (79). In contrast to Sartre, Merleau-Ponty calls the eidetic method the "method of a phenomenological positivism which bases the possible on the real" (80).

Phenomenology as literary criticism arose in Europe in the 1950's. Some of its early critics were Marcel Raymond, Albert Beugn, Gaston Bachelard, Roman Ingarden, Mikel Dufrenne and Georges Poulet. It spread to America when Johns Hopkins University Press published the works of two European critics in the 1970's. One was Wolfgang Iser's The Implied Reader: Patterns of Communication in Prose Fiction from Bunyan to Beckett (1974); the other was the translation of Belgian Georges Poulet's Proustian Space, by Elliott Coleman (1977).

Phenomenological criticism is often used synonymously with criticism of consciousness when speaking of the approach to literature used by the Geneva School. Tied together by connections of friendship as well as with connections to the University of Geneva, this group includes Marcel Raymond, Albert Beugn, Georges Poulet, Wolfgang Iser, J. Hillis Miller, Carey Nelson and others. Their criticism seeks to define a work in terms of the intending consciousness of the author. This is not the same as accepting what the author says his intent was in writing, as the Intentional Fallacy of Wimsatt and Beardsley warned against. Rather, one learns by experiencing the life-world of the work itself what the intending consciousness of the author is. Without entailing the author's life experiences at the time he created a work, the phenomenological approach
"focuses only on that aspect of the author’s consciousness which transferred itself into the literary work, and indeed, is now and forever present in the work" (Magliola 10). In describing what does not belong in a literary work, Roman Ingarden makes explicit his view that "the experience of the author during the creation of the work do not constitute any part of the created work" (22). Some critics of this school would analyze only each individual work, while others felt it necessary to examine the entire corpus of an author's work to become aware of his intentionality.

It would be impossible to describe the theories of each of the Geneva School critics in such a short work. However, there are four who characterize significant developments in the phenomenological approach to criticism: Raymond, Beguin, Poulet and Miller.

Marcel Raymond was the most seminal of the Geneva Critics. He maintained a certain traditionalism in his approach but began to see criticism as an "empathetic reading of the text as human experience" (Lawall 21). Rejecting classic genres as being unreal abstractions of human qualities, with a separation of man from his environment, he favored baroque, Romantic and modern thought seeing in it a certain impulse seeking to form art into "some kind of irregular means of metaphysical knowledge" (qtd. in Lawall 31). Modern thought was leading toward a view of art in which "existential perception is both the means and the end of creation, where 'frontiers disappear between subjective and objective feeling' " (Lawall 31-32). Raymond saw in Baudelaire's writings a transcendental state which he described as the basic human experience. The poet's task, according to Raymond, is to express this experience: "to extract from reality a 'hieroglyph' which will reveal the 'eternal meaning of existence' " (Lawall 32). Further, the poet, by suspending his earthly, personal self, is integrated into a transcendent reality, "perceiving and re-creating the existence of a whole universe" (Lawall 32). Raymond's own empathetic approach took on phenomenological dimensions during a two-year stay at Leipzig as a French lecturer. It was there that he came into contact with Hans Driesch, who influenced him greatly. Raymond wrote of Driesch, "It was from him that I first learned that consciousness always has an object, that one is always conscious of something" (qtd. in Lawall 25). Raymond's coupling of the, neo-Romantic and phenomenological thought produced a view that defines art as a human expression and similarly that "great art is the profoundest, most basically human expression, and that its creator—the genius—is best able to represent humanity" (Lawall 39). His critical approach broke with the tradition of analyzing the work in a chronological fashion and focused instead on the human experience which presented itself in the work. He thus paved the way for the later Geneva Critics.

Albert Beguin was a close associate of Raymond. He also favored Romanticism and interpreted it as a metaphysical development. He is best known for his description of the Romantic soul in literature. "It is a sensitive, perceiving instrument which intuits the existence of a universe beyond formal knowledge and communicates this intuition as best it can" (Lawall 52). The Romantic soul, drawing on its own intuitions, "creates a literary work that is primarily amenable to categories of mystic knowledge and not of formal construction" (Lawall 52). The Romantic soul, then, is characterized as perceiving reality, by intuition and re-creation. Beguin rejected any formal discipline that does not use Romantic knowledge and literature as an interrogation of human experience. "Knowledge in the accepted sense, he maintains, need not be found inside or through the work; rather the work itself should be an active communication of vision" (Lawall 52). Beguin experienced a religious conversion after developing his literary approach which led him to consider works with religious themes. His distinction lies in his ability to adhere to a Christian philosophy and yet describe works of a religious theme in existential terms.

Like Raymond, he championed sympathetic reading as opposed to formal systematic readings. His own critical examples, his concept of the author's visionary experience and immediate style, and sympathetic reader involvement all had an influence on subsequent criticism.

Georges Poulet is one of the most influential characters in the literary criticism that grew out of phenomenological thought. He is the first to use the concept of human experience in literature as a tool for analysis. He takes up the sympathetic and subjective approach of Raymond and Beguin, but he is more systematic. He is the first to propose analytical coordinates for the human experience in literature. He focuses this experience in time and space. Through his analysis he is able to recreate the various stages an author uses to grasp a sense of his own existence. Emphasizing the shifting patterns of perception throughout generations of literary thought, he rewrites literary history and makes it a "history of the mind expressing itself in forms" (Lawall 75). Poulet's hypothesis is that a work or group of works is keyed to a central core or foyer that generates interlocking themes and governs its identity. His technique is to extrapolate and juxtapose various words and phrases, often of a temporal or spatial significance, and reveal the human experience or cogito of the author. "An author's perceptions of time and space constitute his personal means of comprehending his situation, and are in the text the key by which he may be analyzed" (Lawall 84). An author is not a historical literary figure, but a literary image created by the actual process of composition. In writing, the author reflects his human experience and at the same time creates his existence. Literature is the highest and most vital point of human expression, the only way for man to express himself. Poulet's methods, standards, history and philosophy all blend together to make a coherent system of existential interpretation. No longer connected with formal or historical considerations, it is an approach that must be accepted or rejected on its own values.

Poulet's criticism never loses sight of the subject-object dualism. "Criticism cannot be contented with thinking a thought. It must work its way further back, from image to image to feelings. It must reach the act by which the mind ... unites itself to an object to invent itself as subject"
The reader, furthermore, must intuit the human expression of the work, must re-feel it, rethink it, re-Imagine it. His reading must be empathetic and sympathetic, he must respond in such a way as to forget his own personality. . . What must be reached is a subject, or a mental activity that can only be understood by putting oneself in its place and perspectives—by making it play again its role of subject in ourselves” (qtd. in Lawall 81). Literature is a subjective perception of reality, an imaginary world and the reader must adapt himself to its experience, he must be “inhabited by thought.” The original impulse, foy et cogito must be resurrected by the reader as he rethinks and recreates the consciousness of the work. It is Poulet who described his approach as the criticism of consciousness (critique de la conscience), calling it the first and perhaps the only criticism. Poulet is a prolific writer and he does not confine himself to criticism of the Romantics but also to classicists and modern writers, primarily of French literature. His more famous works include Études sur le temps humain, L’Ame romantique et le reve, and L’Espace proustien. He established a viable method for existential analysis and is most closely associated with the terms critics of consciousness and interior distance.

J. Hillis Miller is the first American to adopt the existential approach of literary criticism. Miller was influenced by Georges Poulet during the latter’s five-year stay at Johns Hopkins University. He applies the methods of the Geneva School to the study of English literature. His method is a combination of formalism and criticism of consciousness which skirts the edge of contemporary American “new criticism” yet remains consistently existential. Miller’s analysis discusses not only the imagining mind of the author but also sentences, paragraphs and even the character’s imagining mind as contained within the universe of the work. Miller wrote the first book in English to adopt the point of view of the Geneva Critics: Charles Dickens: The World of his Novels. In an existential analysis he attempts to “assess the specific quality of Dickens’ imagination in the totality of his work, to identify what persists throughout all the swarming multiplicity of his novels, as a view of the world which is unique and the same” (qtd. in Lawall 196). Miller echoes the view of the other critics studied here in seeing literature as the “very means by which a writer apprehends and, in some measure creates himself” (qtd. in Lawall 197). He looks for words, phrases, and even grammatical patterns that form the heart of the imaginative universe of the writer.

Miller’s next book, The Disappearance of God, emphasizes theological experience of selected authors. In it he traces a historical pattern in the authors’ experience which first recognizes God, then nothingness, then finally imminent Being. Romantic thought, according to Miller, attempted to have a direct experience of God. It saw God incarnate with nature as Supreme Being and who could be communiend with. Later writers could no longer find God in nature but considered God a transcendent being unavailable to man. To the twentieth century writers this transcendence turns into the “death” of God. With God’s death also comes death of man as God’s creation, leaving a void which the poet must fill. The poet creates a new vision of reality in the existential structure of his poems and thus creates a new God, a Being that is imminent and omnipresent. “The God who has disappeared and reappeared as an imminent presence is no longer an objective entity which can be extolled, rejected or ignored” (Lawall 209). The new “God” is total being, present in the reality or space of a successful poem.

Miller’s third book, Poets of Reality, completes the spiritual history of literature. His techniques of using selected passages to show the writer’s metaphysical position is similar to Poulet’s tracing of human consciousness in literary history. Miller goes beyond Poulet however, by venturing into the formal circle, showing the study of author’s style in his interpretations. He makes grammar an existential tool with an ability to formulate reality. “By discussing grammar, images, rhythm, onomatopoeia, and other technical devices, he has given the uncommitted reader a chance to follow a reading of consciousness through techniques that are public and objective” (Lawall 217).

In relation to poetics, phenomenology sees the poem as an “aesthetic experience.” The author is described in terms of intending consciousness, but the work has no being in and of itself until it is read by another, the intending subject. The reader brackets or suspends his own subjective personality and enters into a new subjective identity created by the consciousness of the author. Just as the author’s historical life experiences should not enter into the structure of the work, likewise, the attributes, experiences or psychic states of the reader do not belong there (Ingarden 23). In the words of George Poulet, “The I who ‘thinks in me’ when I read a book, is the I of the one who writes the book (Poulet 46). Where Poulet sees the reader’s role as passive, being taken over by the author’s consciousness, Iser views the role differently. Even though the text is actualized by a convergence of reader and the text, the reader acts as co-creator, filling in what is not written, but implied. Both views hold in common the basic premise that the work is in a constant state of “becoming” through reading. In reply to Wimsatt and Beardsley’s Affective Fallacy, phenomenological criticism argues that “a poem cannot be understood apart from its results” (Tompkins ix). All of its effects would not exist without a reader.

The New Critics would argue that this fusion of author and reader hearkens back to the emotionalism and impressionism of the Romantic Age. Indeed one hears echoes of Keats’ negative capability, Coleridge’s willing suspension of disbelief, and Hazlitt’s sympathetic identification. But unlike Romantic criticism, phenomenological criticism remains a neutral tool. It seeks no moral mandate, no study of the past for criteria of taste and worthy subject. “Phenomenology does not distinguish between good and bad in any sense whatever, but just contemplates phenomena as they are, simply opens its eyes and describes what it sees . . .” (Halliburton 25). The “good” or benefit of phenomenology, according to Iser, lies in the constant interpretation and deciphering of a
work. "The need to decipher gives us the chance to formulate our own deciphering capacity" (qtd. in Tompkins xv). He further asserts that in using our deciphering capacity "we may formulate ourselves and so discover what had previously seemed to elude our consciousness" (qtd. in Tompkins xv).

Phenomenology reacts in several ways to the empiricism of the New Critics and its reliance on the objectivity of science. First it opposes any analysis that studies a work as "an object for forms, meanings, varying interpretations and dictional peculiarities" (Lawall 2). Viewing the work of art as an aesthetic experience whose existence is found in the space of pure consciousness, not in a material realm of time and space, phenomenological criticism stands in opposition to the Objective Theory of Art. Second, the positivistic demand for objectivity and verifiability uses language as a base for describing reality. Phenomenologists declare language constitutive of the reality it purports to describe, thus robbing science of the objectivity it bases its superiority on. Third, the phenomenological critics views the author of a work as a literary being, not just a human "structure" behind it as the Structuralists view him.

When a critic approaches a work phenomenologically, he does several things; bracketing his own suppositions, he enters into the life-world the author has created and simultaneously creates a new life-world by the process of his own reaction to the author's intentionality. His first task is to define the poem's experiential universe and see if this "universe" (characters, theme, plot, etc.) offered in the work is "made present or vitalized through language so it can 'live' in the reader's imagination" (Magliola 45). The critic's view must be objective and not add personal biases to the interpretation. The second task is to describe the experiential patterns that account for and describe the poem's universe. Here one describes the stylistic movements present in terms of the author's consciousness which has organized it in such a way. In describing the work, the poet follows the Husserlian reductions and "intuits" the work. The intuiting is the careful scrutiny or observation of the phenomena to get to the essential structure. What the critic is looking for is a network of experiential patterns that is responsible for the work's unity, or what Magliola terms an "ensemble of experiential patterns" (48). This ensemble of patterns is regarded as the essential structure of the work. Jean-Pierre Richard regards the critic's task as focusing on "the same projet which emerges from a deep investigation of essences" (qtd. in Magliola 48). J. Hillis Miller says the critic exposes "the pervasive presence of a certain organizing form" (qtd. in Magliola 48).

The "ensemble of experiential patterns," the "project" or the "pervasive presence of a certain organizing form" are all ways of talking about the consciousness of the author revealing itself to the reader. Some critics of the Geneva School describe the consciousness of individual works only.

A question that might arise in considering this approach is how one actually begins or "enters into" the work. Magliola suggests three methods of entree into the work: "In the literary work, experiential patterns of the (1) modes and (2) contents of consciousness are embodied in (3) language. Thus one method of entree utilizes the modes, another the content-categories, and a third linguistics" (52). Modes of consciousness include cognition, emotion, perception, volition, time, memory and space. An example of emotional mode can be given by Richard's phenomenological description in Literature et Sensation of "Sentiments," "Shame," "Melancholy," and "Joy," in Stendhal; and "Desire," "Frenzy," "Cruelty," and "Shame," in Flaubert (Magliola 53). Georges Poulet describes the changing concepts of time in human existence in the preface of Etudes sur le temps humain. He sees time not as a mere chronology "but as a feeling of transitory existence which works alternately for and against the creation of human identity" (Lawall 85). This work expresses each author's sense of being as he reacts to and works out his identity in time. "... Time is an element to be worked with or against; it is something he perceives as part of his cogito, and perceives as it reacts upon his experience of the subject-object relationship." For some, time is always an instability, a sense of "passing." This sense of passing haunted Baudelaire: "At the very instant when the instant is, it detaches itself, it falls away, and in its fall there begins a second existence—an existence in which instants do not stop, never stop "having been" " (qtd. in Lawall 86). Proust, on the other hand, uses an affective memory to establish a constant identity. Memory can give meaning to a past experience while making it present in the mind, thus linking the various stages of existence. Poulet describes this overlay of experience and memory as "the operation by which, in mimicking in one's depths the exterior gesture of the perceptible object, one imagines, one creates something which is still the perceptible object ... this thing comes from us, it is us" (qtd. in Lawall 87). Thus a durable sense of identity is established.

The second method of entree is by way of the content-of-consciousness categories. Magliola lists these as "World, Happenings, Others and Self" (53). Paul Brodtkorb's critical analysis of Moby Dick uses World as generated by experiences of earth, air, fire, and water. Roland Barthes describes "Father-figures" in Sur Racine while Emil Staiger treats Conrad Ferdinand Meyers' experience of "the Mother" in Die Kunst der Interpretation (Magliola 54), as an example of "Others." J. Hillis Miller describes the changing experience of selfhood as seen in Dickens' works.

The third method a critic uses to find and describe experiential patterns in a work is linguistics. This includes stylistic and morphological features. Jean-Paul Sartre gives an example when describing the author John Dos Passo's use of Time as a theme in his writings. Sartre says a morphological feature, Dos Passo's use of compound sentences in lieu of complex sentences, reveals the experiential pattern of Time. Another example of using linguistic patterns is seen in Marcel Raymond's book, Senancour which gives a "preponderance of preterite forms in the context of references to primitive society" (Magliola 54). This morphological "preponderance of preterite forms" heightens an already established theme, that the rustic ideal
is experienced as irrevocably past.

Lest one thinks the comparisons of semantic and morphological patterns sounds like a practice used by the structuralists, it is important to make a distinction here. The phenomenologist first describes the semantic patterns. Then, and only then, is the grammatical level examined. Morphological patterns are matched to semantical ones already established. The converse is true of the structuralists. The structuralist considers semantics dependent on morphology, and not the other way around. He begins at the phonemic and grammatical levels.

Phenomenology is a neutral tool with its emphasis on presuppositionless description and analysis. Breaking down the walls of objectivity and the cold analytical eye of the formalists it establishes an inextricable bond of author and reader. It is seen as especially useful in describing Romantic literature, prose more than poetry. Yet it is not as warm and friendly as it appears. Its very method is as transcendental as the ego it exposes. It is a view of poetry that is detached from moral or religious grounds. No longer is poetry viewed as existing to serve the needs of the state or promoting the brotherhood of man through his deepest sympathies. Neither is it used to raise the level of civilized existence nor to produce a state of rapt contemplation. Phenomenological philosophy gives rise to new definitions of man and his existence. He is what his consciousness intuits him to be and his actions are to be judged by his interaction to others and their intending consciousnesses.

Indeed, much of the literature arising from phenomenological philosophy deals with man’s struggle to define his identity. He is seen as living in a world having no religious or moral absolutes, no usual recognition of time and space, and no cause and effect relationships. Such themes give rise to some modern textual forms that sometimes consist of statements of condition, descriptions of twining, fusing relationships or even works without plot or form. Phenomenological criticism is an adept tool for describing such works, and one wonders if the philosophy became the tool for the criticism or if the criticism became the vehicle for the philosophy. This question is as old as criticism itself.

BIBLIOGRAPHY


