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*From Knowledge to Wisdom*

# Journal of Literature and Art Studies

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# Katherine Mansfield's Art of Changing Masks in "Je ne parle pas français"

SHIEH Wen-Shan

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In a letter to Vita Sackville-West dated 8 August 1931, eight years after Katherine Mansfield's death, Virginia Woolf confides that she "gave up" reading her literary rival's stories "because of their cheap sharp sentimentality". Woolf's observation invites us to question: is Mansfield a mere sentimentalist or is her characterisation technique misunderstood? The first section of this paper demonstrates that attributing Mansfield's works as "sentimental" is erroneous since Mansfield's strategy is to change the masks of her characters within her stories, revealed in her letters and journal entries. Following the first section of this paper, I aim to explore how Mansfield extends this strategy of changing masks in daily life to her fictional characters in "Je ne parle pas français" (1918) by equipping them with different types of masks—speech and facial expressions, gender, and animality—to respond to changes in their situations and toward the characters around them. Particularly important to this exploration are Joan Rivière's insights into gender in her article, "Womanliness as Masquerade", Michael Goldman's theory of masks in acting in his *The Actor's Freedom: Toward a Theory of Drama* and Gilles Deleuze and Félix Guattari's concept of "becoming-animal" in *Kafka: Towards a Minor Literature*.

*Keywords:* Katherine Mansfield, masks, sentimentality, speech, animal, gender

## Introduction

The first section of this paper traces Katherine Mansfield's art of changing masks with reference to her letters and journal entries. Following the first section of this paper, I will explore how Mansfield's characters switch between three types of masks—speech and facial expressions, gender, and animality—to respond to changes in their situations. My primary focus will be on one of Mansfield's most experimental stories, "Je ne parle pas français" (1918).

## "Sentimentality"

Katherine Mansfield (1888-1923) established her distinctive voice as a writer of short story with "Prelude" in 1918, published by Virginia and Leonard Woolf's Hogarth Press in London. She died of tuberculosis in Fontainebleau, France, at the age of only 34.<sup>1</sup> When she heard of Mansfield's death, Virginia Woolf felt that the only literary rival she valued was gone, famously confessing in her diary: "I was jealous of her writing—the only writing I have ever been jealous of" (Woolf, 1978, p. 227). Compared to Virginia Woolf, however, less critical attention has been devoted to Mansfield. As Clare Hanson points out in her contribution to *The Gender*

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<sup>1</sup> SHIEH Wen-Shan, Assistant Professor, Department of Applied English, Shih Chien University.

<sup>1</sup> For more information about Katherine Mansfield's life and career, see Alpers (1987).

of *Modernism*, Mansfield "is most commonly viewed as a marginal modernist writer" because of her disadvantaged status "as a woman writer and as a colonial". Hanson also suggests that there is a connection between her "marginal position" and the widespread "assumption that the short story is a minor art form" (Hanson, 1990, pp. 298-300).

Another significant reason that contributes to Mansfield's status as a minor modernist, I argue, is what T. S. Eliot calls the "poignant" quality of her best-known story, "Bliss" (Eliot, 1934, p. 35),<sup>2</sup> which distinguishes her from her contemporary modernists such as T. S. Eliot himself, who argues in his "Tradition and Individual Talent" that "poetry is not a turning loose of emotion, but an escape from emotion" (Eliot, 1997, pp. 48-49). Deeply affected by the modernist interdiction against sentiment and emotional appeals, Virginia Woolf's dread of being labeled sentimental and her dismissal of the sentimental fill her diary entries and letters.<sup>3</sup> Despite having confessed her jealousy towards Mansfield's writing, Virginia Woolf has reservations about the "sentimentality" of Mansfield's "little storie", as shown in her letter to Vita Sackville-West dated 8 August 1931, eight years after Mansfield's death:

Only then she [Katherine Mansfield] came out with a swarm of little stories, and I was jealous, no doubt; because they were so praised; but gave up reading them because of their cheap sharp sentimentality, which was all the worse, I thought, because she had, as you say, the zest and the resonance—I mean she could permeate one with her quality; and if one felt this cheap scent in it, it reeked in one's nostrils. (Virginia, 1979, p. 366)

It is noteworthy that Woolf's repulsion towards the sentimentality of Mansfield's works is expressed in terms of something more like a "scent". The "cheap" quality of "scent" suggests that the themes of Mansfield's stories are shallow and the characters in her stories are apt to be swayed by sentiment, or superficial emotions. This leads us to explore the sentimental in relation to what Andrew Bennett calls Mansfield's "fascination with superficiality, with the way in which social worlds are constructed through surfaces" (Bennett, 2004, p. 28).

Mansfield's interest in the superficial can be best illuminated in a letter dated 23 November 1920, in which she explains to her husband John Middleton Murry what she intends in the story "Poison" (1920):

The story is told by (evidently) a worldly, rather cynical (not wholly cynical) man against himself (but not all together) when he was so absolutely young. [...] Its *promiscuous love* not understood as such by him, perfectly understood as such by her. But you realise the vie of luxe they are living—the very table, sweets, liqueurs, lilies, pearls. And you realise? She expects a letter from someone calling her away? *Fully* expects it? Which accounts for her farewell & her declaration. And when it doesn't her *commonness* peeps out [...] But he also regrets the self who dead privately would have been young enough to have actually wanted to *Marry* such a woman. But I meant it to be light—tossed off—and yet through it—oh, subtly—the lament of youthful belief. [...] A glimpse of staleness. And the story is told by a man who gives himself away & hides his traces at the same moment. (Mansfield, 1996, p. 119)

The phrases such as "*promiscuous love*", "*commonness* peeps out", and "the lament of youthful belief" show that the characters in the story are addicted to indulgence in superficial emotion, thus confirming Woolf's charge of sentimentality of Mansfield's stories. Her use of the word "cynical" to describe the tone of the narrator, however, indicates that the narrator actually does not place too much trust in the sincerity of people's speech, which reminds us of the parodic element of the characters' sentimental speech-patterns. Furthermore, the phrase "a man who gives himself away & hides his traces at the same moment" suggests that there is an

<sup>2</sup> "Miss Mansfield's story—it is one of her best known ['Bliss']—is brief, poignant and in the best sense, slight" (Eliot, 1934, p. 35).

<sup>3</sup> For more information about Virginia Woolf's struggle with the modernist censors of sentimentality, see Hankins (1993).

issue of masking in the characters' clichéd confessions: the woman uses her declaration of love and marriage to mask the fact that she is expecting a letter from a secret lover; "a glimpse of staleness" has been masked by the I-narrator's naïve enthusiasm for proposing to the woman. This obvious parody of traditional role-playing does not fall within the category of "the sentimental". All in all, I contend that the attribution of sentimentality has been confounded by this strategy of masking in Mansfield's storytelling.

### Katherine Mansfield's Strategy of Changing Masks

The connection between writing and the mask is evident in Mansfield's most famous remark on changing masks, as she writes to her future husband John Middleton Murry in a letter dated late July 1917. Having told Murry that his article on Leon Bloy makes her feel that he is going to "uncover" himself and "quiver", Mansfield gives him a warning:

Even your style of writing changes then—little short sentences—a hand lifted above the waves—the toss of a curly head above the swirling tumble—Its [sic] a terrible thing to be alone—yes it is—it is—but dont [sic] lower your mask until you have another mask prepared beneath—As terrible as you like—but a mask. (Mansfield, 1984, pp. 317-318)

In her view, the linguistic mask is a strategy to solve the problem of "self-torture" or "self-pity" that informs Murry's explicit writing style. Her warning reveals that Mansfield is not inclined to write explicitly as Murry does. Furthermore, the phrase "another mask prepared beneath" intimates that the seemingly unmasked expression of a person might serve as another underlying mask revealed after the overlying mask has been removed. In the following sections, I will explore how Mansfield extends this strategy of changing masks in daily life to her fictional characters in short stories by equipping them with a multiplicity of masks—he, she, or it changes masks to meet every moment of the story.

### "Je ne parle pas français" (1918)

The plot of "Je ne parle pas français" (1918)<sup>4</sup> is not complicated: the I-narrator, a Parisian man, Raoul Duquette, meets an Englishman, Dick Harmon, in Paris. To Raoul's dismay, Dick soon leaves Paris but then later returns with an Englishwoman who is not his wife, and who is called "Mouse" without being properly named. Dick deserts Mouse without having stayed in the hotel rooms he has asked Raoul to book for them, because he feels their elopement would upset his mother. The narrator promises to return to the hotel to lend the abandoned Englishwoman a helping hand, but does not do so.

I have chosen the story as my focus because it encapsulates the full range of masks Mansfield creates for her characters, which I categorise into three types: speech and facial expressions, gender, and animality. As Sydney Janet Kaplan interprets it:

Katherine Mansfield's aesthetics are grounded in a precocious recognition of the self as many selves—male / female being only one of several possible polarities. She had a very early experience of *multiplicity* (and I want to stress the use of this term rather than *fragmentation*, which suggests the end of a process, the breaking apart of something that was once whole [...]). (Kaplan, 1991, p. 169)

Indeed, gender is only one of the masks that Mansfield adopts in building her fictional characters. "Je ne parle pas français", "The Young Girl" (1920), and "A Married Man's Story" (1921) are examples of her writing

<sup>4</sup> In this paper, I use G. Kimber and V. O'Sullivan (Eds.) (2012), *The Edinburgh Edition of the Collected Works of Katherine Mansfield* (Vol. 2). Unless otherwise indicated, all quotations from Mansfield's short stories are from this edition.

in the form of impersonating a first person male narrator. In addition to gender, her awareness of "multiplicity" is extended to her interest in writing about non-human animals. She names her characters Mouse, Herr Rat, Mr. Reginald Peacock and the Trout boys; she wrote stories entitled "Mr. and Mrs. Dove" (1921), "The Fly" (1922) and "The Canary" (1922). In a letter dated 2 November 1908, she tells Garnet Trowell that her method of holding reader's attention is to "express in the voice and face and atmosphere all that you say" (Mansfield, 1984, p. 84). The letter indicates that a mask of a character is not only created by speech but also by facial expressions. In "Her First Ball" (1921), for instance, the superficial mannerism of the girls attending the ball is demonstrated not only by their speech but also by their strange faces and smiles: "Strange faces smiled at Leila—sweetly, vaguely. Strange voices answered, 'Of course, my dear.' But Leila felt the girls didn't really see her" (Mansfield, 2012, p. 326).

In the following pages I aim to explore how the characters change these three types of masks—speech and facial expressions, gender, and animality—to respond to changes in their situations and in the characters around them by drawing on Joan Rivière's insights into gender in her article, "Womanliness as Masquerade" (Rivière, 1986, pp. 35-44), Michael Goldman's theory of masks in acting in his *The Actor's Freedom: Toward a Theory of Drama* (Goldman, 1975), and Gilles Deleuze and Félix Guattari's concept of "becoming-animal" in *Kafka: Toward a Minor Literature* (Deleuze & Guattari, 1986). In my investigation of different types of masks in "Je ne parle pas français", I will also discuss other stories by Mansfield where appropriate.

### **"The Fastest-Changing Masks of All": Speech and Facial Expressions**

In "Je ne parle pas français", the narrator's descriptions of Mouse which occur in brackets, for instance, remind us of stage directions, such as "(Soft music. Mouse gets up, walks the stage for a moment or so before she returns to her chair [...])" (Mansfield, 2012, p. 130), or "But she shrank away. (False move.)" (Mansfield, 2012, p. 132). Taking the story as a piece of theatre, Michael Goldman's theory of the use of masks in acting helps to illuminate an understanding of Mouse's art of changing masks. In his *The Actor's Freedom*, Goldman contends that "in the work of any competent playwright or actor, disguise is constantly being assumed and stripped away, constantly growing and transforming" (Goldman, 1975, p. 92). He goes on to emphasise the effectiveness of speech in acting:

Speech in particular, because of its mobility, its density of impressions, should always be thought of as a disguise—a disguise that slips, reveals, changes, strains to be adequate, strains even to be true or transparent to what it describes, breaks away, breaks down, stiffens, must be bolstered up. It is the fastest-changing mask of all. (Goldman, 1975, p. 93)

Keeping Goldman's insights in mind, we can observe how Mouse changes her masks to respond to changes in her situation and in the characters around her:

She wept so strangely. With her eyes shut, with her face quite calm except for the quivering eyelids. The tears pearly down her cheeks and she let them fall.

But feeling my glance upon her she opened her eyes and saw me holding the letter.

"You've read it?"

Her voice was quite calm, but it was not her voice anymore. It was the voice you might imagine coming out of a tiny, cold, sea-shell swept high and dry at last by the salt-tide...

[...]

"I knew all along, of course," said the cold, salty little voice. "From the very moment that we started. I felt it all through me, but I still went on hoping—" and here she took the handkerchief down and gave me a final glimmer—"as one so stupidly does, you know."

"As one does."

Silence.

"But what will you do? You'll go back? You'll see him?"

That made her sit right up and stare across at me.

"What an extraordinary idea!" she said, more coldly than ever. "Of course I shall not dream of seeing him. As for going back—that is quite out of the question. I can't go back."

"But..." (Mansfield, 2012, p. 132)

As the passage reveals, Mouse's mask of calmness slips when she breaks down. The adverb "strangely", however, seems to hint at a kind of unnaturalness, or artificiality involved in her weeping with a mask, as implied by the phrase "with her face quite calm". Her strange way of weeping makes us wonder if her tears account for another mask she has prepared underneath the one that has slipped. In other words, one of the reasons Mouse cries is her knowledge of crying as a self-conscious performance required by custom on certain social occasions. Soon after crying, however, she mocks her own stupidity and then coldly rejects Raoul's suggestion of following Dick back to England, as if she no longer wants to see him.

At this juncture of my argument, I would like to propose that facial expressions constitute an additional form of mask in Mansfield's stories, aside from Mouse's tears in the passage, a smile worn by Raoulis another mask. "Every word matters", as Mansfield tells Murry in a letter dated 2 February 1920 (Mansfield, 1993, p. 204). Instead of saying simply "he smiled charmingly", the narrator tells us that Dick "flashed the brightest, most charming smile at his little hostess [Mouse]" (Mansfield, 2012, p. 129). Mansfield's use of the word "smile" as a verb *and* a noun in her descriptions of her characters' smiles foregrounds the sense of smile as a mask. In other words, the possessive words, "his" or "her" before "smile" as a noun indicate that each fictional character has made and wears different kind of smile masks in order to achieve their respective purposes. In "The Doll's House" (1921), Lil, the daughter of "a spry, hard-working little washerwoman" gives her "silly shamefaced smile" when other "little girls turned around and sneered" (Mansfield, 2012, p. 417). Again, Lil "only gave her silly shamefaced smile" in response to the spiteful question posed by her snobbish classmate Lena, keeping up the masquerade that "she didn't seem to mind the question at all" (Mansfield, 2012, p. 418). In "A Cup of Tea" (1922), Rosemary Fell encounters a beggar girl, Miss Smith, in Curzon Street in London. To fulfill her own fantasy of being a "fairy godmother" in a fairytale, she brings Miss Smith home with her. Her husband Philip "smiled his charming smile" (Mansfield, 2012, p. 466) at Miss Smith. Eventually, Rosemary ends her "game of sisterly solidarity" (in Andrew Bennett's phrase) (Bennett, 2004, p. 48), when Philip comments that Miss Smith is "astonishingly pretty" and "absolutely lovely" (Mansfield, 2012, p. 466).

In other stories, even the seemingly unmasked expressions such as rudeness and anger can also be used as masks. In "Bliss", Bertha's husband, Harry's purported rudeness to his wife's friend, Pearl Fulton, is, according to the contemporary British novelist Salley Vickers, "a cover for his own amorous attachment" (Vickers, 2012, p. 13). At the end of "Feuille d'Album" (1917), another short story set in Paris, the expatriate young artist Ian French finally gets a chance to speak to the girl he adores: "Blushing more crimson than ever, but looking at her severely he said, almost angrily: 'Excuse me, Mademoiselle, you dropped this'" (Mansfield, 2012, p. 97). On this occasion, Ian tries to look at her "severely" and speaks "almost angrily" in order to mask his "blushing".

### Gender as Masquerade

Many critics have written about the indeterminate gender and sexuality of Raoul Duquette, the narrator of

"Je ne parle pas français". His description of himself is, as Pamela Dunbar puts it, "laced with indications of femininity" (Dunbar, 1997, p. 81). He is "light and little" and has "black eyes with long eyelashes, black silky hair cut short, tiny square teeth"; he is "almost like a girl, with smooth shoulders" and "supple and small" hands. Andrew Bennett also points out that Raoul seems to experience "a certain homoerotic fascination towards Harmon [Dick]" (Bennett, 2004, p. 76). When he receives the letter from Dick, he thinks of himself as Madame Butterfly, hearing of the arrival of Lieutenant Pinkerton.<sup>5</sup>

I read it [the letter from Dick] in front of (the unpaid for) wardrobe mirror. It was early morning. I wore a blue kimono embroidered with white birds and my hair was still wet; it lay on my forehead, wet and gleaming.

"Portrait of Madame Butterfly," said I, "on hearing of the arrival of *cecher Pinkerton*." (Mansfield, 2012, p. 122)

This self-portrait of Raoul intimates the extent to which, for Mansfield, womanliness is a mask, an impersonation, or what the psychoanalyst Joan Rivière—a contemporary of Mansfield—calls a "masquerade" (Rivière, 1986, pp. 35-44). In her famous essay, "Womanliness as Masquerade" (1929), Rivière opens with a reference to Sándor Ferenczi's argument that "homosexual men exaggerated their heterosexuality as a 'defence' against their homosexuality".<sup>6</sup> She goes on to claim that "women who wish for masculinity may put on a mask of womanliness to avert anxiety and the retribution feared from men" (Rivière, 1986, p. 35). Commenting on Rivière's notion of womanliness as a masquerade, Stephen Heath points out that there is a similar male term for the woman's masquerade—"male display" or, in Lacan's term, "*parad*" (Heath, 1986, pp. 55-56). Ferenczi's view of heterosexuality as a defense implies that manliness is a kind of masquerade, too. Correspondingly, Dick's Parisian friend, Raoul, masquerades as a chivalrous man who offers to return to the hotel the next day to lend the deserted Englishwoman a hand:

[...] She had been so tame, so confiding, letting me, at any rate spiritually speaking, hold her tiny, quivering body in one hand and stroke her furry head—and now, I'd thrown her away. Oh, I could have kicked myself.

She stood up. "I have no plans. But—it's very late. You must go now, please."

How could I get her back? I wanted her back. I swear I was not acting then.

"Do feel that I am your friend," I cried. "You will let me come tomorrow, early? You will let me look after you a little—take care of you a little? You'll use me just as you think fit?" (Mansfield, 2012, p. 133)

We are not convinced by Raoul's display of chivalry because of a hint of self-dramatisation in the voice when he swears that he is "not acting". A few sentences later we have learned that he also abandons Mouse by failing to return to the hotel as he promises: "Je ne parle pas français. That was her swan song for me" (Mansfield, 2012, p. 133). "Unlike most of Mansfield's complex, many-sided female characters", as Sydney Janet Kaplan puts it, "Mouse is simply woman as victim" (Kaplan, 1991, p. 44). There is no doubt that Mouse is a victim of broken promises, but the clichéd and rather theatrical manner in which Raoul describes Mouse throughout the story puts Kaplan's claim that the character of Mouse is "one-dimensional" (Kaplan, 1991, p. 44) into doubt. A rereading of the key passage devoted to Mouse, I suggest, sheds more light on this "complex, many-sided" yet insufficiently analysed character:

[...] They showed her, sitting up very straight, her lovely little face more like a drawing than a real face—every line so full of meaning and so sharp cut against the swimming dark.

<sup>5</sup> Giacomo Puccini, *Madame Butterfly* (1904), an opera based on the love of a Japanese geisha, Ciocio-san (nicknamed Butterfly), for Pinkerton, an American naval officer. For a more detailed introduction to the opera, see Osborne (1981), pp. 145-171.

<sup>6</sup> See Ferenczi, (1952), pp. 296-318.

For Mouse was beautiful. She was exquisite, but so fragile and fine that each time I looked at her it was as if for the first time. She came upon you with the same kind of shock that you feel when you have been drinking tea out of a thin innocent cup and suddenly, at the bottom, you see a tiny creature, half butterfly, half woman, bowing to you with her hands in her sleeves.

As far as I could make out she had dark hair and blue or black eyes. Her long lashes and the two little feathers traced above were most important.

She wore a long dark cloak such as one sees in old-fashioned pictures of Englishwomen abroad. Where her arms came out of it there was fur—fur round her neck, too, and her close-fitting cap was furry.

"Carrying out the mouse idea," I decided.

Ah, but how intriguing it was—how intriguing! Their excitement came nearer and nearer to me, while I ran out to meet it, bathed in it, flung myself far out of my depth, until at last I was as hard put to it to keep control as they. (Mansfield, 2012, p. 126)

The word "intriguing" has been stressed by the narrator twice as Mouse, in this passage, emerges in a variety of complex and subtle ways. Obviously, Raoul is curious about the secret liaison between Mouse and Dick and fascinated by Mouse's beauty. The resemblance between Raoul's self-description and that of Mouse, however, suggests another reading. She, too, has "dark hair" and black eyes with "long lashes". He sees Mouse as "a tiny creature, half butterfly, half woman, bowing with her hands in her kimono sleeves"; a few paragraphs earlier, he portrays *himself* as Madame Butterfly. Seen in this light, Raoul sees Mouse not so much as a love interest as, in the phrase of C. A. Hankin, "the woman who he might have been" (Hankin, 1983, p. 160),<sup>7</sup> or a love rival who vies with him for Dick's attention. On the other hand, he has already found out that there is actually something "boyish" about the unnamed woman: when they are first introduced, he notices that "she held out her hand in that strange boyish way Englishwomen do, and standing very straight in front of" him "with her chin raised" (Mansfield, 2012, p. 125). His observation invites us to ponder if wearing fur is a way for Mouse to mask her boyishness in order to deceive the male characters in the story.

To answer this question, I shall begin by teasing out the association between womanliness and mousiness, which can be traced back to the Elizabethan era, when mouse was a common term of endearment, especially between husband and wife. In a letter dated 2nd May 1593, Edward Alleyn addresses his wife Joan as "My good sweetheart and loving mouse" (Kemp, 2009, p. 160). Other examples can be found in the plays of one of Mansfield's favourite writers, Shakespeare: In Act I, Scene 5 of *Twelfth Night*, Clown calls Olivia "my mouse of virtue" (Shakespeare, 2011, p. 1196); in Act IV, Scene 4 of *Romeo and Juliet*, Lady Capulet tells her husband that he has "been a mouse-hunt" [pursuer of women] in his time (Shakespeare, 2011, p. 1033). In light of these observations, we can see that the very idea of nicknaming a woman "mouse" is a way of conferring a mask of womanliness onto her. In other words, the name "mouse" is a mask of womanliness. Similarly, throughout "Je ne parle pas français", Dick calls the unnamed woman Mouse. For instance, he speaks tenderly to her: "You must be tired, Mouse. Sit down" (Mansfield, 2012, p. 128). Receiving the nickname given by Dick, Mouse is masked as an object of his affection by his speech. In her book, *Glamour: Women, History, Feminism*, Carol Dyhouse underscores the link between fur and femininity:

In the 1920s, advertisements in *Vogue* for the upmarket French fur house *Révillon Frères* promised that women would literally weep with gratitude to men who indulged them with furs ("A *Révillon* fur is a gift to win tears of thanksgiving from the most pampered of her sex."). (Dyhouse, 2010, p. 27)

<sup>7</sup> C. A. Hankin claims that there is a sense in which Mouse is the woman Raoul might have been; "and thus she represents his alternate self, or double". See Hankin (1983), p. 160.

As Dyhouse's example indicates, wearing fur not only increases a woman's charm but also reassures her that she is a woman who is "pampered" by her lover. The function of clothes in Mansfield's stories, as Angela Smith claims, is "to manipulate others, or to create a protective façade": "Laura's mother controls Laura's rebellion in 'Garden Party' by dropping an elegant black hat on her daughter's head, and Miss Brill's fur is a source of comfort, and then humiliation" (Smith, 1999, p. 48). Here "a protective façade" indicates that clothes can function as a form of defense and disguise. In "Je ne parle pas français", fur is what Rivière calls "a mask of womanliness" that Mouse wears "to avert anxiety and the retribution feared from men" (Rivière, 1986, p. 35). Mouse wears a fur muff to *mask* her boyish hands, effectively using what Freud calls "fur as a fetish"<sup>8</sup> to manipulate men. At the train station, Mouse hails Dick "with her minute muff" (Mansfield, 2012, p. 125). At the hotel, Mouse successfully pushes the *garçon* to serve her tea quickly by masquerading as a helpless woman who needs to be saved by a cup of tea: "And suddenly she raised her muff as though her hands were clasped inside it, and she was telling the pale, sweaty *garçon* by that action that she was at the end of her resources, that she cried out to him to save her with 'Tea. Immediately!'" (Mansfield, 2012, p. 128). After a while, Dick asks Mouse: "Won't you take off your coat, Mouse?" But she insists on wearing her fur-trimmed coat indoors: "No thanks. Not just now" (Mansfield, 2012, p. 128). Responding to the nickname given by her lover, Mouse hopes to keep up the masquerade of being his beloved by wrapping herself in fur.

### The Becoming-Mouse

Being called her lover's Mouse, however, also means being patronized and literally belittled, as shown in the letter Dick leaves to Mouse:

Mouse, my little Mouse,

[...] All I've got to do is—just to tell you this and go. I couldn't have gone off without telling you. You'd have been frightened. And you must not be frightened. You won't—will you? I can't bear—but no more of that. And don't write. I should not have the courage to answer your letters and the sight of your spidery handwriting—[...] (Mansfield, 2012, pp. 131-132)

As the letter indicates, Dick calls the woman "my little Mouse" in order to alleviate his guilt over deserting her: Mouse is unimportant since she is little, and she is at his mercy because she belongs to him. At the same time, Dick's fear of what may hide behind her "drawing"-like, "lovely little face" (Mansfield, 2012, p. 126), is further intimated by the arachno-phobic mention of her "spidery handwriting" (Mansfield, 2012, p. 132).

Murry, the first reader of the story, told Mansfield that he was "so passionately fond of the Mouse" that he got upset by what happened to her and Dick. In a letter dated 23 February 1918, he writes:

My disappointment as a child was my satisfaction as an artist [...] "Sun & Moon" were really tinies. His tragedy would be put right. But Mouse & Dick, they were too much like us. If they had been exactly like it wouldn't have upset me because I know we're alright. But they were different, our brothers & sisters spiritually. (Murry, 1983, p. 27)

As the letter reveals, Mouse and Dick are at least, in part, masks for Mansfield and Murry respectively. As Kaplan argues, Dick is partially modelled on Murry, as suggested by an unfinished sentence in her letter (dated 3 and 4 February 1918) to Murry about the story's origin: "The African laundress I had a bone of—but only a

<sup>8</sup> Sigmund Freud suggests that "the part played by fur as a fetish owes its origin to an association of the hair of the *mons Veneris*". See Freud (1962), p. 21; "Most of those animals which are utilised as genital symbols in mythology and folklore play this part also in dreams: the fish, the snail, the cat, the mouse (on account of the hairiness of the genitals)", says Freud in *The Interpretation of Dreams*, p. 236.

bone—Dick Harmon of course is partly is [sic]" (Mansfield, 1987, p. 56). Two months after she finished "Je ne parle pas français",<sup>9</sup> she refers to herself as "your tiny timid loving Mouse" in a letter to Murry (9 April 1918) (Mansfield, 1987, p. 159). Two later letters to Murry dated 21 and 23 October 1920 are both autographed "Souris [Mouse]" (Mansfield, 1996, p. 81). These examples embody Mansfield's Wildean belief<sup>10</sup> that "there is no separating Art & Life", as she writes in a letter to Murry's younger brother Richard (10 December 1920) (Mansfield, 1996, p. 148). In addition to mice in "Je ne parle pas français" and "The Daughters of the Late Colonel" (1920)<sup>11</sup>, numerous other tiny creatures appear in her short stories.<sup>12</sup>

Mansfield also has a mask in D. H. Lawrence's *Women in Love* (1920). If we accept that Gudrun Brangwen is a mask for Mansfield, Lawrence recognises her fascination with diminutive animality in a question posed by Ursula Brangwen to Hermione:

Isn't it queer that she [Gudrun] always likes little things? She must always work small things, that one can put between one's hands, birds and tiny animals. She likes to look through the wrong end of the opera glasses, and see the world that way—why is it, do you think? (Lawrence, 1978, p. 88)

Why does Mansfield like to write about small animals? In "Katherine Mansfield's Menagerie", Melinda Harvey links Mansfield's interest in two-winged animals with her illness: first, "mosquitoes, flies and the like were associated, especially in the late-nineteenth and early-twentieth-century, with the spread of disease like tuberculosis" (Harvey, 2001, p. 208); Toby Silverman Zinman suggests that birds in Mansfield's stories represent "the victim: small, frail and equipped with the means of escape, yet ultimately and inevitably defeated" (Zinman, 1978, p. 461). Certainly, as Vincent O'Sullivan suggests, Mansfield did use the dying fly and the entrapped canary as analogies for herself, as seen in the letters, notebook entries and the stories she composed in her last year (O'Sullivan, 2011). Unlike Harvey, Zinman and O'Sullivan—who all emphasise the frailty embodied in the smallness of insects and birds—I want to highlight the advantage of becoming a small mouse in Mansfield's "Je ne parle pas français" by drawing a comparison with the writings of her contemporary, Franz Kafka.

Mansfield makes multiple statements about the importance of "the defeat of the personal"<sup>13</sup> in the act of writing in order to enter into and take possession of her subjects, including non-human animals. In a letter to the painter Dorothy Brett dated 11 October 1917, she relates her "thrilling" experience of writing about animals:

When I write about ducks I swear that I am a white duck with a round eye, floating in a pond fringed with yellow blobs and taking an occasional dart at the other duck with the round eye, which floats upside down beneath me. In fact this whole process of becoming the duck [...] is so thrilling that I can hardly breathe, only to think about it. (Mansfield, 1984, p. 330)

The phrase "becoming the duck" evokes what Deleuze and Guattari call "the becoming-animal", in their book, *Kafka: Toward a Minor Literature*: "To become animal is to participate in movement, to stake out a path of escape in all its possibility" (Deleuze & Guattari, 1986, p. 13):

<sup>9</sup> Mansfield began writing "Je ne parle pas français" on 29 January, 1918. See Kaplan (2011), p. 45.

<sup>10</sup> For Wilde's influence on Mansfield, see Kaplan (1991), pp. 19-35.

<sup>11</sup> "Silence again. There came a little rustle, a scurry, a hop. 'A mouse,' said Constantia." Quoted from "The Daughters of the Late Colonel" (Mansfield, 2012, p. 267).

<sup>12</sup> In addition to "The Fly" (1922) and "The Canary" (1922), we can find other small animals such as ducks in "Prelude" (1917), sparrows in "A Suburban Fairytale" (1919), and doves in "Mr. and Mrs. Dove" (1921).

<sup>13</sup> "At the back of my mind I am so wretched," Mansfield notes in one journal entry, "but all the while I am thinking over my philosophy—the defeat of the personal" (Mansfield, 1997, p. 190).

The metamorphosis is a sort of conjunction of two deterritorializations, that which the human imposes on the animal by forcing it to flee or to serve the human, but also that which the animal proposes to the human by indicating ways-out or means of escape that the human would never have thought of by himself. (Deleuze & Guattari, 1986, p. 35)

The evidence regarding Mansfield's familiarity with the German-language writer's work has yet to be discovered, but their shared interest in writing about small animals cannot be neglected. As J. Lawrence Mitchell observes, the miniature in Mansfield's stories—such as a doll's house, "a tiny-creature, half butterfly, half woman", a caged canary—is privileged, while the "movement towards the gigantic"—a growing bird, a swelling aloe, a poppy that comes alive—is "implicitly threatening" (Mitchell, 2004, p. 34).<sup>14</sup> Like Mansfield, Kafka is, as Deleuze and Guattari put it, "fascinated by everything that is small. If he doesn't like children that is because they are caught in an irreversible becoming-big; the animal kingdom, in contrast, involves smallness and imperceptibility" (Deleuze & Guattari, 1986, p. 37). In a similar vein, "the gigantic" in Kafka's stories, such as the "gigantic insect" in "The Metamorphosis" (Kafka, 2005, pp. 89-139) or the "giant mole" in "The Village Schoolmaster [The Giant Mole]" (Kafka, 2005, pp. 168-182), is disturbing.

In light of the resemblance between the two writers, Mansfield's fascination with mice could be interpreted in relation to Elias Canetti's comments on Kafka's penchant for self-diminishment. In his *Kafka's Other Trial: The Letters to Felice*, Canetti remarks that Kafka would typically respond to a show of force by withdrawing power from himself or by transforming into something small:

Since he [Kafka] abominated violence, but did not credit himself with the strength to combat it, he enlarged the distance between the stronger entity and himself by becoming smaller and smaller in relation to it. Through this shrinkage he gained two advantages: he evaded the threat by becoming too diminutive for it, and he freed himself from all exceptionable means of violence; the small animals into which he liked to transform himself were harmless ones. (Canetti, 1974, pp. 89-90)<sup>15</sup>

In Kafka's "Josephine the Singer, or the Mouse folk" (1924), the mouse singer's piping, we are told, "comes almost like a message from the whole people to each individual; Josephine's thin piping amidst grave decisions is almost like our people's precarious existence amidst the tumult of a hostile world" (Kafka, 2005, p. 367). As Mansfield wrote to Murry from Bandol, the south of France, on 3 February 1918, it was "an *extremely* deep sense of hopelessness", "*a cry against corruption*", "Not a protest", which inspired "Je ne parle pas français" (Mansfield, 1987, p. 54). It is hard to imagine a creature more ideally suited to voice "*a cry against corruption*", "Not a protest", than a squeaking mouse. Unlike the mouse singer in Kafka's "Josephine the Singer, or the Mouse folk", who "stamps her feet" and bites "in most unmaidenly fashion" whenever her requests are refused (Kafka, 2005, p. 364), Mouse in Mansfield's "Je ne parle pas français" smiles at her grief; as the narrator describes it, "she took the handkerchief down and gave me a final glimmer". Knowing all along that Dick was going to desert her, Mouse appears to be defensively silent in his presence:

"[...] We've taken years to come. Haven't we?" To her. But she [Mouse] did not answer. She bent her head and began stroking her grey muff; she walked beside us stroking her grey muff all the way.

[...]

"You must come!" said Dick to the little fox-terrier [Raoul]. And again he [Dick] made that big awkward turn towards her.

"Get in, Mouse."

<sup>14</sup> In his article, "Katherine Mansfield and the Aesthetic Object" (2004), Mitchell uses Susan Stewart's terms, "the miniature" and "the gigantic". See Stewart (1993).

<sup>15</sup> Quoted in Danta (2008), p. 162.

And Mouse got in the black hole and sat stroking Mouse II and not saying a word. (Mansfield, 2012, pp. 125-126)

As the last line of this quotation intimates, Mouse is becoming a mouse, as suggested by "the black hole" (which is a substitute for the black taxi Raoul calls for them), and "Mouse II" (her grey muff made of animal fur, presumably). Mouse's transformation into a mouse by wearing fur recalls the picture of a lady "with a fur cap on and a fur stole, sitting upright and holding out to the spectator a huge fur muff into which the whole of her forearm had vanished" (Kafka, 2005, p. 89) described at the opening of Kafka's "The Metamorphosis". The lady's vanishing into an animal covering seems to function as an inspiration for Gregor's metamorphosis into vermin form. In the same vein, Mouse II shows Mouse, in Deleuze and Guattari's phrase, "ways-out or means of escape that the human would never have thought of by himself". Becoming is, as Deleuze puts it in his *The Logic of Sense*, a simultaneity

...whose characteristic is to elude the present. Insofar as it eludes the present, becoming does not tolerate the separation or the distinction of before and after, or of past and future. It pertains to the essence of becoming to move and to pull in both directions at once. (Deleuze, 1990, p. 1)<sup>16</sup>

Mouse is unable to make her way out of an unofficial and insecure relationship with Dick, however, she finds a means of "eluding the present" by becoming a mouse and stroking Mouse II, as if communicating with a fellow mouse in "the ultrasonic range," "beyond human hearings" (Vanderlip, 2001, p. 30).<sup>17</sup> Likewise, in "A Suburban Fairy Tale" (1919), Little B saw the sparrows on the grass outside the window of their house changing into tiny little boys. He tells his parents Mr. and Mrs. B that the sparrows are little boys but "nobody noticed his nonsense". When his parents finally went over to the window and saw Little B playing with other little boys with wing-like thin arms, they opened the window and asked Little B to come into the house. "But it was too late. The little boys were changed into sparrows again, and away they flew—out of sight—out of call" (Mansfield, 2012, pp. 172-173). Becoming a little sparrow is for Little B a means of escaping "the present", a life which is "too big and too violent" (Mansfield, 2012, p. 170).

If Mouse, the Englishwoman, is a heroine who resembles Mansfield, "a New Zealander who often felt alienated by life in London" (Smith, 2011, p. 194) and a "born actress and mimic" who "took colour from the company she was in" (Smith, 2000, pp. 47-48),<sup>18</sup> as Ida Baker observes, she must know how to survive in Paris thanks to the art of changing masks. In addition to saying, paradoxically, *in French*, that she does not speak French ("Je ne parle pas français"), "not saying a word" is a speechless speech, one of the masks used by Mouse to express "an *extremely* deep sense of hopelessness".

Mansfield could not change the fact that she had to travel constantly between England and Europe in search for the cure for her tuberculosis, but she was able to use clothes as "a protective façade" (in Smith's term) (Smith, 2000, p. 48). In a letter dated 1 Jan. 1931, Woolf tells Vita Sackville-West that the novelist Stella Benson's dressing style reminds her of that of Mansfield: "Anderson [Stella Benson] seems to me extremely good—puts a line round herself completely, as Katherine Mansfield used to wish to do, when she bought a tailor made coat" (Woolf, 1979, p. 271). Correspondingly, living in a time and space of estrangement, Mouse is

<sup>16</sup> Quoted in Bruns (2007), p. 704.

<sup>17</sup> "Mice make a variety of sounds, although to humans they simply sound like high-pitched squeaks". Mice communicate in "the ultrasonic range", "beyond human hearing". See Vanderlip (2001), p. 30.

<sup>18</sup> Ida Baker, one of Mansfield's intimates, as Angela Smith suggests, "is observant about a kind of chameleon quality in Mansfield's clothes and appearance in her memoir: 'She was a born actress and mimic, and even in her ordinary everyday life took colour from the company she was in'" (Smith, 2000, pp. 47-48).

powerless to improve the external conditions governing her life. But she can influence her immediate environment above all by means of her masks—namely, womanliness and animality: Mouse finds her way back into her burrow in a foreign city by wearing a mouse-disguise, which consists of a fur muff, a cloak with fur trim and a fur cap. She lives inside her fur like living inside her burrow, “where she could hide and keep herself to herself and stay as long as she liked, not disturbing anybody, and nobody worrying her” (Mansfield, 2012, p. 297).<sup>19</sup>

### Conclusion

To conclude, in this paper I have demonstrated how Mansfield’s art of changing masks has confounded what Woolf calls the “sentimentality” of her stories by looking at how speech and facial expressions, gender, and animality are adopted as masks for Mouse to meet every moment in “Je ne parle pas français”. In other words, through tracing these kinds of masking through, the essay argues that the seemingly unmasked expressions such as tears or sentiments conveyed by characters only serve as “another mask prepared beneath” the overlying mask rather than the true self revealed. That there is only a mask beneath the mask has not only shifted our conception of masking as covering the true self but also challenged the conventional notion of a selfhood “which is continuous and permanent”, as Mansfield writes in a journal entry of 29 April 1920: “True to oneself? Which self? Which of my many—well, really, that’s [sic] what it looks like coming to—hundreds of selves” (Mansfield, 1997, p. 204).

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<sup>19</sup> Mansfield, “Life of Ma Parker”: “Oh, wasn’t there anywhere where she [Ma Parker] could hide and keep herself to herself and stay as long as she liked, not disturbing anybody, and nobody worrying her? Wasn’t there anywhere in the world where she could have her cry out—at last?” (Mansfield, 2012, p. 297).

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# The Great Semblance Is Invisible—Lao tzu and Chuang tzu's Cognitive Aesthetics

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In the paper I will research Lao tzu and Chuang tzu's cognitive aesthetics based on the generalized cognizance. Lao tzu and Chuang tzu are the representative figures of Taoism in pre-Qin period, they fully affirm the natural and human nature, naysay affirm human social, cultural and moral, cancel the traditional music, naysay affirm material, they pursue art which is eligibility natural and completely abandon the man-made things, esthetical state according with Tao. They think the great voice is no sound, the great semblance is invisible, the no sound voice and invisible semblance are insight native beauty which are associated with a specific aesthetic feeling but surpass the limited aesthetic feeling, all is the highest state of art and beauty, reach this level, in fact, has entered the Tao. In order to reach this state, they asked people to cleanse away inner desire and external disturbance, keep simplicity, abandon knowledge and wisdom, keep heart bright and clean, forget everything in order to contact the natural law with the nature, the nature's mystery runs automatically, the sounds of nature sound itself. About the invisible semblance aesthetic, they put forward the concepts such as gain its meaning but forget the word, illocutionary force.

*Keywords:* cognitive poetics, Lao tzu, Chuang tzu, Tao

## Introduction

Cognition is one of the important fields of psychological research, refers to the process of human obtaining the knowledge or learning, it is the action and ability by which the brain understands the things and acquires knowledge corresponding to the mental activities such as emotion, motivation, viliton. Thinking is the core of cognition, the highest comprehensive stage in the process of information processing, formed on the basis of the perception, presentation and memory, affecting the process of perception, representation, and memory in return. As literature research methodology, cognitive poetics is a kind of Western poetics theory after the rise of cognitive science, mostly using cognitive psychology, cognitive science and cognitive stylistics to explain literature. Different from the West, as early as Chunqiu and Warring States Period, China presented its unique cognitive esthetics thoughts—Taoism's cognitive esthetic theory.

Chunqiu and Warring States Period is the axial age of China. During this period, the independent warlords rose in swarms, attacks mutually in politics and military, meanwhile in the field of ideology the pre-Qin thinkers enlivened, debated mutually, elaborated their respective ideas and thoughts that formed ideological prosperity—a hundred schools of thoughts contending. As the pre-Qin period Taoism's representative personage, Lao tzu and

Chuang tzu interpreted their own cognitive aesthetic idea in their works proceeding from the concept of Tao, established the Chinese early time cognitive poetics system.

### **The Basis of Lao tzu and Chuang tzu's Cognitive Aesthetics—Tao Whose Existence Spring From It as Non-existent**

Taoism is an ideological school in ancient China which rose in Chunqiu and Warring States Period, besides the Confucianist, it is the more significant school in all classes of authors. The founder of Taoism is Lao tzu (It is said that Lao tzu's surname is Li Er, secondary personal name is Dan), his philosophy and aesthetic ideas reflected in his book *Laozi* (also known as *The Tao Teh King*). Lao tze applied Tao to explain the evolution of the inventory in the universe, Tao is the objective law of nature, and also has the eternal significance that "standing alone, and undergoing no change, reaching everywhere and in no danger of being exhausted" (CHEN, 2003, p. 169). He thinks in the world things are the unity of existence and non-existence, "existence spring from the non-existence", and "non-existence" as the foundation, "All things under heaven spring from it as existing and named; that existence spring from it as non-existent and not named" (CHEN, 2003, p. 226). The representative figure of the Taoism in the Warring States Period is Chuang Zhou, he wrote the book *Chuangzi*. Chuang tzu inherited and carried forward the thoughts of Lao tzu, he also boiled the origin of the inventory in the universe down to the Tao. He fully affirmed the innate quality of the nature and human beings, denied the artificial society, culture and morals, cancelled the traditional ritual music, didn't strive for plenty of material life, did not drive by material system, sought for the freedom realm which is suitable for nature. Chuang tzu overcame mountains and rivers to research the world, integrated the meaning of the universe into the romantic charm and mien of people, researched the realm that the excellent people who did not concern himself, the immortal who did not concern his material gain, the saint who did not concern his reputation. In the history of Chinese literary theory, beauty-appreciation literary thoughts came into being under the influence of the thoughts of Taoism that advocates natural and pursuit of natural verve.

The concept of Tao first seen in *The Book of Changes*, It says: "Alternating between Yin and Yang is called Tao" (WANG, 1980, p. 541). It means that the intercourse of Yin and Yang is the starting point of the universe changes. Or, Yin and Yang are parents of the temporal.

The core of Chinese classical Taoist philosophy is the Tao. Taoist summed up the nature of the universe in Tao, regarded the Tao as the original chaos. Although said that all things under heaven spring from Tao, it may be regarded as the mother of all things, Lao tze did not give a clear definition to Tao, just as his words "the Tao that can be trodden is not the enduring and unchanging Tao" (CHEN, 2003, p. 73). Tao is a thing which is uncertainty, deep and remote, elusive, "I do not know its name, and I give it the designation of the Tao (the Way or Course). Making an effort (further) to give it a name I call it The Great" (CHEN, 2003, p. 169). Tao reflects empty, but can be used endlessly, it is the source of all things, seems profound, deep and serene. Therefore, in his view, the Tao is the existence of the reality,

Who can of Tao the nature tell? Our sight it flies, our touch as well. Eluding sight, eluding touch, The form of things all in it crouch; Eluding touch, eluding sight, There are their semblances, all right. Profound it is, dark and obscure; Things' essences all there endure. Those essences the truth enfold of what, when seen, shall then be told. (CHEN, 2003, p. 156)

Its name will never be abolished back to ancient times from nowadays, only according to it can we observe the initial of all things. So Tao contains at least the tangible things which include the semblances of things, the things and things' essences. These tangible things have their regularities, distinctiveness and limits, the differences of things come from Tao. Lao tzu thought that Tao is the unity of existence and non-existence meanwhile affirming its objectivity:

So it is that existence and non-existence give birth the one to (the idea of) the other; that difficulty and ease produce the one (the idea of) the other; that length and shortness fashion out the one the figure of the other; that (the ideas of) height and lowness arise from the contrast of the one with the other; that the musical notes and tones become harmonious through the relation of one with another; and that being before and behind give the idea of one following another. (CHEN, 2003, p. 80)

The so-called “non-existence”, that is, Tao is indescribable, non-polar, we meet it and do not see its Front; we follow it, and do not see its Back, that is no stipulation, limitless. Therefore, Tao is no concrete image, cannot be grasped only by feeling. Both “existence” and “non-existence” are Tao, Tao has the dual attributes of “existence” and “non-existence”. That is to say, the Tao cannot only be a tangible physical state, but also an invisible ideology state (psychology concept image). Lao tzu thought that although there is a dialectical relationship between nothing and thing, virtual and real, “existence and non-existence give birth the one to the other”, existence springs from non-existence, regards non-existence as its root, while the people can experience and taste the realm of “non-existence” from “existence”.

Although Chuang tzu's Tao is more mysterious than the idea of Lao tzu, he deeply understood the freedom and its own deed of the universe spirit, so let it be, open unlimited facing to the chaos. Chuang tzu thought that the body is the shelter of the short things, but the spirit is the eternal conversion, the opening of Great Tao is not only the infinity of territory space but also the infinity of all people and all things, it is a kind of extension of the limited survival, so as to transcend the helpless of time and space, only depending on the endless continuation of the spirit, the unification of Great Tao can we be able to transcend the limitations of individual life and survival, to pass through the fear and sadness of the life to search out the natural and spiritual homeland. Just because of the unlimited open, his Tao cannot be described as well, it is quite confused and stupefied, intangible and traceless, imageless and nameless, self-sourced and self-rooted. Also because of this, his Tao has the ethereal effects of aesthetic meaning. When he inspected external world relying on the ethereal state of aesthetic judge, he revealed the eternal meaning of existence—the great beauty and the great joy.

### **Lao tzu and Chuang tzu's Cognitive Principle—The Law of the Tao Is Its Being What It Is**

Researching on the origin of aesthetic consciousness, different from the visual dominance in traditional Western culture, the initial notion in the Chinese traditional culture is likely to be “The beauty of the sense of taste”, then expanded gradually to the audiovisual beauty. The perception of this order was recorded in *The Twenty-Fifth Year of Duke Zhao in Zuo's Commentary on Spring and Autumn Annals*: “The pneuma sends out five flavors of acid, salty, pungent, sweet and bitter, turns into five colors of cyan, yellow, red, white and bright, appears five music of gong, shang, jue, zhi and yu” (CHEN, 2006, p. 2639). Chinese aesthetic-appreciation activity is a comprehensive feeling with taste, hearing, vision, touch sensation, kinesthetic, words, Chuang tzu's “Let your senses communicate within and rid yourself of the machinations of the mind” (CHEN, 2007, pp.

139-140) is a kind of comprehensive aesthetic feelings. In the traditional Chinese aesthetic cognition, Taoist school pays more attention to this kind of transition from outer to inner, let us read the dialogue spoken by Yen Hui and his teacher Confucius in *Zhuangzi* (*In the world*):

“I have nothing further to propose,” said Yen Hui. “I venture to ask you for a method.”

“Fasting,” said Confucius. “I shall explain it for you. If you do things with your mind, do you think it will be easy? Bright heaven will not approve one who thinks it will be easy.”

“My family is poor,” said Yen Hui, “and it’s been several months since I’ve drunk wine or tasted meat. May this be considered fasting?”

“This is fasting suitable for sacrifices, but it is not fasting of the mind.”

“I venture to ask what ‘fasting of the mind’ is,” said Hui.

“Maintaining the unity of your will,” said Confucius, “listen not with your ears but with your mind. Listen not with your mind but with your primal breath. The ears are limited to listening, the mind is limited to tallying. The primal breath, however, awaits things emptily. It is only through the way that one can gather emptiness, and emptiness is the fasting of the mind.” (CHEN, 2007, p. 139)

The philosophical basis of Taoist poetics thoughts is Tao. Tao refers to a kind of absolute idea that exists beyond time and space, it can dominate and control the psychic will of the main body, contains strong personalized power and factors. Although Tao has the supreme status, it is unknowable and unconfirmed, and the “fasting”, “sit and forget” are two ways that the subject of literary and artistic creation to carry out and fulfill the Tao. In the process that the subject of literary and artistic creation perceives things, the empirical glance by ear, heart, pneuma, emptiness is Fasting, it is the best state of mind to experience the Tao, a clear and bright psychological state, at this moment you need to use neither audio and visual senses nor rational thinking, fully comprehend by intuition of life instinct. In the process that perceives things, the subject of literary and artistic creation gets rid of physical and mental desire, reaches the psychological state in which one forgets shape and feeling, oneself and things, this state is Sit and Forget. In terms of the name “fasting”, “Sit and Forget” are two states, but they are the one in actual fact, its essential requires the subject of literary and artistic creation through the intuitive experience to understand and experience, grasp the essence of things, so as to surpass the reality, obtain spiritual freedom realm of Tao. That is to say, the aesthetic attitude of the subject of literary and artistic creation must reach the mental state in which one forgets himself and other things, keeps the mind clear and bright.

Thus, how does the subject of literary and artistic creation achieve this state? According to Lao tzu, they must know “the law of the Tao is its being what it is”, in accordance with the innate quality of nature, live and perceive naturally and lightheartedly. First, cleanse away the inner desire and external disturbance (Xuanjian) in terms of thinking. “When one gives undivided attention to the vital breath, and brings it to the utmost degree of pliancy, he can become a tender babe. When he has cleansed away the most mysterious sights of his imagination, he can become without a flaw” (CHEN, 2003, p. 108). “Cleanse away” refers to wash the inner desires, eliminate external disturbance; “Xuanjian (mysterious sights)” evolve to “Xuanlan (the vision of the mystery)” at a later time, means to view the Tao of metaphysics from physical thing in the world, the so-called “essential intuition” today. Because of viewing from concret to metaphysics, so called “Xuan (mysterious)”. But in fact the metaphysics is unable to view, so it is actually a kind of comprehension. The original intention of Lao tzu is to view the Tao, only eliminating disturbance of the distracting thoughts can we go deep into essence to meet Tao.

This viewpoint communicates with aesthetic contemplating, reveals the regularity that aesthetic contemplating and artistic creation must be on the premise of clear state of mind. All the discourses “stands in the center and observes in the darkness”, “cleanse your mind, purify your spirit” in *A Poetic Exposition on Literature* (written by Lu Chi) and *Wen xin diao long* (written by Liu Xie) were developed from here.

Next, keep simplicity. In chapter 19 of his work, Lao tzu said:

If we could renounce our sageness and discard our wisdom, it would be better for the people a hundredfold. If we could renounce our benevolence and discard our righteousness, the people would again become filial and kindly. If we could renounce our artful contrivances and discard our scheming for gain, there would be no thieves nor robbers. Those three methods of government thought olden ways in elegance did fail and made these names their want of worth to veil; but simple views, and courses plain and true would selfish ends and many lusts eschew. (CHEN, 2003, p. 147)

Lao tze advocated non-action ruling in politics, praised natural on philosophy and aesthetics, thus he advocated maintaining natural simplicity.

He who devotes himself to learning seeks from day to day to increase his knowledge; he who devotes himself to the Tao seeks from day to day to diminish his doing. He diminishes it and again diminishes it, till he arrives at doing nothing on purpose. Having arrived at this point of non-action, there is nothing which he does not do. (CHEN, 2003, p. 250)

Chuang tzu also proposed that “subscribes to nonaction an dreturns to the simplicity of the unhewn log” (CHEN, 2007, p. 373), (*Heaven and Earth*) “after all the carving and chiseling, return to the simplicity of the unhewn log” (CHEN, 2007, p. 588) (*The Mountain Tree*). This is the development of the thoughts of Lao tzu’s “simple views and courses is plain”. “Nature” and “Simplicity” are the two kinds of aesthetic styles put forward by Chuang tzu about the object of literary that associated with each other.

The Tao in Chuang tzu’s philosophy is nature, nature is unable to change, keep the innate quality of nature so as to get esthetical effect. “Simplicity” is consistent with the concept of “nature”, mainly refers to a style which is clear, pure and determined by nature. Chuang tzu expounded his ideas on this style mainly from four aspects: Heaven and earth have great beauty but do not speak; follow along with the nature of things; after all the carving and chiseling, return to the simplicity of the unhewn log; simple as an uncarved block, no one under heaven can contest with them for excellence. Chuang tzu thought, literary and artistic creation should comply with and abide by the innate quality of nature, seek the highest state beauty of the nature; the means of literary and artistic creation is to achieve the effect of the simplicity, the beauty of simplicity is more beautiful than any other type of beauty. Chuang tzu, in fact, regarded the “nature” and “simplicity” as the highest aesthetic style of the object in literary and artistic creation.

Chuang tzu thought, things are beautiful because they are natural, any artificial art is damage to the natural beauty. In *On the Equality of Things*, he compares the pipes of heaven, the pipes of earth and the pipes of man to illustrate the beauty of nature: “The pipes of earth are none other than all of the hollows. The pipes of man are bamboo tubes arrayed in series”, “As for the pipes of heaven, the myriad sounds produced by the blowing of the wind are different, yet all it does is elicit the natural propensities of the hollows themselves. What need is there for something else to stimulate them!” (Chen, 2007, p. 139). The pipes of man is the music played with music orchestra by people, is artificial things, belongs to lower down sound; the pipes of earth is the sound that the wind blow big and small orifice, its coming into being by virtue of the size of the wind and the different shapes of the orifice, also is not the most beautiful; only the pipes of heaven is natural voice that the orifices resound

themselves, not depend on any external forces. Because the pipes of heaven synthesizes the pipes of earth and the pipes of man, it must be provided with two conditions, the one is out of itself, and the second is due to the nature. If we get the two conditions together, the pipes of heaven is our own sound of nature. Chuang tzu opposed to modify, advocated the sounds of nature sound itself.

The premise of keeping simplicity is to abandon knowledge and wisdom. Lao tze thought, human activities should be limited to the scope “necessary and follow along with the nature of things”, should follow the morality to seek the Tao. People following the morality is that they act according to the innate quality of things, because people’s desire is too much in real life, in order to meet the desire, pursue pleasure, people lost the intrinsic morality, they should have few desires. Knowledge itself is the object of desire, it can also inspire more desire of people, the more knowledge they have, the less satisfied and inactive they are, that is why people need to abandon knowledge and wisdom, keep the original ignorant state. Here the “discard wisdom” shows the active excluding, that is to say, people should keep their simple natural character. Comparing with Lao tze, Chuang tzu had the obvious progressing, he emphasized that people should respect the inherent law existed objectively in the things rather than going against it discretionarily according to their subjective will. In Chuang tzu’s view, people must abandon the knowledge so as to follow the Tao. In *Essentials for Nurturing Life*, Chuang tzu said: “Our lives are limited, but knowledge is limitless. To pursue the limitless with the limited is dangerous. Such being the case, if one still goes after knowledge, one’s life will definitely be in danger” (CHEN, 2007, p. 113). In such cases, if the people are still bound to pursue knowledge, it is the loss of the Tao to make themselves fall into endless troubles in the joys and sorrows. Chuang tzu put it this way is not advocating “ignorance” but stressing “wisdom of unwisdom”, requiring people after “wisdom” to achieve the unwisdom stage, reaching the state of mind in accord with great Tao on the basis of cognizing regularities of all things on earth. So he went on: “Follow the central artery as conduit, you can preserve your body, maintain your life, nourish your inmost viscera, and complete your allotted years” (CHEN, 2007, p. 113).

“The law of the Tao is its being what it is” is a state of doing everything at the point of non-action and returning artless innate quality. Therefore, at the beginning of the artistic creation, Taoism emphasizes the artist must be in emptiness and stillness state of mind. Emptiness and stillness is the precondition of artistic conception, it is a concentrated state of mind not be disturbed by any subjective or objective factors. After artists enter into the emptiness and stillness state, they can get rid of all the fetters of secular utilitarian, concentrate on in-depth artistic conception. “Emptiness and stillness” first came forward in *Laozi* “The state of vacancy should be brought to the utmost degree, and that of stillness guarded with unwearying vigour” (CHEN, 2003, p. 134). Chuang tzu greatly developed Lao tzu’s theory on “Emptiness and stillness”, he thought that “Emptiness and stillness” is the required state of mind when we come into the state of Tao, is the basis of the understanding to supreme Tao, due to the fact that “Emptiness and stillness” can make the person “purge knowledge”, break all the limitations of artificial knowledge so as to reach the perfectly clear state on understanding.

In *Preserving and Accepting*, Yellow Emperor asked Master Guangcheng what is the best Tao of health maintenance. Master Guangcheng answered that Tao is the objective law which is invisible and impalpable, thus it is cavernously dark, profoundly silent. However, must you hold the objective laws in gloom state can you stay healthy and longevity. Because the objective law is invisible and impalpable, people need to be “neither sight nor hearing”. Neither sight nor hearing really let you turn a blind eye and a deaf ear to the reality, but don’t look and

hear blindly. In the face of rapidly changing, multicoloured, affect the physical and mental health things, don't persistent in any case, look like unsighted, hear like unheard, only operating according to Tao that is to say the objective laws can everything embrace the spirit in stillness.

Chuang tzu said in *The Way of Heaven*:

He who understands heaven, who is conversant with the sages, and who comprehends the virtue of emperors and kings throughout the six directions of the universe and the four regions, acts spontaneously but is always obviously still. The stillness of the sage is not because stillness is said to be good and therefore he is still. It is because the myriad things are unable to disturb his mind that he is still. When water is still, it clearly reflects whiskers and brows. It is so accurate that the great craftsman takes his standard from it. If still water has such clarity, how much more so pure spirit! The stillness of the mind of the sage is the mirror of heaven and earth, the looking glass of the myriad things.

Emptiness, stillness, placidity, mildness, quietude, indifference, nonaction—these are the root of heaven and earth, the substance of the Way and virtue. Therefore, emperors, kings, and sages rest in them. Resting, they are empty; empty, they are full; full, they are prepared; empty, they are still; still, they begin to move; moving, they attain. Still, they are nonactive; nonactive, they entrust the responsibility for affairs to others. Nonactive, they are content; content, anxiety, and trouble cannot discomfit them; so their longevity will be great.

Emptiness, stillness, placidity, mildness, quietude, indifference, nonaction—these are the root of the myriad things. Understanding this as the south-facing ruler, Yao was lord; understanding this as the north-facing minister, Shun was his subject. Occupying a superior position with this understanding is the virtue of emperors, kings, and the son of heaven; occupying an inferior position with this understanding is the way of dark sages and plain kings. Those who withdraw into retirement with this understanding and wander at leisure will win the admiration of recluses from the rivers, lakes, mountains, and forests. Those who come forward into active life and succor the world with this understanding will achieve great accomplishments and brilliant fame by uniting all under heaven. Still, they are sages; moving, they are kings. Nonactive, they are respected; simple as an uncarved block, no one under heaven can contest with them for excellence. (CHEN, 2007, p. 393)

The purpose of Emptiness and stillness is to make people's heart like the mirror of the heaven and the earth and, mirror of everything in the world, only abandoned all specific, partial, subjective "seeing", "smelling" and "knowing" can the people enter into the perfectly clear state, obtain the uppermost, all-sided and real objective understanding to the things, observe aesthetic freely, have the most exuberant artistic creativity, create works in full accord with nature.

What mentions in the same breath with "Emptiness and stillness" is "Sit and Forget". In *The Great Ancestral Teacher*, Chuang tzu proposed: "dim my intelligence, depart from my form, leave knowledge behind, and become identical with the Transformational Thoroughfare. This is what I mean by 'sit and forget'" (CHEN, 2007, p. 240). What the Chuang tzu says "sit and forget" is exactly "emptiness and stillness". That is letting people forget everything exists as well as their own existence, abandon all knowledge, reach the state of vacancy should be brought to the utmost degree and that of stillness guarded with unwearying vigour, integrate with the Tao. In the Taoist view, artist's mind should settle as still water when he carries through artistic creation and artistic view, at this time they can reach the mental state that enjoy beautiful scenes in empty and clear mind, agree with nature, accommodate everything in the mind, can return to nature in the aspect of spirit, its expression is fully liberation of his own nature of mind, making his mood to get quiet, peaceful, lonely and inactivity, make his soul suffuse with the cognitive object, as if integrating with the universe, sublimate to the state of selflessness.

As to the specific manifestation of the "sit and forget", Chuang tzu proposed the idea of "materialization", he advocated that in the process of realizing the Tao of objective things, at the psychic emptiness and stillness

state, the people as main body should reach also can reach an uppermost state in which things and ego are isomorphic, they are all-in-one with the Tao, that is to say, the boundaries between the object and the subject of the cognition are thoroughly obliterated. The materialization theory of Chuang tzu is closely linked with his emptiness and stillness. Chuang tzu thought “emptiness and stillness” is the way and method to understand Tao, is a required state of mind when people want to enter into the state of Tao. For the creation subjects, must have the emptiness and stillness state of mind, which is the key whether they can create natural art. For the relationship between subject and object in creation, must reach the materialization state. What is the “materialization”? In Chuang tzu’s view, after entering into emptiness and stillness state, abandoning all disturbance and the psychological burden, people will forget everything even themselves, no longer being tied and restricted to own sense organs, so as to get the perfectly clear cognition. Such as the wheelwright was hewing a wheel in *The Way of Heaven* and the draftsman who was found half-naked, with his shirt off, sitting with his legs splayed out in *Sir Tian Zifang*, Chuang tzu put forward his viewpoint under the guise of the thing that Lord Yuan of Sung recruitment draftsman, he thought the man who is anxious to paint is not really a painter, only the miraculous person who is undressed with two legs open, sit two knees slightly bent, shaped like a dustpan, in a leisurely scattering state of seeking fame and wealth, has no intention to paint is the really one. That is to say, it is the real art creation only when artistic creation is entering a state of mind which unfolds heart and open arms to forget himself, emotion, benefit and shape, live a simple life, emptiness and stillness, beyond the rules, let things slide. In terms as the creator, the subjective people also seem inexistence, subjective “nature” (heaven) integrate objective “nature” (heaven), which has entered the state of materialization, this is called “heaven joins to heaven”. The creative nature is completely consistent with the formed by nature in such situations. Like his emptiness and stillness theory, Chuang tzu’s thoughts of materialization as the epistemology of philosophy has its one-sidedness and extremeness, because it excessively exaggerates the relativity between the things, cancels their respective qualitative regularity. However, in the field of aesthetic and literary creation, his thoughts of materialization is a fairly penetrating theory, because in the real advanced aesthetic and literary creation process, the subject must be heterogeneous isomorphism with the object, destruct the boundaries of each other, which is the mind wanders with things, emotion and circumstance blending, meaning and image fusion often said by later generations literary theorist.

“Heaven joins to heaven” as Chuang tzu’s argument about the relationship between people and nature, its meaning is to contact the natural law with the nature. Chuang tzu emphasized that the people transform nature in the practice accord with nature by means of the mastery of nature’s laws. In *A Cook Was Cutting up an Ox*, he pointed out the cook who probes the beauties of heaven and earth and comprehends the principles of the myriad things is adapted to heavenly principles, “lead the very thin blade through the great cavities”, finally “He danced in rhythm to The Mulberry Grove; moved in concert with the strains of The Managing Chief” (CHEN, 2007, p. 116). As for the *Woodworker Ch’ing Was Carving Wood* placed more emphasis on the people by skilled technology, carrying out art creation in accordance with the laws of beauty, finally “heaven joins to heaven”, all who saw it were as amazed as though they were seeing the work of a spiritual being. Therefore, the spirit of “heaven joins to heaven” also embodies in a free creative spirit. The process in which nature’s own endless vitality and unlimited richness found and mastered by the people is the process in which the people integrate and supplement reciprocally, perfect jointly. Chuang tzu advocated the beauty of nature in the artistic creation state, “heaven joins to heaven” is the ideal natural artistic state of Chuang tzu.

The perfect performance of “heaven joins to heaven” is the nature’s mystery run automatically. The concept “nature’s mystery” is out of *Autumn Floods*: “How could we change the movements of our natural inner workings” (CHEN, 2007, p. 499) refers to the inartificial vital functions, or the natural sense of life. It is innate without thinking, neither minded choice nor replaced at will. Therefore one thing has its nature’s mystery, it is the unique special talent and the most appropriate way of behavior. Such being the case, how to heaven joins to heaven in literature and art creation? Chuang tzu replied “meet with spirit”. The concept of “meeting with spirit” comes from the story of *A Cook Was Cutting up an Ox* in *Essentials for Nurturing Life*. That meeting with spirit is to apply people’s own mind to understand the essence of things, it is the directly fit and not keeping anything from each other of the heart and things. People don’t have to observe and think intentionally after reaching the state of meeting with spirit, simply run the spirit unconsciously, can do anything conform to the inherent laws of things. Meeting with spirit is a psychological state in which the subject and object excellent combination, it is far beyond the operation technology level. The creation of literature and art requires us to enter into things with unconscious natural state of mind, to combine with things, to feel and experience naturally.

### **The Cognitive State of Lao tzu and Chuang tzu—The Great Semblance Is Invisible**

Taoism adapted to the tradition to group into Tao, Lao tzu had a high regard for stillness and closeness while Chuang tzu praised profound grand and the unrestrained highly, they thought the instant and eternity, a small plot of land and the unlimited space and time as equivalents, in pursuit of chaos in one with Tao. As the result, they took the great semblance is invisible, the great voice is no sound and the great wisdom appears stupid as the highest state of cognition, so as to realize the carefree wandering.

As the aesthetic ideas in Chinese ancient literary theory, the great voice is no sound and the great semblance is invisible were put forward by Lao tzu. They are out of *Laozi*: “Its largest square doth yet no corner show a vessel great, it is the slowest made; Loud is its sound, but never word it said; A semblance great, the shadow of a shade” (CHEN, 2003, p. 229). These phenomena show the do-nothing state of Tao. It said also: “We listen to it and do not hear it, we name it the Inaudible” (CHEN, 2003, p. 126). Wang Bi noted: “The great voice is the inaudible voice. Where there is voice there is distinction, the distinction is either Gong or Shang. The distinction can’t govern the many, so the voice is not great voice” (WANG, 1980, p. 113). “The many” is the whole, “the distinction” is part; the voice such as the Gong or Shang listened by the people are only partially rather than the whole, means that if we have a specific, part beauty of the voice, we will lose the natural beauty of the voice. The great voice is no sound, the do-nothing natural music is the music of Tao, fits the characteristics of Tao, is the ultimate of all artificial music, exists anywhere, includes anything. It is the most beautiful, but silent, is the highest state of music. Although artificial music is wonderful, the beauty of the voiced music is secular and temporary, can make people deaf, it is not suitable to be advocated. Great beauty, extremely beauty—the real beauty is nothing but Tao itself; the real beauty is in nowhere but the existence of Tao. The reason why the real beauty is beautiful is that it accords with the Tao, expresses the Tao and realizes the Tao. The basic feature of Tao is natural, therefore natural is the basic feature of beauty. From the perspective of its second meaning, nature refers to the natural state as the “fact” existence which has not been rationalized that is to say has not been humanization on the ontological significance. The real beauty is out of nature, limited by reality, root in do-nothing. All beautiful things in the world should be natural pure, not be injured by any external powers. The

form of beauty is varied, but the real beauty is not tend to be restricted to form, pale in the expression. The true meaning of the great voice is no sound and the great semblance is invisible actually emphasizes that the highest beauty is often the most pure, the most natural and the most genuine, and don't need, don't attached to the external phenomenon and form, therefore the beauty which can transcend specific, external, convoluted and artificial beauty is the real "great beauty", "ultimate beauty", on the contrary, it is the "tiny beauty" and "false beauty". "The great voice is no sound and the great semblance is invisible" is the highest state of art and beauty. It reveals that the most perfect literary works must be into the state of Tao, into the natural state which is unaffected simple without any artificial trace.

Discussing the beauty and art, Lao tzu advocated to obey the nature, abandon the man-made things, discard the artificial beauty and art, what he wanted are the literature and art in line with the natural which completely abandon the man-made things, the state of beauty which is in line with the Tao. He thought that the most beautiful voice is the voice that has got rid of artificial rhythm, the most beautiful image the natural image without any man-made cut and polish, The no sound great voice and the invisible great semblance is the natural beauty perceived by the subject self-examination which is either associated with a specific aesthetic feeling or beyond the limited sense of beauty, is the highest state of all art and beauty, people actually have entered into the state of Tao when he reached this state. Chuang tzu's "the great beauty silent" is the same, in *Mending Nature* he appreciated the ancient people "at that time, there was no action but only constant spontaneity" (CHEN, 2007, p. 468). Here the nature is the meaning of its own, the lively noumenal self of things in the universe, the appearance as it is of things in the universe, beauty of heaven and earth appears in this process. Because the self, just as it is appearance of this beauty, it is a great beauty—"Heaven and earth have great beauty but do not speak" (CHEN, 2007, p. 650). The great beauty of heaven and earth is a kind of beauty united as one without any right or wrong and any difference, is the highest beauty that "its tranquillity would be unlimited, yet a multitude of excellences would follow in its wake" (CHEN, 2007, p. 456), like the high of the sky, the wide of the earth, the running of the sun and the moon, the flourish of the things, they do not speak, therefore "erudition does not necessarily imply knowledge and disputation does not necessarily imply wisdom" (CHEN, 2007, p. 656), Chuang tzu thought that the great beauty is no sound because of itself running, the itself running is Tao. The advocating to natural perfection by Lao tzu and Chuang tzu has profoundly influenced on the later literary theories, it becomes the highest artistic state which is advocating natural without any cut and polish pursued by the writers and artists.

Besides the no sound great voice and the invisible great semblance, the 45 chapter of *Laogzi* also proposed that "the greatest art still stupid seem". Here Lao tzu analyzed the dialectical relation between skillfulness and unskillfulness relying on the philosophical thought that "nothing can't be done at the point of non-action". He thought that the real clever is not contrary to the laws of nature to show off its own intelligent but comply with the laws of nature in everywhere, naturally get the purpose of oneself in the process of adaptation. Although the original intention of "The greatest art still remember seem" proposed by Lao tzu did not lie in aesthetics, but explaining the reason of "action through inaction", it has just explained the characteristics of all highly successful art creations. Any outstanding art works is a high degree of unity of purpose and regularity. After Lao tzu proposed that "the greatest art still stupid seem", the dialectical relationship between clever and awkwardness gradually became an important question often discussed by Chinese aesthetics.

Lao tzu thought that really smart beautiful things should be not modified, so in chapter 81 of *Laozi* he proposed “sincere words are not fine; fine words are not sincere” (CHEN, 2003, p. 349). The “sincere” refers to the reliable, true. The meaning of this sentence is the content of rhetoric words or articles tend to be untrue. Lao tzu turned up his nose at all kinds of hypocritical superficial and flashy phenomenon in society then. He often told the people not to easily believe the flashy beautiful things, should observe calmly from the dialectics of “the movement of the Tao by contrary proceeds” (CHEN, 2003, p. 226). The thought is of great enlightenment to applying of the methodology on aesthetic judgment and literary criticism.

When Chuang tzu met the Tao at the untrammelled state of mind, what he showed us is a wonderful realm full of very amazing images in *Carefree Wandering*: Not only the lunker is too large to measure, what is called “in the darkness of the Northern Ocean, there is a fish named Kun. The Kun is so big that no one knows how many thousands of li its body extends. After it metamorphoses into a bird, its name becomes Peng. The Peng is so huge that no one knows how many thousands of li its back stretches. Rousing itself to flight, its wings are like clouds suspended in the sky” (CHEN, 2007, p. 6), but also the tiny is too small as travelling air or floating dust, what is called “the galloping gusts on the open country and motes of dust in the lower sky are blown about by the breath of living organisms” (CHEN, 2007, p. 8) almost can hardly be seen. In this article Chuang tzu showed us three different states: the secular state, the immortal state and the nothingness state.

The secular state is a supposed narrative pattern in the works of Chuang tzu. In the reality level namely the secular state, the people’s cognition is based on the assumption, determines the size of different height and length according to their own feeling about time and space and assumptions of the experience, such as the Kun and the Peng are large, the cicada and the turtledove are small. But what is the real world, the real time and space? Its innate quality will never show in front of people without shelter. Therefore, Chuang tzu showed us the immortal state, in his works, the immortals on the mountain MiaoGuye can simply enter into their own inner mind, almost reach the state of no form and no trace. But the immortal state has not yet arrived, although it draws itself from all nature, beyond the human experience and wisdom, beyond the external world to enter into the unconstraint of the heart, it has not walked away from the inner of itself, although the immortals can travel outside the universe, as the subject ‘I’ still makes up the corresponding relationship to each other with the time and space outside the universe, space and me are two different concepts, my lightheartedness has by no means been a whole with the space. If people abandon consciousness of feelings and the wisdom of human being, they can jump out of the real space felled by the people to fade in other state, in this case there is no debate about the size, free themselves from all bondages, beyond the objects relationship around us, as even beyond ego itself to result in selflessness, just get start the open and reveal of another state, which is inexhaustible state, the so called the nothingness state. The excellent spiritual aspect endowed to these sages by Chuang tzu is travelling in the universe, surpassing the things without injury, a state of mind in which the spirit roam in the universe with nothing to fall back on, has the free connotation of aesthetic. In Chuang tzu’s view, the function of the spirit lies in the creative travel, and the process of the creation is the process in which spirit releases freely, the two process is the process from one to two, from two to one. Started from the value that the spirit is free and unrestrained, Chuang tzu greatly displayed the imaginative space of literature. But his yearning to the nothingness state makes his cognition more approximate to the Tao.

### The Cognitive Performance of Lao tzu and Chuang tzu—Ilocutionary Force

Although the world is full of linguistic speculation and wisdom, it never reaches the contented perfect state. Facing to the uncertain affairs of human life and the perpetual cycle of all things on earth, Chuang tzu felt that all speech is powerless in front of it, because “speech is not merely the blowing of air. Speech is intended to say something, but what is spoken may not necessarily be valid” (CHEN, 2007, p. 62). Heaven and earth have great beauty but do not speak, the sense of beauty is extremely meticulous and thorough to all nature, which make the people who get it enlightenment through inspiration, it can’t be positioned and qualitative indeed, but has to through the speech of language can it convey to others or future generations. Just like German philosopher heidegger’s saying “in the narration, a nation historical understand their world, but the earth keeps still closed. The projective speech is such a speech, it has prepared the speakable, bring the unspeakable into the world at the same time” (Heidegger, 1990, p. 69). Because the language is limited, fixed, specific alleged, but Tao is infinite, sportive, comprehensive, contradiction inevitably forms between them. There are two different levels in the speech as language, one can be expressed by words, but the other can’t be expressed by words, namely the unspeakable. Speech undoubtedly has its limitations, just like Heidegger saying, when we think about it, we experience in existence itself. Although the individual can experience and understand the state of great Tao when he(she) faces to the world and the nature, no language can describe it, however, the speech as narration is indispensable when it is conveyed to others. So we have to face the paradox of life, speak the unspeakable.

Tao is the opposite time and condition which is unspeakable and can’t be bound in mind, it is distant and unreal, erratic and traceless, is nothing but naturally tacit identity. When we ask, speak and try to understand the Tao, perhaps it is opened, or appears in some moment, but the appearance isn’t itself, so Lao tzu said: “The Tao that can be trodden is not the enduring and unchanging Tao. The name that can be named is not the enduring and unchanging name” (CHEN, 2003, p. 1). In *The Way of Heaven* and *Autumn Floods*, Chuang tzu thought, there is prodigious a difference between the language and the intention when people as cognitive subject realize and grasp the abstruse Tao, although the intention can’t completely observe the lofty Tao, can grasp some subtleties in the final analysis, namely its minuteness. However, the word and book record word at best only grasp its coarseness, therefore even if the articles and works (books) are only waste matter, should be disdained. His seemingly extreme absurd viewpoint actually contains very incisive reasonable kernel, that is to say the people’s words and books (including literature works) are not competent when they express complicated intentions, they are nothing but lame tools, this is the original source of the famous viewpoint of “the word fails to convey the meaning” in the later literary theory history.

Just because the word fails to convey the meaning, Chuang tzu put forward the so-called point of “gain its meaning but forget the words”. He wrote in *External Things*:

A fish-trap is for catching fish; once you’ve caught the fish, you can forget about the trap. A rabbit-snare is for catching rabbits; once you’ve caught the rabbit, you can forget about the snare. Words are for catching ideas; once you’ve caught the idea, you can forget about the words. (CHEN, 2007, pp. 832-833)

In Chuang tzu’s viewpoint, words doesn’t convey all its connotation, means the word fails to convey the meaning. He said: “Meaning is what gives value to words, but meaning is dependent on something. What meaning depends on cannot be expressed in language” (CHEN, 2007, p. 413). Chuang tzu emphasized the

limitation of language and word, pointed out that it cannot fully express the complicated content of human being thought. This view to a certain extent accords with the actual situation of people's cognitive practice, but also has its obvious limitations. Chuang tzu's viewpoint of "gain its meaning but forget the words" based on "the word fails to convey the meaning" stressed the purpose of words is to gain its meaning, means to express ideas, therefore should not be constrained the words as tool and cling to it so as to forget the purpose of gain its meaning. On the contrary, as long as the meaning is clear, things can make people understand, it does not matter to forget the words. The viewpoint of "gain its meaning but forget the words" profoundly affected the literary creation. Literary works require implication and aftertaste, often ask to blanket more with less, pursue "taste the implied", "illocutionary force", Chuang tzu's viewpoint of "gain its meaning but forget the words" just tell us the mystery of the relations between words and meaning in literary creation.

Although intangible and traceless, the Tao is ever changing as well, deposits in existence. The mission of the language is to convey feeling and ideas, the language can be abandoned after the conveying, therefore Chuang tzu said: "That which can be discussed in words is the coarseness of things; that which can be conceived of in thought is the minuteness of things" (CHEN, 2007, p. 485). The fine meaning cannot be expressed by language, what can be expressed is the phenomenon of things and general reason, but the essence of things, the beauty of the object lie in the unspeakable implied meaning. Because we speak the unspeakable Tao, we must borrow another alternative way, the so-called fasting, by the existent object, evolve into aesthetic observation, show the illocutionary force, only in this way can we get rid of external obstructions such as the wisdom of language to get the truth of great Tao. Study from given above, the so-called the implied meaning is the intuitive grasp in fact. Since Chuang tzu proposed the difference between the language communication and the obtaining the meaning, the implied aim in the article, the overtones, the illocutionary force, the meaning outside language have always discussed in the poem criticism, it has developed a centuries-old tradition in Chinese literary theory history.

### Conclusion

Different from the cognitive poetics established by Western scholars based on the language and words of text after all kinds of subject came into being, Lao tzu and Chuang tzu through the intuitive experience to understand and experience the things, started from the relations of the heaven, the earth and human beings, set up their own cognitive aesthetics system in the early years of human. They required the subject of literary and artistic creation to surpass the reality, obtain spiritual freedom, fasting, sit and forget, forget himself and other things, keep the mind clear and bright, grasp the innate character of nature. The perfect cognitive state of literary and artistic creation is that the great semblance is invisible, the great voice is no sound, the great wisdom appears stupid.

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# Characterization of Intellectuals in Short Stories of Nam Cao (Vietnam) and Lu Xun (China)

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Nam Cao and Lu Xun are among high-profile writers who gain wide appreciation. The movements of literary assert this over the latter half of recent century in our country. That reality persistently points us to an urgent need for researches on Nam Cao and Lu Xun. Tints of literary worldviews of Nam Cao and Lu Xun, though upon which numberless research works, both domestic and foreign, have provided multi-directional insights and exploration of artistic creativities, remain misevaluated. Bich Thu, the author of *Nam Cao, His Life and Legacies*, counted out 191 articles and books themed Nam Cao. They were edited by writers of Nam Cao's generation namely Nguyen Huy Tuong, Nguyen Dinh Thi, To Hoai and Nguyen Hong, and even distinguished scholars such as Ha Minh Duc, Phong Le and Nguyen Dang Manh, so on. Regarding Lu Xun, there is no denying the fact of his brilliant artistic ideology. Although Vietnamese readers have gained a late knowledge of him for just a half of century, his name is laid somewhere in the heart of our people, integrally and consistently. Vietnam's reader generations restlessly learn about and research on Lu Xun. A pioneering merit badge should be rewarded to the renowned literary critic Dang Thai Mai, for his introduction and translation of Lu Xun to Vietnamese readers since 1943. The most interesting coincidence of Nam Cao and Lu Xun is that their profiles are imbued with the characters in their compositions. Mentioning Lu Xun cannot help a reference to AQ, meanwhile the name of Nam Cao apparently recalls a Philistine Chi. AQ as well as Philistine Chi have become characters of the society's spiritual life and long live with the eternal brilliance of their two creators. That coincidence draws countless number of researchers. The "matching point", referring to the subject of farmers and intellectuals, between Nam Cao and Lu Xun's works has been explored to some certain extent. This elicitly invites us for deeper studies. The author of this article, in response to such invitation, delves into the subject with respect to characterization of intellectuals in Nam Cao and Lu Xun's short stories.

*Keywords:* Nam Cao, Lu Xun, intellectuals, characterization, short stories

## Introduction

The world of intellectuals in short stories of these writers are created in many "matching points". The two persons of letters generally told the life of an intellectual against the backdrop of a family, pub or boarding house. Nam Cao and Lu Xun normally took intellectuals as the main characters, or the protagonist of their stories. Intellectuals, holding the soul of a story, were linked to the events developed in the plot. Two realist

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writers investigated the mentality of characters through harsh challenges, in attempt to discover and analyze the personality of a society's class. Consequently, Nam Cao and Lu Xun's short stories had no hero or villain intellectual. Even *Hoang*, in a Nam Cao's 1948 composition *The Eyes*, was named a "reactionary" character but not a villain.

Lu Xun whereas characterized his works in purpose of "curing" people's spirit with inveterate illnesses, which were mentally resulted from long-established feudalism and persisted as a national contemporary tumour. His pen thus stayed alert to keep analyzing and dissecting. Society's diseases, attributed to human's defects, were emphasized and assigned to profound yet dramatic comprehensive meaning and philosophies. Characters of Nam Cao and Lu Xun's works, distinguished from each other in such aspects as above said, both evidenced the high level of characterization, not only comprehensive but also specific and of socio-historical subtlety.

The writers assigned those characters to their artistic perception and aesthetical ideology upon human. Therefore, the characters were stick to the composition's theme and confided with writers' ideologies and sentiments. Basing on the figural structure of characters, genres of protagonist in Nam Cao and Lu Xun's writings can be pointed out as follow: typical character; individualized character; ideological character. Thorough comprehension about the uniqueness of such characters plays an integral part of research on Nam Cao and Lu Xun's intellectual characterization.

### Typical Character

Typical is a general term referring to objects of the same type. "Typical character is the focal demonstration of social and moral virtues of a certain kind of human in a certain period. This character aims to generalize the category of personalities and hence is called typical" (Dang, 1985). Nam Cao met Lu Xun at this point. Two writers of two generations and two countries are matched on kindred subjects of teachers and writers, when it came to intellectuals. This "match" was coincidence and explainable. Both writers had intellectual background, teaching experience and one-time high profile of literary composition. Form of intellectuals, writer or teacher, in fact, constructs just the facade of their works. Only the internal structure primes us with the conscience that in Nam Cao's short stories, typical characters were of human figure.

Lu Xun's short stories were also told with obsolete intellectuals and new intellectuals being confused among life choices. Nam Cao characterized poor intellectuals of multiple backgrounds. *Dien (Bright Moon)* was a private school teacher who harboured literary aspiration but lost his job and relied on his wife upon school's dissolution. *Hai (Off Track)* was bound to poverty for another reason. He was a writer living with his wife and children. His weakness and pulmonary heart disease prevented him from working and confined him to an austerity with the theory of "moderation". *Ho (Redundant Life)* was agonized by the burdensome family with a depressed wife and young children, as he lagged behind the race for livelihood. In *Sweeping House Lesson*, a countryside writer's family gradually fell into difficulty, destitution and indigestion, eventually the situation of one-meal-per-day extreme poverty. The babysitter was dismissed. All white clothes were dyed brown against lack of soap. More heartbreakening images featured a five aged child holding her younger brother like a cat slovenly dragging a mouse and getting panicked for being beaten because of her inability to sweep the floor. Such stories are just among the evidences of our argument.

Pre-revolution (1945) poor intellectual was the focus of Nam Cao's composition. His intelligent knowledge about disadvantaged intellectual families in cities and countryside, especially his own experiences, enabled Nam Cao to select sharp features and build typical circumstances for his character to struggle in. *Hai* in

*Off Track*, though caught pulmonary heart disease, needed to eat for living. He once said “Soon death means yet to die. But if I didn’t teach, it will come to instant death, because no one can live without eating” (Nguyen, 2001, p. 87). He was thence “off track” to beg for doctor’s affirmation of health situation in order to continue his work. When meeting Thu, his old friend and being treated with alcohol and a night of *Tru* singing, Hai was “off track” again to enjoy all entertainment. After satisfied, he turned back to his theory of “moderation” to fit his conditions.

Nam Cao’s realistic style mingled with satire has created characters shuffling in adversities: pulmonary heart disease contract yet teaching; abstinence yet drinking and *Tru* singing. That contradiction triggered a laugh of bitterness and pity, and a consciousness of how diabolic the poverty was. It was wicked and at the same time mocking and ridiculing human, banishing them to a half-dying life amid a pauperized society. Poverty pushed intellectuals’ families to tearful life. Nam Cao selectively put the genuine stuffs of life into his works, in the right place and at the right time.

Nam Cao’s poor intellectual characters were structured more complexly. He carried out omni-directional discovery of their personality in seek of their nature. They respected dignity, which was though unfailingly threatened and trampled. They abundantly nurtured ambitions and dreams that were unreachable. They profusely nursed goodwill but behaved pessimistically sometimes. Such characters as Ho (Redundant Life), Hai (Off Track), the no name writers in *Laughing and Sweeping House Lesson* apparently revealed more diversified personalities and internal conflicts. They were passive before hardship yet self-conscious of their “unwanted living”. For that reason, Nam Cao’s poor intellectual protagonists were always mentally nagged and tormented. Even if the stuffy dark society with pincer jaws of colonists and feudalism gripped them in beggary, their conscience kept rising to struggle, in the least sense that they strived to maintain human’s virtues, the love between husband and wife and between dad and children. The resemblance and difference between Nam Cao and Lu Xun’s intellectual characterization have been proved in that way.

### Individualized Characters

Individualized character is a complicated type of character. As mentioned above, personality is deemed the primary object of literary comprehension. This “personality” term is assigned to a broad sense. However, not all literary character can reflect the structure of personality. Therefore, in a narrow sense, personality is described as an individualized person, an individual with outstanding personalities. An individualized character is carved from not only this and that social attributes which are countable, but also the inter-relations between such attributes, between attributes and the surroundings and situation.

An individualized character is normally imbued with internal conflicts, absurdities and transformations. The individualization is consequently self-developed and the character is not merely homogenous with itself. “On the other hand, building typical personalities which are both individualized and typified at the same time is a required standard of realism—as said by Engels” (Phuong, 1997, pp. 288-289).

This is in fact the forte of two mentioned realist writers, who pursued sturdily the exploration of human psyche. In *The Death of Muc*, Du was a young intellectual. Coming back from a long journey, his soul remained pure and emotional. He held a secret sadness for the death of an old black dog. He released his dream-teeming soul under the hometown moon and beautiful scenery. The figure of Du is similar to such young intellectuals as Dien (Bright Moon) and Ho (Redundant Life), etc., and one-time Nam Cao himself, whose

hearts were just above student-aged and overflowing with ambitions and aspirations. Du's long journey closely resembled Nam Cao's trip to Sai Gon.

Through such ventures, Nam Cao himself and his young intellectuals tasted the bitter failures at the threshold of life. Nam Cao had proved his intimate knowledge of intelligentsia, since he characterized them into life-like persons who bore souls, thoughts, torments and agonizing choices between good and bad, lofty and ignoble, optimistic and pessimistic, so on, in different situations. First of all, intellectuals in Nam Cao's short stories felt great fondness for literature and identified themselves in their painful work. Dien (Bright Moon) would rather earn five dongs for living by his pen than take a job which earned him hundreds of dong per month.

Meanwhile, Ho (Redundant Life) "ground himself down in passionate fondness for literature" (Dang, 2002b, p. 74). Nam Cao characters came under enormous strains, just like what happened in real life. Dien (Bright Moon) lost his teaching job because of school's winding up and had to rely on his wife in his hometown. Dien wrote, but "writing for those long years, Dien earned no money" (Nam Cao, 1997, p. 101). The poverty invited countless troubles and misfortunes: Dien's father left home. Dien's mother toiled away as a hired porter. His younger sister worked as house maid. Dien failed to afford his own family, not mention to giving his mother any help. "Dien's mind had been swarmed with trivial worries" and bound with money matter all the times. It is such exposure to penury that revealed the mentality and personality of characters.

Truly so, the family burden, especially an utilitarian and philistine life style of the wife, who heaped scolding on her children, evoked in Dien a thought that he was useless. Dien's sentiment for her was just compassion, a pity but not a love. That was why Dien once thought of running away. Run away to stay fresh in soul. Dien would do anything to earn his bread. Then he would calm down and write. Only runaway helped Dien to find "a graceful silhouette" that might give him a passionate love. The writer persisted in the last legs of his exploration into character's pessimistic feelings. He gave a veracious description of a coward man who wanted to flee family burden and discard his conscience to follow a selfish lifestyle in seek of a vain air castle love. Character's psyche was not a downstream movement. Nam Cao showed his subtle and profound understanding about human inner world. Dien witnessed his wife "fagging away all day", "his little daughter crying breathlessly" and "the elder daughter soiled with snotty nose mucous and saliva" whereas he himself was useless and could not lighten their burden (Dang, 1969).

Nam Cao's characters were dogged by tragedies, in both terms of situation and mentality. Ho became sullen, bad-tempered and went mad towards his wife, children and himself. That exhibited a rational psychological movement, in respect of the situation. Nam Cao's sharp pen delved into his characters' innermost feelings, and structured the figure of intellectuals with sequences of internal conflicts. Ho, as well as numberless other poor intellectuals, who were good hearted and talented yet ground down by money worry and could not get better off, had to let a lifetime unused. Ho, Dien (Bright Moon) and their heaps of contemporaries were conscious of their "redundant lives". The poverty-stricken intellectual in *Laughing* bore the same feelings with Ho. He feared of "being dead while living. A dull death of those quite truly living but using their living for nothing" (WANG, 2002). The sense of a redundant life was precisely the most tormenting feeling and most enormous mental tragedy for poor intellectuals under the pincers of colonists and feudalism before the August Revolution (1945). Lu Xun, the master of short stories, also mingled his individualized characters with the structure of typical characters. "The Outcry and Wandering", which were composed between 1918 and 1927, were evidences for this.

This period of time followed in the wake of China's failure in 1911 Revolution. The country was seething with a new wave of democratic revolution, which was lead by the communists and spearheaded the strongholds of feudalism and invading imperialists. New intellectuals found their historic role in receiving the new opportunities of age. But what would they do when facing life choices? The intelligentsia described in Lu Xun's stories meticulously reflected this social phenomenon through each character's personality. Fang xian in "Duanwu festival" was a kind of intellectual who satisfied with what he had. He avoided rubbing against mandarins since bourgeoisie compromised with the feudalists.

Working as a teacher, he so cringed himself with the theory of "the same", that students misunderstood of his career as a teacher concurrently amandarin. To be undisturbed, he dared to request for nothing. Even though people wronged him for being psycho, he just kept silent. Despite his over-half-year salary being unpaid, he kept silent. He kept silent in seek of peacefulness, but the livelihood burden never stop disturbing him. There were only two dishes in his daily meal. Thanks to the colleagues who rushed to the officials for the debt and got crushed head by the soldiers, he, without any effort, had his salary paid. The payment was like salt tossed into sea, compared to his debts. New Year comes, the poverty of his family had been pestering him to see the children did not really enjoy a happy life, so he always feels embarrassed, pathetic. That time was when Fang xian had no gut to mention his once theory of "the same". In fact, he harboured a discontent toward the government and was full of pent-up resentment to social injustice against his benefits.

### Conclusion

Summing up, with individualized characters, Nam Cao and Lu Xun had diversely and abundantly built their world of intelligentsia. Their matching point attributes to a very typical characterization of "redundant life". The circumstances where incurred a "redundant life", the greatest tragedy of intellectuals, were caused by a pauperized society which confined them to the poverty with no way out. Lu Xun gave "redundant life" personality another shade of characterization that was "self-satisfied" character, whose vicious circle symbolized the trend of quiet-seeking, solitude, day-dreaming and isolation among some intellectuals at that time.

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# Poor, Pitiful Monsters From Homer to Borges

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This article reviews famous monsters in Western literature that reveal a hidden humanity or affinity with the hero that elicits compassion or emphasizes their bestiality in surprising ways. Their monstrosity is often a distorted mirror image of the hero's humanity. Shakespeare's Caliban is a famous example of the affinity between monster and protagonist. Homer's Polyphemus, the first monster in Western tradition establishes certain traits that persist through later literature: lawless, barbarian, cannibal, and giant. Polyphemus hates men, but loves his old ram. Grendel, Grendel's mother, and the dragon in *Beowulf* are giants, lawless, cannibals. The dragon Beowulf dies fighting anticipates the identity between hero and monster that Borges makes explicit in Asterion, the Minotaur. Dante's Satan in the *Inferno* fails to leave later successors. In Borges's "The House of Asterion" the Minotaur is both monster and hero. Asterion's affinities with other protagonists in Borges' stories suggest that the monster in the labyrinth is not the Minotaur, but the concept of infinity.

*Keywords:* monsters, Homer, Beowulf, Borges

## Introduction

"...This thing of darkness I/ acknowledge mine" (Kittredge, 1939, p. 39; V. i. 275-276) Prospero, the magician playwright protagonist of Shakespeare's *The Tempest*, accepts his affinity with the monster, Caliban (perhaps a pun on "cannibal") and continues a long tradition in Western literature of monsters who reveal a hidden humanity or affinity with the hero that elicits compassion or emphasizes their bestiality (suggested by their cannibalism) in surprising ways. Their very monstrosity is a distorted mirror image of the hero's humanity: "You taught me language, and my profit on't/ Is, I know how to curse" (Kittredge, 1939, p. 19; I, ii, 363-364) Caliban retorts to Prospero. This article will review several of such monsters beginning with Homer's portrait of Polyphemous, the Cyclops, continuing with Grendel's mother and the dragon in *Beowulf*, and culminating with Jorge Luis Borges's Minotaur in "La Casa de Asterion".

## Homer's Polyphemus

A monster depends on the eye of the beholder. Homer's Polyphemus, the first monster in Western literature, establishes certain traits that persist throughout literature. Odysseus describes him as lawless, lacking the technologies that set civilized men apart, agriculture and the building of ships, a cannibal. His size, like a shaggy mountain, is monstrous in itself. Odysseus's attitude toward him resembles an imperialist's from a conquering people describing indigenous people, who neither recognize the rich resources of their land nor have the technology to exploit them, an attitude found in Shakespeare's portrayal of Caliban in *The Tempest*. The Cyclops lives up to Odysseus words, refusing to acknowledge Zeus and the gods, and observing the law of

hospitality, sacred to Zeus, by smashing the heads of Odysseus' men on the ground, killing them like puppies, and offering as his "guest gift" to Odysseus' skin of wine to eat Odysseus last of his men.

And yet Homer shows another side to Polyphemus's character which is more appealing. He may not like men, but he loves his old ram, the leader of the herd. As the blinded one-eyed monster runs his hands over the back of his sheep, searching for the escaping Greek warriors, Polyphemus seems to express a humane side hidden from his human victims:

Dear old ram, why last of the flock to quit the cave? In the good old days you'd never lag behind the rest—you with your long marching strides, first by far of the flock to graze the fresh young grasses ... but now you're last of all. And why? Sick at heart for your master's eye that coward gouged out with his wicked crew? ... Oh if only you thought like me, had words like me to tell me where that scoundrel is cringing from my rage! (Homer, 1996, p. 225)

The words of affection and empathy the Cyclops utters to the ram are rendered almost comical by the irony of his situation. Odysseus at that very moment is outwitting the Cyclops by clinging to the belly of the ram to escape from the cave. Polyphemus's words may also be Homer's way of emphasizing Polyphemus' bestial, subhuman nature.

### **Grendel, Grendel's Mother and the Dragon in *Beowulf***

Although the poet of *Beowulf* was unfamiliar with Homer, his description of the three monsters Beowulf encounters, Grendel, Grendel's mother, and the dragon that guards a burial chamber, shares the monstrosity of size and the disdain for the laws of men portrayed in the Cyclops. The *Beowulf* poet in his Christianization of the poem transforms the defeated pagan divinities into demons and traces their lineage to the outcast Cain, the first murderer and exile in Biblical history. Grendel and Grendel's mother too are cannibals. Yet their shapes are ambiguous, sometimes more human than animal. The aged warrior Hrothgar tells Beowulf:

I have heard landsmen, my people, hall-counselors, say this, that they have seen two such walkers in the wasteland holding to the moors, alien spirits. One of them, so far as they could clearly discern, was the likeness of a woman. The other wretched shape trod the tracks of exile in the form of a man, except that he was bigger than any other man. (*Beowulf*, 2000, p. 95)

Grendel is motivated to begin his attacks on the Geats by a certain longing and jealousy in his exclusion from God's created universe:

Then the fierce spirit painfully endured hardship for a time, he who dwelt in the darkness, for every day he heard loud mirth in the hall; there was the song of the scop. There he sang who could relate the beginning of men far back in time, said that the Almighty made earth, a bright field fair in the water that surrounds it, set up in triumph the lights of the sun and the moon to lighten land-dwellers, and adorned the surfaces of the earth with branches and leaves, created also life for each of the kinds that move and breathe. (*Beowulf*, 2000, p. 9)

Grendel's mother seeks revenge for the mortal wound Beowulf has inflicted on her son, tearing his arm off at the shoulder and exhibiting it in the rafters of the mead hall, Heorot. She carries back Grendel's arm to the eerie bottomless pond where she dwells. The dragon Beowulf dies fighting when he is an old king anticipates the identity between hero and monster we later encounter in Borges' Asterion, the Minotaur of Crete. The dragon is the guardian of gold buried in an ancient burial mound, which has been broken into by a thief who has stolen a goblet from the grave. The *Beowulf* poet has inserted an elegy into the narrative at this point, the Lay of the Last Survivor, the last words spoken by the man who had hidden the treasure before lying down to

die in the barrow. The dragon Beowulf dies slaying is not just a scaly flying serpent, but clearly associated with the vengeful soul of the warrior buried there, whose tomb has been looted. Beowulf himself will soon join the Last Survivor and perhaps be metamorphosed into a guardian dragon.

### Dante's Satan

Not all monsters persist through the history of literature like Polyphemus and Grendel. The central monster of Dante's *Inferno*, Satan, has never been able to compete with the popular image of the devil with horns, hooves, and a forked tail. Dante's Satan is a parody of the Trinity, frozen into a lake of ice of his own making, large as a windmill, with three faces, black, yellow, and red, weeping and chewing the bodies of the traitors of Christ and the Roman Empire. He is an ideological creation whose symbolic role detracts from his monstrous presence. Virgil and Dante mock Satan by climbing over his hairy buttocks to escape from the circles of Hell.

### Borges's Asterion

Jorge Luis Borges writes as if he conceived many of his stories as carrying on a dialogue with departed predecessors in the Western literary tradition, like Homer ("The Immortal"), Dante ("The Aleph"), and Cervantes ("Pierre Menard, Author of the Quixote"), as if they were his contemporaries sharing a continuous tradition. In "The House of Asterion" the Minotaur is both the monster and the hero, like many other protagonists in Borges' fiction. Asterion, the Minotaur, shares their role as dreamers of metaphysical speculation lost or trapped in a labyrinth of human fate, a literal labyrinth in the Minotaur's case. "A labyrinth is a structure compounded to confuse men; its architecture, rich in symmetries, is subordinated to that end" (Borges, 1962, p. 110), the protagonist of Borges' "The Immortal" writes. As for the magus in "The Circular Ruins," Asterion's labyrinth is a "minimum of visible world" (Borges, 1962, p. 46). Only in retrospect, after reading the story, does the reader realize that Asterion's house is the labyrinth, a labyrinth both inside the infinite universe and the infinite universe itself:

All the parts of the house are repeated many times, any place is another place. There is no one pool, courtyard, drinking trough, manger; the mangers, drinking troughs, courtyards, pools are fourteen (infinite) in number. The house is the same size as the world; or rather, it is the world... Everything is repeated many times, fourteen times, but two things seem to be only once: above, the intricate sun; below, Asterion. Perhaps I have created the stars and the sun and this enormous house, but I no longer remember. (Borges, 1962, p. 139)

Only in retrospect after reading the story, does the reader realize Asterion is the Minotaur. Contrary to received tradition, he is not a prisoner of the labyrinth. "It is true," Asterion tells us,

...that I never leave my house, but it is also true that its doors (whose number is infinite) are open day and night to men and to animals as well. Anyone may enter... Besides, one afternoon I did step into street; if I returned before night, I did so because of the fear that the faces of the common people inspired in me, faces as discolored and flat as the palm of one's hand. (Borges, 1962, p. 138)

Asterion combines in himself both human nature and bestial, and he aspires to embrace the divine nature he has inherited through his mother Pasiphae, who is the daughter of Helios, the sun. When he mentions his fear and revulsion of human faces, he speaks in his role as a bull. He aspires to divinity in his rejection of letters and writing:

...Like the philosopher, I think that nothing is communicable by the art of writing. Bothersome and trivial details have no place in my spirit, which is prepared for all that is vast and grand; I have never retained the difference between one

letter and another. A certain generous impatience has not permitted that I learn to read. Sometimes I deplore this, for the nights and days are long. (Borges, 1962, p. 139)

Asterion is a Minotaur with complex human feelings, arrogance, misanthropy, fear, loneliness. To distract himself he runs through the corridors until he falls dizzily to the floor. His favorite game is to pretend that there is another Asterion who comes to visit him, and Asterion shows him courteously through the intersections and courtyards. "Sometimes I make a mistake and the two of us laugh heartily" (Borges, 1962, p. 139), Asterion adds. He shows no remorse over the deaths of the nine sacrificial men from Athens, but rather speaks as if he is their redeemer or savior: "I hear their steps or their voices in the depths of the stone galleries and I run joyfully to find them. The ceremony lasts a few minutes. They fall one after another without my having to bloody my hands" (Borges, 1962, p. 140). One of them has prophesied at the moment of his death that someday Asterion's redeemer will come:

Since then my loneliness does not pain me, because I know my redeemer lives and he will finally rise above the dust. If my ear could capture all the sounds of the world, I should hear his steps. I hope he will take me to a place with fewer galleries and fewer doors. (Borges, 1962, p. 140)

Like many of Borges' stories, "The House of Asterion" is structured as a quest journey, but a quest that has been reduced to the final, crucial encounter of the protagonist and the monster, who share a single destiny, and reveal their shared identity only at the moment of the minotaur's death, when the names of Theseus and the minotaur are revealed for the first and last times: "'Would you believe it, Ariadne?' said Theseus. 'The Minotaur scarcely defended himself'" (Borges, 1962, p. 140).

### Conclusion

Why does Asterion long for a redeemer? From what does he need redemption? The magus in "The Circular Ruins" who dreams another man into existence only to discover that he too is being dreamed by someone else dreams of a circular amphitheater filled with potential candidates for the magician to dream into reality, or, as the dreamer, magus puts it, "to redeem one of them from his state of vain appearance and interpolate him into the world of reality" (Borges, 1962, p. 46). Asterion's affinities with other dreamers, detectives, and searchers in Borges' "The Circular Ruins", "The Immortal", and, particularly, "Death and the Compass" with its killing symmetries suggest that the monster in the labyrinth is not the Minotaur, but Borges' preoccupation with the concept of infinity and the use of infinite regress in his fictions to deplete his protagonists of identity and reality. The man dreamed by a man who is dreamed in turn by another is a perfect example of Borges' use of infinite regress as a structural and thematic principle. Infinity, Borges tells us in "Avatars of the Tortoise" is the "concept which corrupts and upsets all others" (Borges, 1962, p. 202). Absolute space, movement, chronological time, reality and appearance, all dissolve and disappear in the multiple mirrors of infinity, a monster that cannot be defeated.

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# On Chris's Unyielding Spirits Against Fate in *The Pursuit of Happyness*

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*The Pursuit of Happyness* has always been a well-received film ever since its release in 2006. This film mainly describes how a black American worms his way from the bottom of the society to success. This paper intends to make a detailed description of the life experience of the main character, including his life obstacles and fighting. It also expounds on the image of the main character. Moreover, through the analysis of the reasons why Chris, an average American with his unyielding spirits, succeeds in seizing his happiness through sorrow and pain in life, the practical significance with regard to individual and social development is put into the limelight.

**Keywords:** unyielding spirit, happiness, fighting against fate, individual and social development

## Introduction

This film *The Pursuit of Happyness* is directed by Gabriele Muccino. It is adapted from a famous American black investment expert Chris Gardner's autobiography, which is published in 2006. It is a true story of the great millionaire Chris Gardner, who started his business from scratch. The film is set in a special period of America, a time when the whole Americans were mired in the Great Depression, due to which workers were beset with unemployment and poor people were suffering from a poor living standard. More particularly, it is also a society whose social hierarchy is cruel and clear. People in America were faced with serious plight, impoverished by long-time unemployment, bankruptcy and poverty. They were all in great desire to shake off the abject poverty. Therefore, Americans began to fight against the crisis with great force to seek their own ways and this great force they show during the crisis becomes a symbol of American humanity. Especially during recent years, the American Dream has already become a popular theme, which has deeply imprinted on every American's heart. With the progress of the era, people assign the item a new meaning: a dream for personal development. American people, with this kind of dream, choose to challenge their fate with unyielding spirits to pursue their final happiness on their own.

In this film, the main character Chris Gardner paints a blueprint when he gets married and makes a great deal of investments on the scanner. After more than ten years' hard work, he gains no return, which drives all his family members, especially his wife, crazy. For many times, he is defeated by the crucial reality driven by the merciless depression, however, he keeps moving ahead with his personal unyielding spirits. Having encroached on the upper ladder from nearly the lowest social level, Chris finally reaps lucrative rewards.

The analysis of this film not only shows us the unyielding spirits people need to have when fighting against life crisis, but also improves people's understanding on American Dream. In a narrower sense, this

paper aims to tap the unyielding inner spirits of man, including persistence, optimism, and permanent belief. In a broader sense, this paper intends to explain American Dream which is successfully reflected by a small character. And finally, it gives some inspirations to Chinese about how to materialize Chinese dream.

### Image of the Main Character

Feature analysis always presents people a distinctive and vivid image of the main character and provides convincing reasons for the main character's final destination. In this film, Chris Gardener is an inspirational figure who creates his own wonder in an ordinary American society, outstripping most people at his age. It may easily dawn on people the reason why such an insignificant person can stand out in the society of a mess.

Persistence is always a basic element for man's success. Chris is a person who never gives in in front of many obstacles. First, his unwise investment in the scanners drains his financial pools. Second, the financial problem drives his wife crazy and thus intensifies the fissure between them. Third, his wife intends to take away his son, who means everything for him. Fourth, the scanner is stolen for many times, which nearly puts him to death. Fifth, he gains an opportunity of training for six months in a brokerage with no salary, while the only life resource he possesses would be the six scanners, which are also hard to sell. Therefore, in front of him there lies a serious choice which may influence his future. Sixth, the government confiscates his assets, which drags his life to the hell. To make a living, he has to join the long queue waiting for a shabby shelter in a church and even to sell his blood to fix his broken scanner. His life seems to be filled with low ebbs. However, what on earth is the way he finally achieved the little part of his life called "happiness"? Persistence can account for this question.

Like a roller coaster, life can never be smooth all the time. Therefore, keeping an optimistic attitude toward the surroundings is of great importance for us. Chris is an optimistic man, who never surrenders in front of misfortunes or lets the negative emotions defeat him. Optimism finally brings luck to his life. A conversation between Chris and Mr. Thistle demonstrates the importance of being optimistic: "How are you doing?" "I am doing well, how are you getting along?" "Good, good, I am good." Optimism brings him only a tiny hope to his life, but it functions as an effective driver for his success. In an age of economic crisis, desperation spreads everywhere. A flash of pessimism in people's mind may force them to give way to the crucial reality. Chris holds his optimism tightly so as to prevent himself from being trapped in the crisis.

Life calls for belief, which equals to the mental cure of a man in struggle and the source of his unyielding spirits. Belief is an indispensable part of American people's life. In 1776, Thomas Jefferson drafted *The Declaration of Independence*, which consists of three core beliefs: everyone is born to be equal; everyone has the right to pursue happiness; government should protect people's happiness and right, or people can overthrow it (Jefferson, 1776). It is these three beliefs that embolden all Americans to stand up and fight for their own bright future. Chris Gardener, edified by *The Declaration of Independence*, chooses to pursue his own happiness through his fighting against fate. He sticks to belief, which is always deeply rooted in the heart of every American. Moreover, his beliefs are testified by his action.

A man should be wise enough in his social interaction and working. Firstly, a wise man may know how to bring his superiority to the full play and avoid his weakness. At the beginning of the film, Chris asks a stockbroker how to be someone like him, "To be good with numbers and good with people". That is his motto and direction of starting a business. The luckiest thing is that Chris is exactly that kind of man. He shows witty remarks in front of his employers; he performs his talent of playing magic cube to attract employers; he shows

his generosity to help his potential employers despite having almost no money in his wallet; he exhausts his wit and energy to stand out in the internship... All of these flesh up a man with wisdom both in interacting with others and during his internship. Most importantly, Chris is a man who knows what he is going to be and through which way he is bound to success. That is his biggest wisdom.

People are born with duty. Chris in this film is a man who holds strong responsibility both for his son and for the whole family. He wants to make the ends meet to live up to the promise he makes for his wife when they got married; he wants to make up for his son and to give him everything that a father can give; he wants to shake off poverty and to bring vigor to the whole family; he wants to realize his social value as an American... All these he does is for one purpose—to make a better life for his family. He is a man worthy of being admired, for he is both a good father and a good husband, the pillar of the whole family.

### **Obstacles and Fighting**

This paper explores the obstacles and fighting of Chris and analyses the motivations for his fighting. Life is hard for Chris, in front of whom there stand many obstacles. Before he gets married, he lives a wretched life. His father abandons him when he is a little boy (Gardner, 2010). Therefore, memory about paternal love in his whole childhood is very dim. After getting married, Chris Gardener becomes a salesman who sells a special kind of medical instrument which is called bone density scanner. To support his family, he has to sell at least two bone density scanners to pay his house rent and his son's day care. This goal, small as it is, is still hard for him to reach because he can't even afford a formal nursery school. Therefore, both his wife and he must work laboriously to make ends meet. He even needs to pick up his kid every day because of his wife's tight schedule. However, diligent as Chris is, he still finds it difficult for him to sell the instrument. His wife at last chooses to leave him, for she can no longer endure the endless torture and hopeless future. Consequently, Chris has to raise his son alone and faces this crucial reality independently. Misfortune never comes singly. Every time he stands up and prepares to make some change, life always drags him back to his original state. After his wife's leaving, he encounters failure from his work and losses his house; he fights with a man to get a free bed for his son in the church; he sells blood to maintain life demands, and he runs hurriedly from the police station to the interview office of the Stock Exchange to get a job order... These are unimaginable obstacles he experiences during his life crisis.

When facing obstacles, a successful man may undoubtedly choose to fight against them. Fighting against fate is an irresistible part of people's life. Chris never gives up when confronted with life difficulties. He is persistent, so he never ceases his step towards the bright future. When he fails to raise his family, he spares no time to sell his machine. When his wife leaves him, he bears the pressure from family and work. He asks his son to stay with him and decides to take a new business as an intern with no salary. When he loses his house and the government confiscates his assets, he renews his vigor and gets rid of the cheating from life. All these fighting he makes in this crisis can ascribe to his life motivation. Generally speaking, behind the fighting behavior there always stand some motivations, pulling people to step further. These motivations can be classified into two types: inner motivation and outside motivation. The first kind of motivation is an inner one. Many people doubt why Chris Gardener makes a decisive choice when facing such a big life challenge. As a matter of fact, he holds a strong belief in mind. Liberty, equality and the pursuit of happiness are three essences of American life. Inspired by these three beliefs proposed in *The Declaration of Independence*, Chris learns to adapt himself to his life crisis. When he encounters failure, or even goes bankruptcy, those words written on

*The Declaration of Independence* stand out in his mind—a call about freedom, equality and pursuit. In this film, a sentence in a church reads that “The important thing about that freedom train is that it is got to climb mountains, we all have to deal with mountains... Lord, do not let that mountain leave, give the strength to climb it...”. Besides, with his persistence, optimism and strong desire toward happiness, he is spurred to fight for his bright future. These motivations are the most natural elements to make him a real fighter against fate. Chris is at that time in the ebb of his life, and he sits in the church, listening to the song of god and reflecting his sorrows and expectations. We know that after that day in church, Chris's life begins to show a turning point. Therefore, Chris becomes a man with strong inner power. The next comes to outside motivation, which includes two aspects. Firstly, Chris Gardner's life is always beset with difficulties. Despite this, he still holds responsibility to his life. His responsibility for his family, especially to his beloved son is the prime power of his fighting (YANG, 2012). Being abandoned by his father in an early age, Chris is easy to be found that he is lacking in parental love. Therefore, he chooses to give all his love to his son to make sure little Gardner lives a happy life. From this film, it is obvious that in addition to those material devotions, Chris also attaches great importance to his son's moral development. He wants his son to know that accepting education is more important than playing basketball, but at the same time he didn't force him to give up playing it. For Chris, his son's development is more important than anything. However, he knows that he must provide a basis for his son's further development. At least, he must get a job to support his son. Therefore, he determines to fight and spares no effort to get rid of his predicament. Another outside motivation is the American middle-level organization: stock trade company and the church. As Tamara says, because of the influence of industrialization, many social functions of family are shifted to other social organizations. In this film, despite race, gender and age, the stock company advocates equality, which refers to the equal opportunity of pursuing happiness and dream (LIU & HUANG, 2014). It is this equal opportunity that sparks hope to Chris Gardner, a black man who comes from the lowest social ladder. Besides, the church also affords free accommodation for Chris, making him free from basic needs. In addition to the material support, the church in this film also provides mental support for Chris. Furthermore, in American society, the government provides free service for those people in need. That is why Chris can get a free place to sleep when he goes bankruptcy. These help many people out of desperation, and also instill people with motivation to pull themselves together again.

From the above, a general understanding of the key to Chris's success becomes available. This paper prefers to put more emphasis on Chris's personal efforts, because it is his inner wealth and under no circumstance can other people change it.

### **Significance of Individual and Social Development Drawn From Chris's Unyielding Spirits**

This film is a typical motivational one, with the great investment expert Chris Gardner as its main character. Therefore, it stimulates every ordinary man in real life to achieve their individual development. Besides, reflections about social development can also be presented to Chinese.

As for individual development, Chris Gardner says in his autobiography: “I had got through many sufferings, darkness and fear in my first twenty years, but I never give up” (Gardner, 2010). When happiness comes close to people, many of them may easily miss the chance to catch it. For those weak people, they tend to be afraid of failure, while for those people with strong determination, they choose to fight against fate and pursue their dreams. Chris is a lucky guy. He is adept at dealing with things like numbers and social interaction, and he knows how to arrange his own life. Most importantly, he is always responsible for his life. *The Pursuit*

of *Happyness* is not only just a film, but a true story which happens on a real man, and gives people enlightenment on how to tackle problems with unyielding spirits when they are in dilemma. In such a society with fierce competition, people's pressure increases with the rapid development of society. Therefore, learning to adapt to the social pressure is a big test for people, especially for those from the low social ladder. From this film, people can get the knowledge of how to survive the difficulty and become successful. First of all, people should hold dream tightly and keep going on. Chance never comes back for the second time to your life, and the only thing you can do is to seize it tightly once you meet it. Secondly, people need to be optimistic. It is an all-known fact that a depressive attitude always brings negative emotions. You are in fact a loser if you choose to surrender in front of negative emotions. At last, you should equip yourself with solid social skills, which will become your potential assets of becoming a winner. These elements can surely be conducive to individual development. Individual development may make people conjure up three essences of American Dream: "independent motivation, free choice and self-fulfillment". Thus, American people think that every man, with his own determination, can create a bright future from a lower part to the top of his life. A classic American Dream can be explained as a happy, prosperous way of life, achievable to anyone in the United States who works hard. As an important part of American social value system, the American Dream is a popular item among people. James Truslow Adams first used the word "American Dream" in his book *The Epic of America* which was written in 1931 (Truslow, 1931). Since its founding in 1776, America has presented itself as an empire of liberty and prosperity. Since then, the true meaning of American Dream varies from time to time. Despite this, "desire and pursuit" and "equality and freedom" are always indispensable parts of American Dream. Chris had once corrected the word written on the wall of his son's kid garden: There is no "Y" in happyness, it is an "I" (YAN & HU, 2008). This is an implication that people should not complain about their wretched life when coming across difficulties, they need to make their own efforts to pursue their happiness.

Apart from individual development, American Dream and its social value present people another angle to appreciate the film. When people talk about American Dream, they always have a common mode to realize it (YANG, 2012). In order to realize the dream, people need to give highlight to the four features related to American Dream so as to get some reflections for the Chinese dream. Firstly, the main character is always an ordinary people. The soul of American Dream endows every citizen with equal opportunity. Every man has his own right to pursue dream, and the society attaches great importance to individualism. Chris is undoubtedly to be an insignificant part of American society. When he falls into the hell of life, he thinks of Thomas Jefferson's *The Declaration of Independence*, in which there are descriptions about the right to live, to get freedom and happiness. And it is from this declaration that he finally finds the truth of American Dream: Happiness will never come close to you unless you yourself value the opportunity to create your own wonder. The second feature of American Dream is self-fulfillment. American's behavior orientation is deeply influenced by Christianity. In the 1620s, the puritans established their colony on the land of America by taking the boat of Mayflower (YANG, 2012). They believed in the accumulation of wealth and respect the spirit of independence. In the film, the proverb which is told by Chris shows Puritanism: God helps those who help themselves. Thirdly, the main character has his potential of realizing his dream. For example, Chris is goal-oriented, good with numbers and good with people, and also, he is optimistic. All these are Chris's advantages, which become an instrument for his success. The last feature of American Dream is that it always ends up with a happy ending. Chris Gardener's life may be filled with twists and turns, but through his own fighting, he gets his final success. That is a typical example of the fulfillment of American Dream. These features do give us enlightenment when

we are dealing with things in China. Since American Dream is the essence of America, the grasp of its features can enlighten Chinese people about how to fight against their life and be independent to settle life problems. The truth is that in China, fierce competition shows its appearance everywhere. In addition to the policy support from the government and the social welfare, people also need to have a belief that they can finally pursue success by counting on themselves when dealing with difficulties. Most importantly, they need to have unyielding spirits against fate even if they are in the deepest part of darkness. China's prosperity has strongly proved that Chinese, who have an incomparable courage and spirit, can finally shake off poverty and become prosperous.

### Conclusion

*The Pursuit of Happyness* is not just an emotionally stimulating film. It is also a thought-provoking one. This paper gives reflections to both Chinese individuals and the whole society. Individuals need to have a deep reflection on the film's background, the main character's personality charm, his secrets of success as well as the practical significance of his unyielding spirits. The society, including the government and the social welfare, should support everyone so as to make a more stable and harmonious living environment.

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# “Big Sissy”: The Queer Construction of Lance Loud

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The continued popularity of reality television, and the release of the recent HBO film *Cinema Verite*—about the production of the first “reality show,” *An American Family* (1973)—has resulted in renewed interest in the series and tangentially its other distinction—its portrayal of the first openly gay character on prime time television. Lance, the oldest of the Loud family children, is on film both flamboyant and effusive, but at the same time—through judicious editing—an asexual creature with no romantic or sexual relationships. This paper considers Lance in the context of Gay representation in media of the 1970s, and then explores the struggle of the filmmakers—and the Loud family themselves—to control and contain the public perception of Lance. The often vague and allusive comments by Lance’s parents and even Lance himself suggest a character that is at once charming, witty, and vibrantly alive, yet also pretentious and deceitful. The final argument is that these complicit efforts to avoid controversy actually engender it, turning Lance Loud into a figure of mystery and conjecture ... and the undisputed star of the series.

*Keywords:* *Cinema Verite*, *An American Family*, Lance Loud, Gay

## Introduction

While in mainstream contemporary society—as evidenced by the continuing struggle over same-sex marriage—homosexuality remains a “hot button issue,” in popular media it is no longer a taboo subject. Since the early 2000s LGBTQ characters and their lifestyles are prevalently portrayed as “normal” and their storylines are integrated into those of “accepting” heterosexual characters. They are free to openly show affection and sexual desire in even the most conservative of prime time television, such as ABC’s popular “family” sitcom *Modern Family* (2009-Present), and as a result there is rarely the need to self-identify as “gay.” However, even as late as the 1980s, homosexuals remained “closeted” in both reality and the media. As no sexual behaviors were tolerated (i.e. sexual activity, lingering looks or touches), a homosexual was identified by what were determined be “effeminate”—or “sissy”—mannerisms alone. “Queers” wore bright and colorful clothing. They had lilting voices and hips (i.e. being “light in the loafers”). They used words like “cute” and “precious.” They liked Joan Crawford movies and show tunes. In other words the exhibition of the slightest conventionally female behavior alone identified a man as a “fag”. However from the perspective of 2016, the criteria have changed. Effeminate behavior is no longer an indicator of sexual identity. This study deals with looking at a television character from 1973 through the lens of 2016. Taking the “sissy” behaviors out of the equation, can a character who does not engage in any homosexual behaviors be interpreted as being “homosexual”?

### ***An American Family—The First Reality Show***

The continued popularity of reality television, and the release of the HBO film *Cinema Verite* (2011)—about the production of the first “reality show,” *An American Family* (1973)—has resulted in renewed interest in the series and tangentially its other distinction—its portrayal of the first openly gay character on prime time television. Lance, the oldest of the Loud family children, is on film both flamboyant and effusive, but at the same time—through judicious editing—an asexual creature with no romantic or sexual relationships.

*An American Family* debuted as a much-anticipated twelve-part series on public television from January through March of 1973. Focusing on the seven-member William Loud family of Santa Barbara, California, the series attempted to illuminate the day-to-day struggles of a “typical” American family over seven months of filming in 1971. Over the course of the series we witnessed a mother coming to terms with her son’s openly homosexual lifestyle, a father nearly losing his business, and the family splitting up due to divorce.

And the series was a hit. *An American Family* earned unprecedented ratings for public television—with estimated ten million viewers for each episode (Ruoff, 2002, p. xi). The Nielson rating for one evening’s broadcast in Boston claimed 74% of all TV audiences were tuned into *An American Family* (*Vedio Verite*, 2011).

But after the first episode was shown, the reviews came in ... The January 22, 1973 issue of *Newsweek* featured the Louds on the cover, and referred to the series as “a genuine American tragedy, a glimpse into the pit” (1973, pp. 48-49). Abigail McCarthy in the *Atlantic* wrote “What was thought of as a symbol of unity, is, in *An American Family*” a symbol of disintegration and purposelessness in American life (1973, p. 73). Roger Rosenblatt of *The New Republic*, added, “Once a week we all sit down to watch an organization of human beings deliberately set out to psychologically murder each other” (1974, p. 21).

### **The Attack on Lance Loud**

In the face of this critical onslaught, the Louds rushed to defend themselves. “I think they have dealt badly with our honor and trust,” claimed Pat Loud, while husband Bill added, “if they filmed twenty-five normal scenes and five bizarre scenes a day, they picked the five bizarre scenes and only one of the normal ones for the finished piece” (Time, 1973 February, p. 51). And the latter seemed to be in reference to the scenes involving Lance.

Advance advertisements teased at Lance’s sexuality and his difference from the rest of his family:

He lives in the Chelsea Hotel on Manhattan’s lower West Side. And lives a lifestyle that might shock a lot of people back home in California.

He dyed his hair silver and his clothes purple. As a personal expression of ... something ... something he wasn’t fully aware of at the time. (Ruoff, 1996, p. 275)

Critics quickly took the bait and declared that Lance was Gay. On January 15, four days after the debut, *Newsweek* announced: “Even for a disintegrating family, however, the Louds depart from the norm in at least one respect: the eldest son, Lance, is a homosexual” (1973 May, p. 68). On Jan. 22, *Time* added, “Since no soap opera is complete without anguish, the Loud family has its troubles... eldest son Lance has migrated to New York to join the gay community” (p. 36). More specifically, on Feb. 26 *Time* observed: “The children are all different. Lance, for example, looks and acts effeminate” (p. 51).

This latter observation points out an interesting issue—and the focus of this paper—which is that Lance seems to be “guilty” of being gay by virtue of his effeminate behavior alone. While, as Sara Sanborn observed, Lance is “running through every theatrical gesture in the stereotyped homosexual repertoire” (1973, p. 79), he is *never* seen touching, *talking to*, or even *discussing* another man in a sexual—or even romantic—context. And *no one*, including Lance, ever even uses the words “homosexual” or “gay.” Lance is somehow determined to be homosexual by being effeminate alone as he is not acting in any way *sexual*—a being historically referred to as a “sissy.”

### **Homosexuality in the Media**

In classical Hollywood cinema, according to historian Vito Russo, homosexual men were rendered safely and sexlessly effeminate—emerging the “Sissy.” The opening line of his landmark 1987 work on the portrayal of queer images in film, *The Celluloid Closet: Homosexuality in the Movies*, announces:

Nobody likes a sissy … there is something about a man who acts like a woman that people find fundamentally distasteful… After all it is supposed to be an insult to call a man effeminate, for it means he is like a woman and therefore not as valuable as a “real” man. The popular definition of gayness is rooted in sexism. Weakness in men rather than strength in women has consistently been seen as the connection between sex role behavior and deviant sexuality… Although at first there was no equation between sissyhood and actual homosexuality, the danger of gayness as the consequence of such behavior lurked always in the background. (1987, p. 4)

Russo contends that by the late 1960s the increasing emphasis on social issues such as free love and abortion also pushed homosexuality into the forefront. Edward Alwood, in his *Straight News: Gays, Lesbians, and the News Media*, asserts that American television audiences received their first major exposure to the gay lifestyle in 1967, with the airing of the CBS Reports documentary “*The Homosexuals*,” which included interviews with a variety of homosexual men who were shown alternately on an analyst’s couch or ashamedly hiding their faces and commenting about their “sickness” (as cited in Kylo-Hart, 2000). In summing up the documentary, correspondent Mike Wallace concluded that:

The average homosexual, if there be such, is promiscuous. He is not interested in or capable of a lasting relationship like that of a heterosexual marriage. His sex life—his “love life”—consists of chance encounters at the clubs and bars he inhabits, and even on the streets of the city. The pickup—the one-night stand—these are characteristic of the homosexual relationship. (Wallace, 1967)

In his article “Representing Gay Men on American Television,” Patrick Kylo-Hart concludes, “With those words…gay men remained primarily as objects of ridicule for several years, until the impact of the gay liberation movement increased the visibility of gay men in various social positions nationwide and produced increased levels of social tolerance” (Kylo-Hart, 2000). Referencing the media studies of Alwood, Kylo-Hart adds

…during this stage stereotypes of gay men—as well as derogatory terms such as “homo,” “fag,” “fairy,” and “pansy”—soon became commonly encountered on U.S. television and no effort was made to change this perception as television producers of the time quite consciously avoided including anything in their programs that appeared to condone homosexuality, for fear of alienating both advertisers and viewers. (2000)

Alwood points out that NBC’s *Rowan and Martin’s Laugh-In* was the first network television show to approach the subject of gay men and their lifestyles with some regularity. In 1970 they introduced the stereotypically effeminate character named “Bruce,” who was subjected to long strings of antigay jokes; within

a few years, the show was averaging one joke per program about gay men and gay liberation (as cited in Kylo-Hart, 2000).

### Not the All-American Boy

It is at this juncture that *An American Family*’s Lance Loud enters the fray. Beyond determining that Lance was gay, the critical discourse vacillated between ridicule and abuse. In an article in *Esquire*—published after the end of the series—columnist Merle Miller observes:

...Lance, the bright one, the wittiest of the louds, the eldest son ... has set Gay Liberation back by a generation...Lance is annoying, undulating his hips, experimenting with this and that lipstick, admiring his collection of scarves and his own image in the mirror, wheedling, camping, begging. Hardly what we’ve brought up to think is the All-American boy. (1973, p. 239)

Roger Rosenblatt, in the *New Republic* described Lance as a “clownish and miserable character” (1974, p. 23).<sup>1</sup> Things took a determinedly mean-spirited and homophobic turn in Ann Roiphe’s *The New York Times Sunday Magazine* piece on the show in which she called Lance “a flamboyant leech-like homosexual” who is “camping and queening about like a pathetic court jester, a Goya-esque emotional dwarf” (1973, p. 8).

Of these criticisms, Pat Loud commented in her 1974 biography, the most difficult for her to understand was the idea that “Lance is a mutation—not human—not connected to life in the U.S” (Loud & Johnson, 1974, p. 298).

At the other end of the spectrum were friends and family who asserted the opposite—that Lance was *not* gay.

As late as the 2012 publication of *Lance Out Loud*, a tribute book published by Pat a decade after Lance’s death. Lance’s friend Christopher Makos claimed:

The last thing that Lance was not was “Gay” in the stereotypical sense. He was way too intuitive, way too self-aware to allow himself to be Gay. But unfortunately ... he was type-cast as the poster child for Gay, something I wouldn’t wish on anybody, let alone Lance. (2012, p. 9)

Most striking, was Pat’s assertion that Lance was a sexually active homosexual but *not* homosexual? “The thing is ... is that I’m not convinced he’s homosexual. He’s had lots of homosexual experiences, all right. But he’s not finished” (Loud & Johnson, 1974, p. 97). Lance asserted the same idea in a 1974 *Newsweek* follow-up a year after the series end:

“The series pounded all my sex life out of me,” says Lance, who now wonders about the psychological wisdom of allowing himself to be revealed as a homosexual before a nationwide TV audience. “Besides, what if I was to change?” asks Lance, who points out that he no longer wears lipstick. (p. 16)

### Camping It up

If Lance was not “gay” in the traditional, stereotypical sense—in what sense was he “gay?”

The queer construction of Lance Loud begins in the way he is portrayed in the first episode of the series.

<sup>1</sup> Lance himself observed, “It’s a caricature ... I’m shown as a swish-on” (Time, 1973 Jan., p. 36). As a result he received many letters in the mail, “I got three Bibles from different religious factions; of course, they just burst into flames the second I opened the pages. And I got a lot of letters from gay guys, gay suburban kids, who thanked me for being a voice of outrage in a bland fucking normal middle-class world” (Ruoff, 1996, p. 289). In a 1991 article he wrote for *The Advocate*, Lance would later assert that the series “transformed me from a nobody to a homo Eddie Haskell in what seemed like sixty seconds” (Out, n.d.).

Shot on December 31, 1971—actually the last day of filming—a newly-divorced Pat Loud and her teenage children are preparing for a New Year's Eve party when Lance calls from New York. Unseen, he is manifest only as a disembodied sing-songy voice at one of the phone line who seems too-quickly dismissed by his siblings who pass the phone to each other until he finds himself talking to his mother, whom he calls “cutie” and then obliquely speaks of his “unusual” lifestyle. While in actuality this was the last day of seven months of filming—and presumably finds the family more used to cameras and being filmed—Lance is *still* being vague. What is so *unusual* about his lifestyle? Again, his vocal mannerisms and dialogue suggest—in the context of the aforementioned stereotypes prevalent at the time—Lance was a “sissy”—but was he actually a *homosexual*?

Producer Craig Gilbert opens the sequence in voice-over by explaining that Lance had arrived in New York seven months earlier with hopes of getting a job with an underground magazine. Episode 2 accordingly flashes back to May when we see Lance “hanging out” in his room at the Chelsea Hotel with a man named “Soren” as they wait for Pat, who is coming to spend the week with Lance. Soren proves to be a thin older man who is implied to be Lance’s roommate. Throughout this episode—the only one in which we experience Soren—he remains physically apart from Lance and there is never any touching and even less looking at each other ... and no exchange of even verbal intimacies. Nothing in the way they act towards each other suggests *any* kind of intimacy.

Having not met Lance prior to this—the first day of filming—cameraman Alan Raymond didn’t know what to expect, “We were told by [producing station] WNET that [Lance] was ‘a little different.’ When we actually arrived to shoot, his roommate seemed like he was part of a couple. It was eminently clear early on” (A. Raymond & S. Raymond, 2002, p. 60).

In his “Reflections on *An American Family*—Part I,” written in 1988 producer Craig Gilbert would later recall:

At this meeting it became clear for the first time that Lance was a homosexual and was not in the slightest way ashamed of the fact. One of the more idiotic charges leveled against *American Family* was that, through some strange alchemy, the process of shooting the series induced Lance to reveal his hitherto hidden sexual preference to the American public. This is pure nonsense. Lance was homosexual before the shooting, during the shooting, and after the shooting. The fact that we didn’t find out about it until we did neither excited nor depressed me”. (1988a, p. 195)

However, he told *Newsweek* after the show’s premiere that “I knew then, that here was a read-made point of tension” (1973 Jan., p. 68).

Upon her arrival at the Chelsea Hotel in Manhattan, Lance escorts his mother to the room he’s arranged for her. En route he introduces her to another hotel denizen, the transgender actress (and Warhol film star with her then recent success in Warhol’s *Trash*) Holly Woodlawn. Lance then explains to his mother that he’s secured them tickets for that evening to attend transvestite writer/director/star Jackie Curtis’ controversial production of *Vain Victory* at the “off-off Broadway” LaMama theatre.

While we see a few bits of the show from their vantage point in the audience, we deduce that it seems to be some sort of drag show. Afterwards, as Lance, Soren and Pat talk in a café, Pat tells a delighted Lance that the show made her “uncomfortable and embarrassed ... and didn’t have much of a plot.” Pat would later recall, “We go to a drag show—and the one run on the film was about fifty times cleaner than the one we *really* saw—which had the intended effect of shocking mom to her shoelaces...” And, she adds “for the first time I knew what was going on with Lance in New York” (Loud & Johnson, 1974, pp. 96-97). As Pat does not elaborate, the question is what she *did* and *did not* know about Lance’s life in New York. As Lance had made

reference to Soren in prior phone calls, presumably Pat knew about him but did not know they were a couple? Or was the issue the simply the shows and other entertainments and people Lance was involved with? The producer’s choice to film and show a different version of the drag show, suggests their shock, resulting in an attempt to edit Lance’s lifestyle for television.

According to Pat, this experience, and the pressure of the first day of being filmed, resulted in her remaining “sphinx faced” throughout the trip (Loud & Johnson, 1974, p. 96). During the ensuing week, as Lance escorts his mother around New York he wears an array of attention grabbing outfits. Colored scarves and gaudy Hawaiian shirts were Lance’s signature look … often worn together in contrasting combinations. Throughout the experience, Lance acts as flamboyant in his gestures and movements as his mother remains restrained with the same. Pat would later explain, “My son is camping it up. What the hell am I supposed to say? Or do?” (Loud & Johnson, 1974, p. 97). However, again, while this could suggest an effeminate or “sissy” character, nothing here suggests a sexually active/transgressive character.

In her book and in interviews, Pat Loud would later explain,

… it’s not a cover-up. His attitude is ‘here I am the way I am.’ And he means it … frankly, I’m proud of Lance, of his candor, his daring spirit and his frontal assault on life… Lance did the best and he came off the best. No secrets, no crap. Here I am take me as I am or get lost. (Loud & Johnson, 1974, pp. 99-100, 109)

Yet Pat—contradicting herself—also admitted “Lance camps it up and acts like a drag queen and turns himself inside out trying to shock people, and the mail pours in” (Loud & Johnson, 1974, p. 16).

Critics also seemed to feel, Lance was indeed “performing.” In the *Newsweek* cover story, “The Divorce of the Year,” the writers observe:

Lance, of course, has always been the family’s problem child and semi-stardom seems only to have aggravated the situation. Lance claims that he is distressed by his publicity; he bitterly describes himself as “Homo of the Year”. Yet he continues to play that part in the most outrageous manner, right down to the roots of his dyed red hair. “I’ll be anything anybody wants me to be,” he explains. (1973 Mar., p. 49)

Historian Jeffrey Ruoff observes:

Unlike the more naturalistic performances of his siblings and parents, Lance acts like a character from an Andy Warhol movie loose in a film by Frederick Wiseman. A fan of Warhol’s work, Lance turns in one of the great camp performances in the history of television. (Ruoff, 1988, pp. 298-299)

Lance corroborated this observation in 1996 when he admitted

I was so influenced by him [Andy Warhol], in the idea of being outrageous…When the cameras were on me I was really thinking, you know, *Chelsea Girls* and *Bike Boy* and stuff like that when they were filming… I felt like I was in *Chelsea Girls II*, the sequel.<sup>2</sup>

So Lance was consciously *creating* a performance. When, after the series premiere, Lance was asked why he agreed to the project, he enthusiastically explained “Doesn’t everyone want to star in his own TV series?” (Newsweek, 1973 Jan., p. 68). “The series was the fulfillment of the middle-class dream that you can become famous for being just what you are. This is actually the greatest thing I’ve done to date” (Woods, 1973, p. 23).

Years later, candidly, and somewhat bitterly Lance admitted,

<sup>2</sup> See from <http://www.pbs.org/lanceloud/lance/warhol.html>.

...you had to live up to the demands of being filmed. So yeah, we acted. And I was stupid enough to imagine that the way I acted—mischievous and a sprite—was unique. I didn't know I was just a big fag. (New York Times, 1999)

However, explanations past and present aside, there is still nothing seen or heard in *An American Family* that suggests that Lance *actually* is a homosexual...

On the last day of her visit to New York, as Pat and Lance wait for the cab that will take her to the airport, Pat tells Lance,

"...this is really as good a place for you as I can think of—this is the sort of thing you've been interested in all your life and you might as well have a good look at it while you're here." Did Pat think Lance was just "looking" at it? And her words seemed to suggest that Lance would get "this sort of thing" out of his system, and come home. Could Lance ever "come home" again to Santa Barbara?

Just as we are never *certain* of Lance's sexual orientation, onscreen Pat seems to react the same way. Again, Lance had mentioned Soren in prior phone conversations, but it was unclear as to whether Soren was simply Lance's roommate or his lover. When she walks into the hotel room and finds them together, she does not question the situation. Throughout her visit, beyond her discomfort over the drag show, we do not observe *any* kind of upset. Perhaps she does *know*, but is simply in denial? Or perhaps she is extremely upset but refuses to acknowledge or question Lance's behavior *on camera*. Pat's stony "sphinx faced" expression—as she described it—throughout is impossible to decipher.

Did Pat know Lance was gay? Did the rest of the family know?

### Coming out

In reality, Lance had come out to his family three years prior to the filming. In A 1991 article entitled "Coming Out: It Separates the Men from the Boys," Lance explains,

The trick is how to spring it on the world. Scrawling "I'm gay" in lipstick on your parents' bedroom mirror may demonstrate a personal signature of the highest style, but is not particularly sensitive to their feelings. Upon hearing me utter those words almost twenty years ago, my own mother did what any self-respecting middle-class mom would do: went directly into a seizure. Unfortunately, she was behind the wheel of our family station wagon. As I was coming out of the closet, our car was hurtling over an embankment. The moment was terrifying—but exactly right. (Loud, 1991)

Jeffrey Ruoff observes in his article "Can a Documentary Be Made out of Real Life? The Reception of *An American Family*" that

...reviewers typically stated that Lance "came out" during the filming, attributing Lance's sexuality to narrative progression and, again, the influence of the camera. Lance, however made clear in statements to the press that he was gay before, during, and after *An American Family*. He mentioned on WLS-TV's *Kennedy and Co.*, "The sexual preference has always been there. When I went thru puberty, I wanted to have sex with boys". (Petersen, 1973, p. 1; Ruoff, 1996, p. 284)

According to Lance's friend Kristian, Lance had been actively involved in homosexual behavior long before coming out to his friends, or even Kristian himself, who explained,

Lance was far more sexually advanced than I, and many were the times when I was told to "Wait in the car for a minute, okay?" while I wondered outside a variety of public restrooms, from Cabrillo Boulevard to Del Playa Drive, "Really, how can peeing take so long?" He also tells of Lance's "dating an art history professor from UCSB" whom Lance talked into providing Kristian his first homosexual experience. (Hoffman, 2012, pp. 16-17)

While Lance never talks about coming out to the rest of his family, Merle Miller observed,

But is that the point, really? Isn’t the point that he is their son and that they must accept him and love him? That’s the way they appear to feel, and that is what they do. When the family appeared on *The Dick Cavett Show*, Kevin said, “We don’t say “Homo.”... That’s what the newspapers say. We don’t say it. (Miller, 1973, p. 240)<sup>3</sup>

As Jeff Ruoff sums it up, “Lance Loud did not come out on American TV; American television came out of the closet through *An American Family*” (2002, p. 127).

The question—never addressed by either the Lounds or the filmmakers—is why the Lounds never told the filmmakers of Lance’s sexual orientation? Craig Gilbert recalled,

In my original talks with Bill and Pat in Santa Barbara it had been agreed that whatever happened would happen, whatever came up in the course of the filming should not be considered a good thing or a bad thing but simply another thing that occurred in their daily lives. (Reflections II, p. 95)

However, one would logically presume that even if the family was accepting of his lifestyle, they might fear the possibly exploitative way in which he would be portrayed on film for the world to see, and the results that might negatively affect their son.

Again, in the March, 1973 *Newsweek* cover story the writers assert:

When Pat isn’t publicly defending her son as “a person who is willing to dare,” she admits that Lance is the real tragedy of *An American Family*. “We are very concerned with him. Lance has suffered psychic damage from all of this,” laments his mother. “The headlines have pushed him into a corner, and now he’s determined to show people just how bad he is. I laugh at a lot of the things Lance does when I should really cry.” (1973 Mar., p. 49)<sup>4</sup>

If Pat knew that Lance was openly Gay, and knew that he would not shy away from portraying it as openly as possible—why didn’t she reconsider the project, or at the very least consult with the filmmakers as to how they would portray her son on national television?

In her autobiography, she recalls that Craig Gilbert asked her about this and she told him:

I believe in teaching kids responsibility for their own actions. He’s been wanting to come here [New York] for a long, long, time. Lance is...well, gotten himself into a pretty weird scene. I can’t keep bailing him out. I encourage him to stick it out so he can see I’m *not* going to swoop in and carry him back to the sterile and safe family hearth. I want him to grow up and that’s a job he’s got to do on his own. (Loud & Johnson, 1974, p. 99)

So protective Pat was administering a little “tough love” on national television?

However, in Episode 3, upon returning home from her New York visit, Pat has lunch bill and explains, “after the shock I don’t think I would have had such a good time anywhere else.” She adds that “Lance is so wonderful ...he really does have some spark of life that I’ve never seen in anybody ... he’d walk down the street and sing and dance and just so much love and so funny to talk to...” (Gilbert, 1973). Since Pat was “shocked,” by the extremity of Lance’s lifestyle, wouldn’t she express this to her husband and discuss whether or not they should intervene, or allow Lance to continue to explore “this scene?” Again, her behavior begs questions as to whether Pat is truly “okay” with her son’s behavior, or in denial about it, or simply refusing to show that upset for the cameras.

<sup>3</sup> Lance’s father was less shocked and surprisingly accepting. In a 1978 interview, Lance asserts, “He wasn’t upset. When I told him, he said, ‘Sexuality is one finger in the hands of 10.’ He said, ‘It doesn’t really matter as long as you’re happy’” (Musto, 2011).

<sup>4</sup> In the *Newsweek* cover story, “The Divorce of the Year”, they observe: Lance, of course, has always been the family’s problem child and semi-stardom seems only to have aggravated the situation. Lance claims that he is distressed by his publicity; he bitterly describes himself as “Homo of the Year”. Yet he continues to play that part in the most outrageous manner, right down to the roots of his dyed red hair. “I’ll be anything anybody wants me to be,” he explains (1973 Mar., p. 49).

### A Non-sexual “Sissy”

However again, this was all “behind the scenes” as it were—on camera Lance was still portrayed as “sissy” but not sexual.

Episode 4 finds Lance no longer living with Soren and preparing to go to Europe to tour with a theatrical troupe. At one point we see Lance talking to a female friend. Though it is implied that he is talking *to* her, his speech comes across as more stream of consciousness rambling about his desires to become independent. He also alludes to his “relationships”:

... I like living alone more than I like living with people except [his friend] Kristian. I get along with [him] because even though we can do things together he can let me flow and I can let him flow...but I feel these involved relationships...I screw them up very easily ...I wish I was Peter Pan. (Gilbert, 1973)

While Lance has heretofore said nothing about any romantic/sexual relationships, his description of the “involved relationships” he tends to “screw up,” is likened to his relationship with Soren. While Lance believes Soren will be following him to Europe “which will just be hell,” at the same time he smiles coyly and adds “I mean it will be *heaven* and hell.” Lance’s tone and facial expressions as he delivers this line are also allusive. Perhaps the “heaven” refers to having access to Soren’s money and so stability, but the hell refers to having to be dependent upon him. However, these expressions could also suggest that Soren comes with money *and* a physical/sexual intimacy, but again with strings attached.<sup>5</sup>

Episode 11 finds Lance coming back to Santa Barbara after his sojourns in New York and Copenhagen. And after months of filming he seems to be fully uninhibited in front of the camera. He arrives at the airport wearing a black fedora, pink scarf, and multiple bracelets as he dances around the counter waiting for his flight. Once home he takes out all of his colorful Hawaiian shirts and begins putting on black lipstick.

### The Kindness of Strangers

Lance’s arrival home begs the question—what will he do now?

In Episode 12, the last of the series, Pat confronts Lance about the issue and that she is tired of waiting for him to *do* something beyond making demands on other people. He quickly and matter-of-factly answers that there is “no use in being tired”, and that

...sooner or later those demands are going to be blocked off ... and sooner or later I’m gonna be drowned in the rest of the people who have never done anything that are real sheer bores ... if I were you I’d enjoy me for while I’m going to last ... because honey I’m not gonna last forever ... I know what I’m doomed for ... at least I can laugh before I get into it... (Gilbert, 1973)

As with all of his communications, this one is equally vague. What *is* Lance talking about? What is he “doomed” for? Being “kept” by a series of wealthy lovers? Or is he alluding to possible suicide? When Pat balks at his nihilistic attitude, for perhaps the first time he seems totally honest:

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<sup>5</sup> This is followed by the slip that “there are so many people I want to get involved in”, and then repeated reference to someone named “Barry” whom he apparently met during the European trip. Years later Kristian will admit that in Copenhagen, “we arrived under the vague tutelage of Lance’s then boyfriend, Barry Bryant ... who planned so conceptual act of ‘art’ ... an act which didn’t seem to happen, and we didn’t care...” (Hoffman, 2012, p. 20).

... I just—I don't know, I don't care... I really can't see how other people exist other than my way of life—just living off people ... because I really can't do anything ... because really I can't understand people—I can't understand people that have drive ... I don't understand people who go places ... I can't understand people that feel the need to go to college ... I can't understand people who feel real.

While Pat emerges more frustrated than ever, Lance seems oddly at peace ... he's seemingly reconciled himself into accepting this “disability” ... and to forever be dependent upon “the kindness of strangers.”

### **The Legacy of Lance Loud**

So finally—*who* and *what* is Lance Loud? And what is his legacy?

In a 1973 editorial in the *Chicago Tribune* entitled “There goes the Case for Gay Liberation,” Jack Mabley complained that Lance’s outrageous behavior gave homosexuality a bad name (Mabley, 1973, p. 4). However, writing in *Esquire* in November 1987, Frank Rich singled out Lance’s television appearance as one of the defining images of a period Rich referred to as “The Gay Decade” (as cited in Ruoff, 1996, p. 289).

When all is said and done, on screen Lance Loud remains an enigma—the victim of a variety of agendas all struggling to construct and contain him. While in reality he was a sexually active gay man ... on screen he emerges a stereotypical “asexual” sissy. He lives with various men but does not look at them ... does not touch them ... does not *love* them?

On film he seems queer by virtue of stereotypical indicators of voice and body—a “swish on” in his own estimation. His mother knows he is gay but does not believe he *is* gay. The rest of his family know he is gay but do not use the word “homosexual.” They do not use any words—they don’t talk about “it.” He has friends who know he is gay but assert that he is not gay in the “traditional sense.”

In Lance’s viewpoint *An American Family* is not about family. After all, for the most part his siblings each “edit” their behavior to avoid being a focus of the filmmakers’ attention. His father strains for attention, and requests to be filmed, but emerges as little more than a marginalized Willy Loman character. Fearing too much scrutiny, even Lance’s “co-star,” his mother Pat, struggles to avoid the camera—the eye of half-truth (as she describes it)—though she cannot escape her featured role as the wronged wife and sturdy matriarch. Lance, however, is ready for his close-up. He is making his debut in his own Warholian drama.

Yet while he is ready, the filmmakers are not. After the Faustian pact of honesty had been struck with the family the producer learns that they have an openly gay son. It’s a point of tension. Its 1973 and while Lance’s teasing sissy persona might be a ratings hit, the hint of possible sexual behavior might also cause public television to yank the show for fear that supporters will withdraw their sponsorship. So they don’t seem to know what to do with him—not show him, or show him doing *normal* (i.e. “boring”) things such as walking to a movie theater, shaving, and riding his bicycle which by virtue of being mundane suggest his “normalcy.”

In reality in 1973, being “openly gay” *meant* being “openly sissy” as sexuality could not be shown on television. And even if a reality show version of *Queer as Folk* had existed in 1973, the portrayal of actual homosexual sex might involve a partner who would emerge more interesting than Lance. So he became the sissy character who throws out witticisms, and wears loud shirts, scarves, and makeup ... who talks incessantly and yet vaguely, at times poetically but also incoherently as the lack of coherence might give him even *more* attention. Lance seems to quite literally be dancing as fast as he can—taking advantage of his idol Warhol’s assertion that everyone will have their 15 minutes of fame.

Lance is a "natural"—meaning unnatural. Lance is active—moving, swishing, dancing, gesticulating wildly—he is consistently breaking the forth wall and almost grabbing the camera. Lance is cinematic. He is not *hiding* his homosexuality—he just uses it to tease and tantalize—parlaying the "difference" that has become his stock in trade to simply draw attention. So finally—is Lance a "sissy" and a homosexual? Was he "playing" one or the other? In the final analysis, Lance is a homosexual man who seems to be masquerading as a Sissy, not because his homosexuality alone might be too shocking but because it might not be shocking enough.

### Conclusion

In retrospect, Lance Loud was an anomaly. In 1971, he was an openly Gay man carrying on an active sex life. He is given the opportunity to play "himself" in the first reality show, about the life of his broken family. And while the filmmakers admit to no efforts to edit Lance's behavior, Lance seems to "edit" himself. While he might have taken the opportunity to shatter negative stereotypes by showing the world what his life is like as a Gay man—the intimacy and tenderness of a romantic or even sexual relationship—instead he doggedly adheres to the "sissy" stereotype. But as outrageous and over the top his behavior, paradoxically, he is also "playing it safe" by "giving the audience what they want." From the perspective of 2016 "Lance Loud" is not homosexual, because he is *not* sexual ... nothing is said or done to indicate a sexual preference at all. In the end, the flamboyant homosexual of 1971, emerges the closeted Gay man of 2016.

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# A Study of English Film Title Translation —From the Perspective of Adaptation Theory

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As the exchange between Chinese and Western cultures gets increasingly frequent, the English films have already become an indispensable kind of cultural “product” in Chinese people’s lives. In the pursuit of box office today, a good English film title translation can not only attract more attention, but also become an important standard to judge a film’s value. However, the translation of English film title has not got enough attention at home or abroad, and good translations of English film titles are few and far between. Based on requirements of English film title translation, this paper discusses problems in English film title translation, into which this paper applies adaptation theory to solving existing problems.

*Keywords:* adaptation theory, English film title, culture, Chinese translation

## Introduction

With the continuous development of international cultural exchanges, an increasing number of English films are introduced into China, causing a growing demand of translations of English films. Film, as an important cultural medium, is increasingly drawing worldwide attention, acting as a window to catch a glimpse of foreign culture. Film title translation is not only a form of artistic expression, reflecting the filmmaker’s artistic creativity, but also helps improve aesthetic ability among the audience. Meanwhile, it also has a pragmatic commercial value, playing a vital role in the promotion of films.

However, in English film title translation, due to a lack of cultural background knowledge, only a few good renderings are produced. Most English film title translations are mistranslations. Therefore, those bad translations make audience have difficulty in understanding films and fail to attract them to watch films.

This paper aims to improve the quality of English film title translation and maximize the commercial value of English films. Based on adaptation theory, this paper takes culture into consideration to help the translations of English film titles get more acceptable by Chinese audience and help translators and translation learners better understand differences between Chinese and English languages.

## An Overview of Adaptation Theory

Adaptation Theory is a linguistic theory, proposed by a Belgian linguist, Jef Verschueren. In his view, language use is a process of language function; or rather language user continues to vary their language means as communicative situation varies, to achieve the communicative goal.

According to Verschueren, language use is a process of making choices “Using language must consist of

the continuous making of linguistic choices, consciously or unconsciously, for language-internal (i.e. structural) and/or language-external reasons" (Verschueren, 2000, p. 55). Jef Verschueren proposes a pragmatic perspective on language use and assumes language use to be continuous linguistic choice-makings with different degrees of salience for the purpose of adaptation. Adaptation Theory has some following characteristics.

(1) Choice-making. Verschueren views the process of using language as making choices. He points out "whether for language-internal (i.e. structural) and/or language-external reasons, using language must consist of the continuous linguistic choices, consciously or unconsciously". At any level of linguistic areas these choices can be made, whether it is phonetic, phonological, morphological, lexical, syntactic, or semantic level. Just like all verbal communication activities, translation involves continuous choice-making (SONG, 2004, p. 20).

(2) Three properties of language. Language has three inter-related properties, namely, variability, negotiability and adaptability. These three inter-related properties of language explain why human beings can make choices in the process of language use. Among them, adaptability is at the core of language use. Variability is "the property of language which defines the range of possibilities from which choices can be made" (Verschueren, 2000, p. 59). Language selection range keeps changing, that is, some old expression may rarely be employed or no longer be employed again, but at the same time, new expressions keep coming into being. Negotiability is "the property of language responsible for the fact that choices are not made mechanically or according to strict rules or fixed form-function relationships, but rather on the basis of highly flexible principles and strategies" (Verschueren, 2000, p. 59). Adaptability is the property of language which enables human beings to make negotiable linguistic choices from a variable range of possibilities in such a way as to approach points of satisfaction for communicative needs (Verschueren, 2000, p. 69).

(3) Four angles of investigation. Contextual correlates of adaptability, structural objects of adaptability, dynamics of adaptability, and salience of the adaptation process are known as four angles. Firstly, Verschueren explains that contextual correlates of adaptability potentially include all the ingredients of the communicative context, with which linguistic choices have to be inter-adaptable (Verschueren, 2000, p. 66). The range goes from aspects of the physical surroundings (e.g. distance as an influence on loudness of voice) to social relationships between speakers and hearers, and aspects of the interlocutors' state of mind. Therefore, linguistic adaptation could be examined from four interrelated angles for a better pragmatic description and explanation. Secondly, Verschueren states that since the making of communicative choices takes place at all possible levels of linguistic structure that involve variability of any kind, pragmatic phenomena can be related to any layer or level of structure, from sound feature and phoneme to discourse and beyond, or to any type inter-level relationship (Verschueren, 2000, p. 66). Thus structural objects of adaptability not only refer to "structures", but also involve principles of "structuring". Thirdly, according to Verschueren, dynamics of adaptability is the key angle in the adaptation theory. That is, "the ways in which communication principles and strategies are used in the making and negotiating of choices of production and interpretation" (Verschueren, 2000, p. 66). Fourthly, salience of the adaptation process refers to the status of process of meaning generation in relation to the cognitive apparatus. Verschueren explains "not all choices, whether in production or interpretation, are made equally consciously or purposefully" (Verschueren, 2000, p. 66). These four angles are in perfect agreement with the linguistic, social, cultural and cognitive elements involved in the dynamic process of language use.

## Requirements of English Film Title Translation

### Requirement of True Reflection of English Film Content

The basic function of English film title is to summarize English film content. The information about English films with which the audience first come into contact is their titles. It can also be regarded as the synopsis of the whole English film. For those translators who adopt the character name or the name of the place where the story is set, it is easy to meet this requirement, such as the Chinese translations of English films *The Hunger Games* into 饥饿游戏, *Ant-Man* into 蚁人, *Batman vs. Superman: Dawn of Justice* into 蝙蝠侠大战超人: 正义黎明 etc. This kind of Chinese translation can immediately convey the main information to the audience and arouse the audience's curiosity and attention.

However, as far as other English films titles are concerned, to reflect the content of the English film means that in the process of translation of the English film title, based on the full understanding of the English film, the translator should change the original English film title slightly, or even abandon the original one and substitute it for another. Otherwise, the mechanical translation of the original will make the audience feel baffled. For example, the English film *Inception* is translated into 盗梦空间 instead of 开始, *The Revenant* is translated into 荒野猎人 rather than 亡魂, *Big Hero 6* translated into 超能陆战队 rather than 六个大英雄 etc. Compared with the former version known as mechanical translation, the latter adds the main plot and better summarizes the main contents of English film.

### Requirement of Brevity and Sonority

The intended addressee of English film is the general public. This feature determines that the language of English film titles should be easy to understand and orally catchy, since the audiences are from all walks of life, different ages, different occupations, and different education backgrounds. Popular language is usually adopted in English film title translation, for it is easy to be understood. Moreover, vivid and attractive language is the best tool to entertain the audience with a sense of beauty. Linguistically speaking, noun phrases, gerunds as well as diverse rhetorical devices are usually employed by the majority of English film titles, however, verbs or verb phrases are less often used. In the meantime, some decorative words such as adjectives are frequently applied to make the English film title more dramatic and intriguing.

### Requirement of Reflecting Culture

Cultural elements are considered to be one of the most difficult translation tasks. There are so many ways to reflect the cultural connotation, such as cultural legendary, idioms, and so on. for example, the “First Blood” is an idiom, meaning wining the first battle, but it has been translated into 第一滴血. The film *A Space Odyssey* contains cultural background, where *Odyssey* means a dangerous journey. If the film is directly transliterated into “奥德赛”, it will make non-English learners feel confused.

## Problems in English Film Title Translation

### Mechanical Translation

Mechanical translation only preserves language form of source language, losing the exact meaning of the source language. Different from mechanical translation, literal translation preserves language form of the source language, conveys the exact meaning of the source language and becomes acceptable by target language users. Mechanical translation and literal translation both preserve language of source language, but mechanical translation cannot express the exact meaning of source language. For example, *Hobson's Choice*, an English

film, won the Golden Bear at the 4th Berlin International Film Festival in 1954. It was translated mechanically into 霍布森的选择 in Mainland and Taiwan but it was translated freely into 女大不中留 (an apparently free choice that offers no real alternative) in Hong Kong. The first translated version is just mechanical translation of the original English film title. However, it conveys the wrong meaning to Chinese audience for there is no real free choice in the film. Actually, according to American Heritage Dictionary, “Hobson’s Choice” means “an apparently free choice that offers no real alternative”. Therefore, the free version 女大不中留 (an apparently free choice that offers no real alternative) represents source culture in a better way and manifests well the cultural connotation of this idiom and made itself comprehensible to the Chinese audience.

### Cultural Misunderstanding

Language is the product of society and culture. For the same object like animal, color or occupation, people from different cultures may have different cultural understanding. For example, “dragon” is a derogatory term in the West. We can see from the example of Satan in *Bible* where the greatest evil, Satan, once presented himself as a dragon with seven heads, devouring new-born children viciously. Since then, the dragon has become a symbol of evil. Many literature works use dragon as the biggest villain, the biggest rival of knights who are generally regarded as heroes in westerners’ minds. It is the frequently-used happy ending that knights kill the cruel dragon to save princess’s life. While in ancient Chinese legend, “dragon” is a commendatory term, auspicious mascot to bring rainfall and drive away evils. Chinese adore and worship dragon and they are proud of calling themselves as descendants of dragon (龙的传人). Dragon also represents royalty. Chinese emperors have their clothes embroidered with dragon to show their dignity, while common people are forbidden to use dragon as their symbol. It is the different cultures that cause different connotative meanings of the same object. Therefore, the English film *Dragon Heart* is preferably translated into 魔龙传奇 than literally translated into 龙之心 because the dragon in the English film is brutal, ruthless and claims a large number of souls. However, the dragon in Chinese culture stands for royalty, power and auspicious omen. The version of 龙之心 will mislead Chinese audience to deem the dragon as a positive character.

## Strategies of English Film Title Translation Based on Adaptation Theory

### Adaptation to Speech Sounds

Verschueren explains that language use is a process of the continuous linguistic choices. This view holds true for translation, because in essence translation is an actual practice of language use. Put it more straightforwardly, translation is a process involving continuous choice-making. According to SONG, choice-making occurs during the whole translation process and he also maintains choice-making involves not only the choice of the text to be translated, the adoption of translation strategy, but also the choice of meaning potentials when analyzing the text (SONG, 2004). In the translation of English film titles, translators can use alliteration, assonance and palindrome to make English film titles orally catchy and melodious to ears. Some devices also are of great help in the expression of the emotion meaning and the enhancement of the beauty of music. For example, the Chinese translation of American film *Speed* into 生死时速, every word has a sound of S as the initial consonant, greatly adapting to the phonologically aesthetic feeling and artistic appeal.

Balanced structure is orally catchy, for example, *Mission: Impossible* is translated into 碟中碟, *The Sting* is translated into 编中编, *Charade* is translated into 迷中迷, as well as *Dumb Dumber* is translated into 阿呆与阿瓜. The above examples of translation not only adapt to speech sounds, but adapt to the aesthetic mind of

Chinese audience. They are clever, succinct, fully demonstrating the Chinese culture and artistic charm. Moreover, by adapting to speech sounds, we can successfully bridge the distance between the English films and audience. Therefore, the audience is attracted unconsciously and the commercial value of English film is increased.

### **Adaptation to Four-Character Idioms**

Chinese language culture with extensive and profound history is the accumulation of long-term social and cultural life of Chinese nation. Four-character idioms have been considered as the essence of the Chinese language and culture. According to Fang Mengzhi, four-character idioms are terse and symmetry in structure, deep and thought-provoking in meaning and powerful in emotion expression. If four-character idioms are used properly in English film translation, they will not only convey the English film information, but also can fully adapt to the Chinese audience's aesthetic minds. There are too many examples, just name a few, the Chinese translations of *The Untouchables* into 铁面无私, *The Thomas Crown Affair* into 天罗地网, *How Green Was My Valley* into 青山翠谷, *Dance With Wolves* into 与狼共舞, *Frozen* into 冰雪奇缘. They all adapt to four-character idioms.

In some cases, there are many cultural elements in English film titles which are completely strange to Chinese audiences and pose a challenge to their understanding. These English cultural elements usually include religious connotation, idioms or slang and may lead to misunderstanding or confusion of Chinese audiences. In Chinese translation of such English film titles, creation is needed. Creation sometimes is needed in the Chinese translation of English film titles. In this way, we can adapt English film titles to the cultural mind of Chinese audiences by using four-character idioms. There are a few examples, like the Chinese translations of *The Wizard Of Oz* into 绿野仙踪, *Blood And Sand* into 碧血黄沙.

### **Adaptation to Poetry**

Chinese people prefer to be aesthetically reserved which can be found full expression in the classical Chinese literature. After an analysis of a large number of English film title translations, it is easy to see that many English film title translations are profoundly influenced by poetry, which adapts to the Chinese traditional literary work. There is an excellent example to illustrate this point, the English film *Blossom In The Dust* is translated into 落花飘零. “落花飘零” comes from the Li Qingzhao's famous poem, “flowers from wandering water gravity, a kind of acacia, two place idle sorrow, has a parting thoughts and acacia flowers fall to the ground (花自飘零水自流, 一种相思, 两处闲愁)”. This translation applies the melancholic expression “落花飘零” into the English film title translation, presenting a image of one sad mother lamenting her dead child. The connotation of the film and classical poetry are perfectly combined together, making the film harmonious in content and creating poetic image beauty. It is a wonderful example of adapting to classical Chinese poetry.

### **Adaptation to Culture**

Chinese audiences are doing a kind of cross-cultural communication when they watch English films. English film plays an important part in such communication. XU discusses the importance of cross-cultural adaptation in cross-cultural and he suggests that the communication between different countries should adapt to cultures. Translation serves as a bridge between different cultures (2004, p. 362).

Many English idioms are derived from legendary stories or *Bible*. It is the same case with some English film titles. For example, an old film named *Salt of the Earth*, is about the life and struggle of American workers

in the 1940s. The mechanical translation of “地球的盐” may misdirect the audiences to regard this film as a technological film, thus the cultural connotation is lost. Based on the understanding of this English idiom, this title should be translated into “社会中坚” in Chinese. “Salt of the earth” is from the *New Testament*. Salt has been precious and important since ancient times. Jesus compares his disciples as “salt of the earth” to show his high praise. And now, in English, “salt of the earth” is an idiom referring to elites in the society. Therefore, “社会中坚” can better express the hidden meaning of the idiom, which means the backbone of society. More importantly, “社会中坚” can correctly convey the right information about the film. If the translator is not familiar with the cultural background, he can hardly get the exact information properly translated. In terms of the English film title translation, it is of much importance to have a good understanding of cultural background.

### Conclusion

This paper has discussed the application of the adaptation theory to the translation of English film titles. Due to the cross-cultural differences between Chinese and English, the absolute equivalence does not exist. Therefore, translators should bear translation requirements of English film titles in mind and produce more appropriate Chinese translations of English film titles based on adaptation theory.

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# Thought Provokers, Insurgent Before Emergency

## —Technological Art as Awareness-Raising Agent of the Emancipated Spectator

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This paper analyzes the impact of technological art as an agent for raising awareness in artwork spectators of ecological-environmental issues. It addresses the evolution in the conception of the artistic fact related to science, and attempts to define the spectator's new role. The present document will look into the science, art and technology triad as a means to communicate issues our planet is facing through scientific dissemination focusing on the bio-art avenue for collaboration. Finally, we will outline our concept of art as a revolutionary and thoughtful form poured through our works as artistic collective expressions.

*Keywords:* bio-art, science, technology, interactive installations, interactive design, education, digital art, creativity

### Introduction: The Evolution and Revolution of Art

In the last decades of the twentieth century, artists initiated a search for new methodologies, new languages and new materials in order to find the answers to the one question that human beings have been making since ancient times: what is their relation to nature?

Throughout the 1960s, artwork started to be developed as of elements in nature. This was indeed the beginning of the so-called Land Art, using the natural environment as support for the works.

Its purpose is mainly to influence space in nature without causing any damage, yet providing it with meaning as an aesthetic fact.

Unlike other artistic trends, Land Art lacks all sort of explicit manifests. It is therefore possible to find as many exponents and examples of Land Art as particular relations established between artists and nature itself there may be. Being contemporary to our time, it is difficult to set well-differentiated boundaries in terms of other types of art or of artistic genre, thus obtaining many interventions close to performances, body art or action art—also known as life art.

However, it is still possible to trace a guiding principle among all artists when contemplating nature and the physical plane as a process or artistic fact, discarding the notion of art as mimesis or as a romantic ideal.

Most of the artistic production rendered in the second half of the twentieth century owes its existence to the guidelines set forth by Marcel Duchamp (1887-1968) and his *ready-made*, which opened up the field of

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what had been so far considered art.

On placing objects of daily use in a new context, he made traditional precepts within the world of art, such as beauty—idealized since ancient times—or the value ascribed to the “hand-made” category, shake.

The new meaning ascribed to these objects—in which not only an aesthetic value is found, but also a system of symbols emerges through a message that calls out for “some additional point to make”—, will all be inception matters for the development of many currents that will surface in the future. Among these stand Pop-Art, where popular images become cultural or counter-cultural icons; Poor or Impoverished Art, which uses waste objects as main materials to cast new light and counterweight traditional culture, considered inalienable and closed to the exploration of new revolutionary perspectives.

These expressions come to life, too, as part of the tradition of artists that learn about and document their environments. Climate change, alterations in soil and in the level of waters, the extinction of flora and fauna species in different locations of our planet due to the predatory behavior of men, all call for the necessary and urgent emergence of a type of art that may attempt to send out a warning message and to raise awareness—a new and unexplored concept, since natural resources were once thought to be unlimited and inexhaustible. Both land art and impoverished art find in real life the perfect matter for artwork, casting aside previously established ideas such as the eternal nature of art, and giving birth to works that may be ephemeral, leaving behind only traces that are foreign to the artwork itself, as is the case of photography or video recording. This conceptual process presents us with the implications of art vis-à-vis life in its natural environment, as we have seen.

A simple answer to this issue—yet a difficult one to implement—area radical change of mind and a new approach to address environmental decline. This may well begin through a human expression that may assimilate predation, yet using the existing and disposable material to send out an emergency alert that may reach active recipients, capable of incorporating small yet meaningful modifications into their daily lives—reutilization, recycling, technological waste control, saving on the use of paper and all forms of responsible consumption—in order to halt environmental destruction. Land art and impoverished art make it possible to infer that in addition to it being an aesthetic and cultural fact, life is art.

The arrival of technological art raises awareness of the environmental situation from a different perspective and understanding of the world *per se*. Pollution, relentless logging of native forests, the invasion of natural environments without any type of control by the states, these are all recurrent themes in paintings, sculptures, photographs, videos, facilities and interventions. Numerous works by technological or multimedia artists show concern over the state of the planet and put forth an invitation to reflect upon the attitudes of mankind. In the same fashion, many of these works also bring forward a set of competencies to offer positive alternatives for environmental preservation.

This sort of intertwining between art, culture and nature through creative paths is another way of exerting perseverance on our efforts to improve the human relation with ecosystems across the planet.

### **Bio-art as a Cell Transcending From Micro to Universal**

As of the scientific discoveries of the past century, the way we perceive, interpret and understand reality is still undergoing an historic alteration.

Science, technology and art, anchored in a society equipped with and yet providing all sorts of networks that interrelate with each other and allow for communication amongst individuals, cease to be watertight compartments detached from the vital experience of subjects in order to extend their frontiers until finding

points of contact and give way to a multi-disciplinary vision for comprehending life, no longer as a single experience, but rather as an educational, and aesthetic phenomenon calling for research.

The birth of bio-art as an artistic practice appears as an exponent of this interrelation, leaving the typical environment of the artist aside, in order to get into and actively participate in biotechnology labs, using methodologies that apply to the realm of biological sciences, and relate to the handling of live matter. This new practice is exposed to the issues and the questions that artwork has always triggered, related to the living experience of the subject immersed in a particular society and in a specific moment in time. Its herald, Eduardo Kac, developed his work as of the subject's position in the post-digital world, questioning the evolution, the memory and even the condition of creation, and posing the need for reflection upon the scientific developments within an ethical and social standpoint, creating a critical context in which to carefully examine the biological practices and thus weaken the reductionist ideas and eugenics in particular.

In order to clearly explain the relevance of the emergence of bio-art in the artistic scenario, it is necessary to read the implications of the experiences as a scientific experiment, verifiable and with provable results, as opposed to the experience related to the subjective plane in terms of the individual's capacity to take in and enjoy the aesthetic fact.

The work of bio-art is understood as a scheme made of different scientific developments that allow for a set of experiences. It has the capacity of enhancing interaction between the artistic experience and the scientific experience, without becoming an object with the sole purpose of being contemplated, but rather of recreating a truly groundbreaking experience.

On the one hand, bio-art allows for rethinking science and art as a joint collaboration, as watertight compartments many a time separated throughout the history of mankind, which may not be subordinated, which complement each other, and which trigger reflection on the available technological devices, their scope and impact, and potential for development.

On the other hand, it is of vital importance to pinpoint the capacity inherent in bio-art for working with live organic matter, ranging from a cell—understood as the minimum portion an organism may be divided into—to the full body that hosts all of the cells and tissues.

This living art shows specific aesthetic features as it holds a close connection with the sciences. In this sense, bio-art sharpens the crisis found in traditional aesthetics on introducing works that pose variable transformations and a transient nature. In light of this definition, we must highlight its conceptual character—experimental as a contemporary work of art—, which being introduced as a fleeting event, can indeed overcome its material nature. Yet, it also establishes different relationships with the environments in which it is exhibited, the feedback from critics, the manifests. For the above stated, we could assert this to be a work in constant mutation. At this point, we can only address it as a work in continuous state of convergence and evolution, thus making the public's participation key to attain the whole artistic experience.

### **The Role of the Spectator: Emancipated Spectator and Moved Spectator**

“Upon insisting on the problematic and open nature of every artistic proposal, on seeking the expansion of creativity through the reconciliation of art and life, the cutting-edge trends underpinned the creative dimension in our cultural tradition implicit as never before in the response to the artwork.

In a text dated 1957, precisely entitled “The Creative Process”, Marcel Duchamp remarked the following, “the artist is not the only one consummating the creative act, as the spectator establishes the contact between the work and the outer

world, untangling and interpreting his own ratings to make his own contribution to the creative process."

This conception, which presupposes a thorough rethinking of the romantic myth in the virtuous and different mind of the artist along with the acknowledgement of the anthropological universality of creativity, would signal as of the 60s a new understanding of the role of the public in the creative transmission of art. (Jimenez, 1998)

The change of paradigm in art and the opening of unconventional spaces for the exhibition of the works, paved the way for a logical change in the role of the spectator.

After centuries of contemplative education in front of the artistic expression, limited by the pedestal in the case of sculptures and the frame in the case of pictorial art, the spectator is invited to participate, interact and complete the work.

With the emergence of the new category of interactivity, the works are from their very inception aimed at the spectator.

This change paves the way, particularly in the case of technological art, for bringing the spectator closer to new knowledge and developments, both in the technical and scientific fields that had been locked away for centuries in laboratories, only to reach the expert eye.

In this sense, the spectator is not only invited to intervene in the real-time production of the artistic fact, but also given the added value of new knowledge for him to reflect upon the novel pieces of information he obtains. And although the artistic fact represents an end in itself, it can at the same time be considered an excuse to outline and theorize on the pressing issues of life, the ecology and the environment.

In this respect, Bourriad states that "reality is that which I can talk with someone else about" (1998, p. 56). Therefore, these works that defy the passive nature of the typical spectator, force him to forget the mechanical task of observation, and share a new communication code. For this to happen, it is necessary for the new spectator of the artwork to decide to adhere to the new strategies that the work of art presents him with. It is not just a matter of taking a moment to look at it, take some distance and observe again. The spectator is asked to perform the art exhibition just as Duchamp would remark. This is not only evinced in the interpretation or the theoretical construction, but also in the material level at which the spectator constitutes himself as a key player in the artistic phenomenon to be revealed.

In this way, the category of interaction takes over that of participation, finally overcoming the traditional distance artist-work-public phase.

In this sense, as of the dialogue generated between those involved in the creation of the artwork and the spectators invited to join in, a new form of reconciliation is achieved as of the experience. This type of involvement, many times unconscious on the part of the spectator, bears an impact on his way of perceiving the world around him. Contrary to what happened centuries ago, where art also played an educational role, but could only be adhered by the artistic genius, the works and artistic devices also provide the social body with a number of strategies and technical developments ranging from very simple forms to high complexity advances, which allow for adoption of artistic models present in technological artwork at a small scale, and incorporate them throughout time in daily life.

Thus, art also grants visibility to certain technical strategies that may serve in the near future the development of goods and services along with the environmental conservation strategies.

And upon involving the observer himself in the construction of the aesthetic object—mainly because as of this moment onwards, poiesis presupposes a process in which the preceptor becomes co-creator of the work, art frees the

aesthetic response or reaction from its passive and contemplative nature. This is clearly the straightforward meaning of the exclusive hermeneutics maxim so unfairly discussed: *mes vers ont le sens qu'on leur prete*

[...] Being the de-objectification completely exhausted, the aesthetic status becomes a problem, and the spectator, faced with an *objet ambigu*, finds himself again in the situation of asking if said object may have the right to be—in spite of, or also—, art. (Jauss, 1986, pp. 108-110)

### **The Science, Art and Technology Triad: Scientific Dissemination and Raising Awareness**

The spheres of art and knowledge have been historically related, both to differentiate each other and to find points of shared interest. Their changes have been in consonance with the times in which they have developed. As of the scientific revolution that took place in the seventeenth century, the different standpoints started to come together, paving the way for a future interaction between art and science, and establishing a differentiated and legitimate speech for each and every field. In the nineteenth century, what is known today as modern science was defined, along with the figure of the artist as an individual creator. At the turn of the twentieth century, art and science were further specialized in their fields, making contributions in both realms, implying parallel findings for artists and scientists.

Modernity developed both artistic and scientific proposals that evince trust in the human possibility of knowing, learning and ordering the world from the active subject's standpoint. (Suárez Guerrini, Gustavino, Correbo, & Matewecki, 2010, p. 16)

As of the scientific and technological developments that took place in the last fifty years, the way art is created has once again changed what we used to know about it. We can trace this in the advent of the notion of plurality of real worlds, both diverse and valid, with their well-differentiated systems of reference, working jointly to leave their familiar environments behind and get the public closer to multi-disciplinary developments. The proper arena for research, experimentation and production of the works is the laboratories. This implies the use of science-specific techniques, methods and protocols. However, both in the realm of art and in those of science and technology, the guiding principle of finding an answer to every question in life leads to the convergence of lexicon, procedures and materials. Thus, artists working along with scientists and technicians bring the subjective eye closer to the objective fact, and then home to the result. They find the way to summarize the conclusions arrived at after laborious research and findings, to turn these into a metaphor of some sphere of life.

Art is then the most appropriate vehicle to go beyond the laboratory and become known in the world. Thus, what would have only been accessible to the scholar or learned person is now presented to the individual as a fictional reality capable of being comprehended, reflected upon and conveyed to others.

In a scientific dissertation, literal truth plays a key role, yet in a poem or in a novel, metaphorical or allegorical truth may carry more weight, since a literally false statement may be metaphorically true. (Goodman, 1990, p. 39)

The close relation between artists and methods, and processes in science causes the appearance of new characters, such as the scientist-artist, the researcher-artist or the teacher-artist.

During times of crisis of the fundamentals of art, the boundaries of the artistic become blurred and give way to aesthetic reconfigurations that also trigger ethical debate over life and the impact of men's actions on all living things.

### Sensory Experimentation as a Way to Awareness Raising and Reflection

Climate change, intervention of nature, assisted fertilization of botanical species, hydraulic emergency, and extinction of species: the actions of men over nature for its destruction or reconstruction have been the common denominator that has linked the artworks of Project Untitled since its inception in 2006, in the milieu of Universidad Maimónides.

This cross-disciplinary ensemble of artists, professors, students and scientists carried out over a dozen multimedia works in which the technology—nature dichotomy has been always at play.

The artistic ensemble has played a major role since its early beginnings, being the maximum exponent of interrelation with other areas of knowledge. In fact, in a matter of a few years of joint collaboration, Project Untitled has been able to incorporate biological elements into its productions. Scientists, artists and researchers in the area were invited to join in. This enterprise stands as a pioneer in Argentina in terms of development of bio-artwork, always considering the apocalyptic perspective towards the actions of men over the environment.

The works display an integral approach centered on research, scholarship, strategy-building and the analysis of design in daily life. This system—cleverly articulating education, work and experimentation—has granted the team members access to the different types of techniques within various areas of professional implementation, as the training in aesthetics is permanently linked to the realm of ideas, and given that the development of activities oriented to perception and sensitivity have always carried an ethical assessment. Being fostered and led by an educational institution, these artistic, scientific and technical developments also aim at promoting the interrelation and harmony between two opposed worlds, granting spectators the possibility of discovering the beauty and the importance of the elements and phenomena, both natural and those created by men.

The itinerary proposed for Project Untitled has at its core, and as guiding force, to address environmental issues and protect the environment, matters that are clearly put forth in works such as “*God of Weather*” (2008), a videogame in which the player must control forces of nature by means of hand gestures; “*Potabile*” (2009), a facility representing the exploitation of water resources; “*Floris Lupus*” (2010), an interactive structure that presents the beauty of the wilderness as opposed to the intervention and destruction by men despite their intentions, operated through proximity sensors; “*Edenia*” (2010), a post-war scenario generated as of technological waste where natural elements are corrupted in favor of the transgenic; “*Extinction Scenes, Resurgence Rituals*” (2012), where in addition to inviting the spectator to approach the work in which urban waste intervened with graffiti is exhibited inside skeletons of dinosaurs signaling the end of the itinerary, he was also given a questionnaire with queries on his habits and routine—intended as an exercise of introspection—that accompanied the presentation of a book, a round table, a series of movies and music festivals, all aimed at raising awareness of the critical change that landscape undergoes vis-à-vis the relentless advancement of men.

In these pieces of work, among others, there has been a clear intent to explore the notion of nature under a new interpretation by the machine to enable coexistence of the artificial and the natural elements, raising the public’s awareness of their sensory exploration.

As of this experience, it is possible to coincide with Nicolás Bourriaud when he states,

If we carefully observe the contemporary artistic practices, we should talk about “formations” rather than “forms”, the opposite of an object in utter seclusion due to a particular style or signature. Current artwork shows that form is only plausible in the encounter, in the dynamic relation that any artistic proposal holds with other formations, whether artistic or not. (2013, pp. 22-23)

For this artistic ensemble, not just as creators of artwork, but as a pedagogical project oriented to the development of artists, the works have acquired a real dimension and existence, as different types of human interventions are put at play to engage in constant dialogue about current affairs and the various issues human beings must face.

In this sense and as a result of the dialogue stemmed from the interaction of the individuals directly involved in the creation of the work, those invited to join in, and the spectators, a new form of reconciliation derived, indeed, from the experience.

This experimentation, many times unconscious on the part of the spectator, has had repercussions in the way he perceives the world and the issues previously mentioned. Contrary to what happened centuries ago, when art also played an educational role that could only be grasped by the artistic genius, current works and artistic devices have placed an array of strategies and technical developments at the service of society, stemming from extremely rudimentary to highly complex elements, which have allowed individuals to own artistic models present in the works of technological art at a small scale and incorporate them into daily life.

Thus, art has also granted visibility to certain technical strategies for these to aid in the future development of goods, both for consumption and service, for reproduction or for reinsertion in the natural environment.

Increasingly, the artist needs to be thought of as a skilled worker integrated to production teams—demands of the new ways of production exceed in many cases the idea of works produced by one single individual in the solitude of his workspace. And increasingly as well, his is a task of collective realization, in which the ownership is distributed within the team and even in the flow of circulation and exchange in which each and every participant is an intertextual modifier... (Brea, 2003, p. 50)

### **Conclusion: Art as a Revolution and Consciousness**

As of the above mentioned, works of art presented through participatory events call for a certain type of awareness and knowledge on the part of the spectator, as of the willing negotiation and the exchange of time and space, of the acknowledgement of what he perceives as artwork.

“Spectators give form to the artwork”, states Duchamp. Changes in the twentieth century drastically altered the traditional concept of artistic fact along with the traditional concept of spectator.

As Theodor Adorno claims,

It has become clear that nothing regarding art is evident: not in itself, not in its relationship with totality, not even in its right to exist. In art everything has become possible, the door has been opened to infinity and reflection has to deal with that. (1983, p. 192)

Following this line of thought, it is possible to say that the function of art is to be a sign of the times. In the era of interactivity, where it is possible to access any artistic representation virtually, the fact that the spectator may be a fundamental part in the work creates the opportunity for this public to add individual competencies, theoretical, historic and technical training and information, in order to take in as many signifiers in the work as possible, being attuned with all the potential metaphors and allegories through every individual understanding and perception that may in turn enrich the experience by completing it.

In the same fashion, each concept, every piece of information, every new cultural and technological development, all allow for the individual who faces the artistic experience to take with him a sensory rapprochement that fixes the message created by the artist in the memory.

The artistic revolution of this time and age takes place in the encounter with this spectator avid of interaction, of participation, who claims for a main role through action.

In the fusion of science, technology and art, the spectator becomes aware mainly of how his actions both on ecosystems and on any environment, controlled or not, cannot go unnoticed. The lasting impact of his actions calls for reflection on the care and protection of resources currently at risk.

The future challenge is to educate a spectator that as of his intervention may be able to replicate the pieces of information, reflections and interactions experienced in his most immediate environment, reproducing interrelations with other individuals who, as in the case of these three spheres of knowledge, may work collaboratively to improve quality of life for all social stakeholders.

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# Public Deliberation in an Age of Visibility: Political Communication Analysis in Mexico

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This paper reviews the importance of visibility in public deliberation in the theoretical construction of political communication. Political communication is the area that study social and political interactions of actors through discourses and practices within the public sphere. The social and political actors manage their public appearances in an exercise of visibility, allowing deliberation of public affairs. In recent years, Mexico has been a relevant case of study for understanding the opening of media into the public discussion of governmental affairs. As an example, this paper presents an analysis of public deliberation in the city of Querétaro, Mexico. This study analyses political participation and openness of media, based on the concepts visibility, public sphere and citizenship. The analysis was built on the idea that the press concentrates most of the issues of public interest and that it reflects actors and arguments given for deliberation. In a qualitative approximation, we analyzed the discourses published in four journals and developed an analytical framework that illustrates the levels of access and visibility of a variety of political and social actors. This exercise demonstrates the importance of the concept of visibility in public deliberation and the media as managers in the current configuration of political communication.

*Keywords:* political communication, public sphere, democratization, Querétaro

## Introduction

The work presented here, provides an analysis of the public sphere and the democratization process in Querétaro, Mexico. First, it raises a discussion about the public sphere, defined as the space of deliberation in democracies. From this arises, with examples of specific cases, how the process of democratization of the public sphere in Mexico can be questioned due to limited space are the speeches from actors belonging to groups opposed to the mainly government agencies.

Here we present a discussion of the public sphere, meaning that while it is in daily use when referring to the spaces of deliberation in democracies, it is clear that a process of democratization, as you live Mexico, offers the possibility of questioning.

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### **Conceptual Approach**

Today, the public sphere represents the space where society actors compete for visibility and influence in the process of incorporation of the public agenda and collective decisions. The strength or weakness of the actors and the ability of citizens to interact and participate in the definition of public affairs are manifested in the public sphere. Habermas (1981) argues that the public sphere is not reduced to the media, as has been apparent in recent years, but covers different fields of action of the subjects.

Whitehead states that democratization is the institutional fundamentation plus the consensus of the majority and participation of everyone in politics (Whitehead, 2003, p. 27). After the end of the Cold War, argues the author, democratization has become one of the most crucial issues in the international political scene. Many countries are experiencing an extraordinary difficult transition to democracy. These transitions are deeply influenced by the new international context of free markets.

Thus, for a democratization process to develop in a country, its public sphere has to be consolidated for the discussion of public affairs in different spaces, including the media. While one can argue that there has always been public sphere, there have been moments when only a few agents have access to the spaces of deliberation. For example, during the PRI regime in Mexico, in the sixties or seventies, there was a stronger state control over the information that circulated, thus, discussion was celebrated with limitations.

Since the nineties, there has been an ongoing process of democratization in Mexico. Along with the opening and the subsequent reforms in the country, the press has been subject to a number of changes, both nationally and locally. This is an ingredient that can theoretically be established as part of the democratization process. However, empirical evidence shows that this transformation has not allowed some sectors of the population access to media or the public sphere.

### **Querétaro and Its Peculiarities. A Socio-historical Review**

The state of Querétaro has a particular geographic location. Situated in the geographic center of Mexico, it is connected to the rest of the country by the Panamerican highway that crosses the state and connects it with Mexico City and the northern area. This has significantly benefited the population flow and the establishment of industries thanks to the industrialization impulses originated in the national economic policies.

From a historical point of view, the city has played an important role. Since colonial times and at crucial moments such as the beginning of the Independence struggle in 1810, the fall of the Maximilian empire in 1867 and the enactment of the current constitution, in 1917. Beyond its historical relevance, Querétaro has been an entity that has remained with a dynamic economy and a social vocation of peace and order.

### **Geographical Features of the State of Querétaro, Mexico**

The state of Querétaro is one of the smallest states in the country. It has a land area of 11,769 km<sup>2</sup> of territory. Due to its geographical location, it encompasses three physiographic regions with different characteristics: Neovolcanic province, the province of the central plateau and the province of the Sierra Madre Oriental.

His political division consists of 18 municipalities with different characteristics. The municipalities located in the southern state, the “valley region”, has had great aptitude for agricultural development. With deep soils, as the name implies, the region of the Great Plains was the one with large-scale agricultural production. Currently in

this region are located the capital of the state, along with its metropolitan area, which includes the municipalities of El Marqués, Corregidor, Pedro Escobedo and Huimilpan. This area has the largest population of the entity and major economic investments, besides being the political center of the state. In this same area, the municipalities of San Juan del Rio, Tequisquiapan, Amealco and Ezequiel Montes are also located. Of these, San Juan del Rio recorded the greatest population, making it the second largest urban center in the state.

The central part of the state is identified as the “semi-desert region”. It covers a southern portion of the Sierra Madre Oriental in conjunction with a central tableau. It has a lower altitude, therefore preventing the moist winds from the Gulf to enter this area. Consequently, soils are rocky with little possibility of agricultural development. In this area are located the towns of Colón, Toliman, Peñamiller and Cadereyta.

The most remote municipalities of the state are located in upstate Sierra Gorda: San Joaquin, Pinal de Amoles, Jalpan de Serra, Landa de Matamoros and Arroyo Seco. They have the potential for forestry, fruit and coffee production. For many reasons, it is the most underdeveloped region of Querétaro. Nonetheless, it is one of the richest areas in terms of biodiversity conservation areas.

### **The Sociodemographic Characteristics of Querétaro**

Since the fifties, there has been a major demographic transition in the city of Querétaro. It has consisted in an increase of the living standards of the population, decreasing birth rates and a decrease in mortality rate. According to Guzman (2007), this transition is due, *inter alia*, to an improvement in the living product of higher levels of income and greater access to health services. With the policies of industrialization, the occupational structure has diversified. There was an improvement in conditions of the economically active population and the integration of women into the labor market and education. Since the forties, Querétaro has changed in its urban and social structure. The data presented from 1950 to date provide interesting information to understand the demographic changes in Querétaro. The number of Querétaro's habitants was constant over a long period. With the arrival of the industries in the sixties, the population grew. The population went from 286 thousand habitants in the census 1950 to 355,000 in 1960 (see Table 1).

Table 1

*Population of the State of Querétaro*

Year	Habitants	Year	Habitants
1900	232 mil	1960	355 mil
1910	245 mil	1970	486 mil
1920	220 mil	1980	740 mil
1930	234 mil	1990	1,051 mil
1940	245 mil	2000	1,404 mil
1950	286 mil	2005	1,705 mil

Source: Guzmán (2007) with data of INEGI (2005).

### **Changes in the Demographic Configuration of the State. The Migrant Factor**

By 1985, Querétaro underwent dramatic changes in its social structure. The arrival of new companies, the establishment of industrial parks and the constant migration of people mainly from Mexico City after the earthquake of September 19 of that year, changed the social and economic life of the state capital. The decade of

1990 again stands out the state's economy via a third entity's modernization drive taking advantage of structural change introduced by president Salinas. In 1970, the immigrant population accounted for 8.38% of the total state population. By the nineties, the population reached nearly 20% of the population.

The constant migration and industrial growth have been a watershed in state population growth. According to Morales (1998), the population development of the institution was primarily due to establishment of new industrial parks, Querétaro growth rates went from below the national average in 1950 and 1960 censuses to be, in the censuses of 1990 and 2000, above the national average. Despite the nationwide 1995 crisis and because of all this factors, the city experienced a favorable scenario of economic and demographic growth.

An important factor in terms of population growth is the earthquake that took place in Mexico City in September 1985. It encouraged, as of this date, migration flows towards the city of Querétaro, among other destinations, for being the closest to Mexico City.

### **Counting of the Political History of Querétaro—The Configuration of the Hegemonic Discourse**

Querétaro has been successful in social and political continuity due to its centralization of production activities in the state capital. Since colonial times, economic elites have been articulating a cooperation network with the political powers and the clergy (Diaz, 2004).

The hegemonic discourse, during this period of time, was founded on the disarticulation of the notions of politics and government. Since the political origin of the governor in turn was not relevant for the elite, ideological argumentations dissolved. The center of the political activities was to "administer Querétaro's interests" and there was no attention paid to the making of politics (García Ugarte, 1992). The quest for state sovereignty was the way in which landowners and the aristocracy sought to circumvent Querétaro's political vicissitudes. Since the beginning, the idea was always to look for an equilibrium and control of the territory, specially the state capital, which, besides being the seat of power, is the symbol of the organizational capacity and political and economic welfare.

The relationship between economic and political development in an industrial entity has not been linear. However, it is clear how they have developed strains and the joints between the traditional political groups, heirs of the agreements held since colonial times (bourgeoisie agricultural, commercial, etc.) and, more recently, emergent political groups (industrial bourgeoisie and the migrant groups and academics). The new reality opened opportunities for the participation of these groups in the social economic and political transformation.

The electoral laws are an institution considered by Morales (1998) and Espino (2003) to understand the tensions and the joints between the various political groups, review the autonomy of the political and economic elites against national powers.

Between 1962 and 1982, Querétaro remained completely dormant, without participation or a diversity of political parties. During these twenty years, the opposition remained absent from the electoral process. In this period, the most conservative elites wrapped the established order for the majority of the population.

The dominance of the ruling party in the state is the product of a merger between the local bourgeoisie (treasury, commercial, industrial and real estate) and the political elite. Although in the forties and fifties, the

insurgent voice of another political party, the PAN, emerged, this dissent was gradually absorbed by the PRI. Thus, the dominance of the ruling party remained unchanged until the eighties.

Because of these conditions, the process of industrialization that took place in the eighties has a double political impact. For once, it opens some space for the political opposition, as soon as the 1977 electoral reform was consolidated, new players, product of the industrial expansion, entered the race for political control.

This stage of Querétaro's political life acquires new characteristics relevant for regional policies. On one hand, the tension between local and national powers seems to have caused the generation of plural spaces within the state. On the other, a conflict was generated for maintaining political control between the PRI's internal groups. Changes in Querétaro's society from this time can be seen in the way the vote changed.

This retrospective is relevant for understanding the social and political configuration of the state. It seems appropriate to place the geography to understand that the development of the state depends on the capital's centralized group power. Hegemonic groups configure their networks since the establishment of linkages between different sectors within society Querétaro, say, politicians, industry and the church. The rest of the population legitimates the speech of the establishment of order and social peace. This stability has served as a "card" and has legitimized discourses in different historical moments. It should be noted that changes that have occurred in the democratization process have occurred without major upheavals.

Nevertheless, this paper tries to reveal rhetorical strategies that have maintained the balance of power, despite opposition efforts. Also, it will attempt to determine elements that have changed and others that remain during this process of democratization.

## Public Sphere and Democratization

### Democratization

Whitehead (2003) notes that the term democracy is the best way to understand a long process of social construction. As said before, democratization is the institutional foundation plus the consensus of the majority and participation of everyone in politics (Whitehead, 2003, p. 27).

The democratization process reaches its peak where there is public debate and the right to participate (Dahl, 1993). In polyarchy, as part of the democratization process, exchange of views on topical public and civil participation of the resolutions is a daily occurrence.

Democratization is a process of development of social institutions that leads to strengthening civil society. By safeguarding human rights and the reduction of inequalities, the democratization strengthens the social structure in regimes that are moving toward democracy. Morlino (1987) notes that this is a process that leads from an authoritarian state to a pluralist democracy. Democratization, refers to a real recognition of civil and political rights, creating conditions for pluralism and participation. Thus, we can talk of democratization only when the state is able to maintain, in various groups, interest in the dialogue on strategies and strengthening of institutions (O'Donnell & Schmitter, 1994).

In the case of Mexico, little by little, these interests have been lost. Civil society that initially participated actively in the process that opened the door to the democratization of the country have been moving away from civic participation activities, beyond the exercise of the vote in an election day.

Political pluralism is essential for democratization. There should be a competitive opposition capable of ensuring the transparency of elections, equal rights and a normative framework that represents all sectors of society. To understand a process of democratization should be three key aspects (Dahl, 1993):

- (1) Freedom of expression;
- (2) Equal rights and representation;
- (3) Strong social structures and legitimate.

What characterizes transitions from authoritarian regimes is that the rules are not clear since the democratic regime is still in its infancy, so there is an ambiguity. One is not quite authoritarian but not entirely democratic (O'Donnell & Schmitter, 1994).

Democratization is a process whereby extending the democratic rules and procedures. In today's democracies, the electoral rules are clear and there is a government of many in which the actors in the public space to discuss the public interest and there is tolerance for other's arguments. The participation of civil society is active and proactive at the time of decision-making (Dahl, 1993).

These networks have made collective the discussion between of the socio-historical processes in which we are immersed: new rights, new duties and a new citizenship, resulting from economic and cultural globalization. The civil society participation in public space has established their own forms of dialogue, in collaboration with other sociopolitical actors. The shared discussion, among other things, has allowed the democratization of other arenas.

### **Public Sphere**

The public sphere is the place where it builds consensus and dissent in a democracy. Different stakeholders of public interests converge in the public sphere. Together they affect the construction of democracy. These are inevitable considerations when speaking about discourse in the press.

A social sphere that breaks the limitations of the sensory domain argues spreads along with the expansion of market relations. This obliges the adoption of accordingly forms of government. A new mode of association is formed by the rise of the "bourgeois public sphere". There, the general will of universal reason is interpreted in some way (Habermas, 1981). The public sphere can be understood today as much as the visual space that can be associated to the media (electronic, print) as the setting for social interaction (trade unions, civil, social movements).

The conceptualization of the public sphere refers to the idea of a field of deliberation and collective action. Also to a place where citizens are in common action to discuss the goods and values that affect community life. More than a physical space, is a symbolic space for deliberation and collective action where people interested in public issues arise. Since this is a collective space, the discussion takes place in the open, therefore it prohibits the anonymity. Though not every public sphere is an area for decision, sometimes represents a step towards making decisions.

In Habermas's oeuvre, the public sphere is the scenario in which modern societies there is the political participation based on dialogue. It is a scene from institutionalized discursive interaction. This scenario is a site for the production and circulation of discourses that may be critical of the state.

For this paper, the concept of public sphere is central, since there is no process of democratization without public sphere. The conceptualization is made from Habermas's public sphere, not restricted to the media.

The importance of the socialization of information in the construction of public spaces, is crucial since it enables new ways for the increasingly large groups of society, to enjoy access to multiple opportunities of citizen discussion, far outside the education reserved for the nobility. Habermas argues that the transformations of capitalism and its multiple effects on social life, led to the emergence of the bourgeoisie, more and more enlightened and space that were developed to discuss concerns.

The relationship between public and private domain includes both the expansion of economic relations as the intimate sphere of personal relationships. A new public sphere emerged among the field of public authority or the State and the private sphere of civil society and personal relations: a new bourgeois public sphere whose private individuals met to discuss including the regulation of society civil.

With the development of the media, the “public sphere” has been brought back by the presence of urban masses on the social scene. This has risen the visibility of changes in public policy, from being a matter purely of state becomes a matter of community in a public matter. The visibility of large groups poses a new stage in the public sphere, one set-up in which mass culture articulates new spaces for political movements, particularly created by media coverage.

The scenario was of the rise of the bourgeois public sphere, and the arrival of these large groups on stage. Then, Thomson (1998), following Habermas (1981), assigns a special importance to the appearance of the periodical press. This type of press provided a new forum for public debate.

The press in the “public sphere” connects the private and the public speeches through the debate between ideology, the struggle for hegemony and propaganda. It “covers” private interests as if they were of public notice (Habermas, 1981).

Between the domain of public authority or the State on one hand, and the private domain of civil society and the family, on the other, a new field of “public” raised: a bourgeois public sphere composed of private individuals met to discuss among themselves on the regulation of the civil service and state administration (Thompson, 1998, p. 84).

The bourgeois public sphere, according to Habermas (1981), settled on a network of cafes and lounges where the emerging class met to discuss politics and economics, and science and philosophy. In this bourgeois public sphere, the rational discussion of public affairs was the hallmark. This discussion was underpinned and nourished by the ideological newspapers including political commentary and satire. The way discussion developed in this area gradually conditioned the very constitution of the bourgeois states, which continued throughout the century XIX. In these conditions, advertising became a critical principle, as a place where the personal opinions of private individuals can develop in a public space.

However, the public sphere (in its specific characteristics) did not endure beyond the nineteenth century. The increasing intervention of the state sought to spread its power to every part of the social fabric to the administration of the entire social life and the commodification of the newspapers.

In opposition to Habermas, some authors (Thompson, 1998) have suggested the existence of a public space that cannot be subsumed in a bourgeois area emptied of content, but has its own identity. In this struggle emerged the figure of public opinion and public space. The first one refers to the action that was opposed to the practice of secrecy concerning the absolutist state (Habermas, 1981). Public opinion will then be a right to discuss public policy decisions, building the public debate.

In the public space civil society becomes organized and a political society forms the basis for conflict and consensus, key element for the formation of the public sphere. The concept of public space transcends the field of interaction defined by political communication. It is the “media” frame in which an institutional and technological conglomerate, characteristic of contemporary societies, is able to a “public” audience many aspects of social life.

The new public space would thus be an area defined in part by media coverage. What results in the audience and the spaces are increasingly difficult to limit and delimit. This means that an issue becomes public from its placement in the press.

In this sense, it is clear that the idea of public space, defended by Habermas (1981), that is focused on the actors' rational dialogue on an equal basis of reciprocity, does not apply to this new public media space. Thompson argues (1996) that with the development of the media, the phenomenon of advertising is unrelated to the fact of participation in a common area. It has been de-spatialized and has become viewed as non-dialogical, while increasingly been linked to the specific kind of visibility caused by the media and feasible through them (Thompson, 1998, p. 95).

Habermas (1981) also noted that the public sphere that emerged with the entry into the politics of large groups is gone, erasing the boundaries between state and society. For this reason, the public sphere has entered a crisis and is in need to re-discuss what the reason for the breakdown of boundaries was and where it has led the debate on public as well as its borders with the private. That is, to question who leads the way in the construction of the discourse that is debated in the public bodies.

The crisis in the public sphere has been the catalyst for individuals to return to their areas of privacy. This crisis points to a transformation of social relations. Beck (1998) argues that these changes have led to shape a society in which this change threatens major institutions that modernity became the source of the meaning of the public.

### **Public Sphere and Democratization in Querétaro**

For the analysis, we worked with journalistic articles that constitute the discourses reproduced by the press of the city of Querétaro. These ideas in circulation help locate those actors who dominate the discourse exchange that circulates in the public sphere of Querétaro. This is relevant because through this discussion we can analyze the configuration of the public sphere and how actors construct the hegemonic discourse that, we argue, has not allowed the democratization of the public sphere Querétaro.

To perform the analysis, four daily newspapers in the state were chosen. We selected journals due to the composition of the notes, the structure of written text and the given possibility of more clarity in the revealing of actors and editorial direction that might exist in a given time by the media.

The analysis focuses on the front page and the political section of the four daily local newspapers circulating in the city of Querétaro. The analysis period runs from March to August 2009. To recover the news, before the electoral period, a random schedule was used in the form of composite weeks Monday through Friday (Monday of a week, Tuesday of the next, etc.). All through the election process, notes were retrieved daily from Monday to Friday. Additionally, relevant news reported on Saturdays and Sundays were retrieved by the principle of “special events”.

It was necessary for the analysis to establish who the actors subject of news were. Those who produce the information select their sources, therefore, making them part of the public debate. On the other hand, it was important to consider is the interpretation (information processing) that the media makes of the subject's statement by how the source is reported.

For the analysis to be representative, there was set an agenda of specific issues of the public agenda and that were relevant for the news coverage. The topics were:

- (a) Infrastructure Development;
- (b) Social participation;
- (c) Use of public resources.

**Infrastructure development.** This topic was chosen all the notes where talk of urban development, housing, roads, public works. Not only that political actors reported speech on the subject, but also other civil society actors presented demands on the need of work.

**Social participation.** Here is the news chose to speak mainly from civil society or to invite decision-making. During the electoral process where the main issue was referred to social participation was the call to "vote no".

**Public resource management.** This was a topic with particular avidity during the electoral process and in subsequent weeks. The main concern was the political party economic outflow for electoral reasons.

With these three items may support the idea that the practice of discourse in the media involves transformations of original texts, a press conference, interview, a meeting, in an article. The text is likely to have undergone a series of versions and revisions. In this sense, discourse is reproduced as it is transformed into a chain of events linked to an institutional process. The practice of the journalistic discourse on this idea is complex, in the sense that it articulates features of the speech of the source with the characteristics of discourse "aim" of the press and the discourse of consumption.

With this separation was obtained following newscasts (see Table 2):

Table 2

*Number of Notes to Analysis*

Media	Number of notes
Diario de Querétaro	150
Noticias	129
AM	60
El Corregidor	42
Total	381

Source: by self.

Once we got the selection of the notes, a count was effectuated to locate the players and detect those the most coverage. This establishes a first approximation to those who dominate the news spaces in the local press. The number of times an actor appeared was accounted and whether it was on the cover page or inside the journal. The count is an average of entries between the published notes.

For starters, coverage to the government (state or municipal) and the legislature declined significantly in the months of May and June while the information relating to political parties and autonomous public agencies grew during this period.

In the selected period of time, a note of the governmental actors appeared daily. Actors from the civil society organizations or independent citizens are scarce. This gives an idea of how unbalanced news coverage is. And it helps to sustain the argument that the media, in this case the press in the city of Querétaro, covers only a part of the discussions that are generated in the public sphere.

Being an election period, and despite not being targeted by the investigation to know which candidate was given more space in the press of the city of Querétaro, a count was taken concerning this issue, just to get extra data. Also nominal speech practices were recorded. This means that actors would always appear in the notes by the position they hold: "Candidate ...", "president ...", "secretary ..." And, under this logic, every discursive resources were used to support their arguments. It becomes clear in the notes that this position is used for the emphasis of information. That is, there is a vast difference in the treatment of the information generated by a candidate or the governor than one from a member of civil society.

The articles tend to simply reproduce what the political actor says. The newspapers are involved in the location of the note in the journal. Even if that is saying a lot, the leading role is the message and the actor who said it. Every political actor provides the discursive strategies in which they build the messages. Significantly, the notes expose the positions from where they carried out the struggle for hegemony.

In the notes studied it was clear that the contest takes place around the hunt for governmental positions and the search for the legitimacy of their various practices. Each actor, when referring to their views, employs argumentations in order of gaining control of the discourse. However, it is noteworthy that the arguments are similar. Only constructed in different ways, and located on distinct pages of the newspapers.

The weight of the struggle for hegemony is placed on the leading political actors. It is unusual for civil society organizations or public agencies to establish autonomously the topics of discussion.

Apparently, the press is very clear on which of the stakeholders has what kind of space. This is significant in the discussion of an equilibrated public sphere and a democratization process. Theoretically, the press should be one of the spaces most open to debate, and even promote it. However, despite the incentive of opening in the nineties and early the early XXI century, today it is increasingly difficult to find space for discussions not reserved for political actors. The negotiation of meaning, occurs clearly between political actors and the media.

## Conclusion

Understanding the processes of democratization in the regions of the country means to analyze two episodes. On one side, the transformation meant for Mexico to have competing elections. On the other, the need of new government differentiates themselves from PRI administration. Mexico now has a greater political plurality. Although this does not seem to have resulted in a real democracy yet, since historically prevailing patterns persist especially in political economic and social practices.

The city of Querétaro is currently one of the cities with the highest economic and demographic growth rates of the country. Despite the series of transformations that are visible throughout its history, there are aspects that appear to have reached a standstill.

Politically, the most important change in recent years, occurred in 1997 when an opposition political party attained the state government. This consolidated a number of alterations that were already on track and that started with the arrival of agencies and personalities to the political and economic life of both the city and state.

Some areas remain unaffected. The press is one of them. With a city in constant growth, the journalistic offer persisted as was in the seventies. The review made of the socio-historical context proves that there has been collusion between the press and the political powers. This relationship has migrated from one of agreements to a clear subordination of economic interests. This shows that, despite the political opening of the democratization process in which the country finds itself, the press remains a laggard sector.

Lawson (2003) said there is a gradual opening has modified the role of the media in society. Nationally, as well as locally there are signs of it. In the case of Querétaro, the highlights are issues such as coverage of election campaigns or spaces gained by opposition parties or civil society organizations. However, the way in which this information is covered and how it is played, performed and published, it allows us to observe that there is still some way to go to talk about a genuine democratization in the press.

The data analysis showed that some discourses are similarly presented by more than one journal. This is, notes that are almost the same, relating almost the same facts, with almost the same emphasis. In this sense, we can sustain the idea that the Querétaro city's press reproduces the discourse of the sources thus serving as a vehicle for the consolidation of the hegemonic discourse.

Notes are practically an account of what actors said. A discursive reproduction is evident. The journalist collects what its source states and describes it in note format. They make political party members or government officials much more visible than civil society organizations. Newspapers offer their readers a series of notes built without any critical organization or clear editorial line.

This is not new if we review the history of the press in the city of Querétaro. According to the anecdotes of the foundation of the newspapers in Querétaro, almost all of them emerged in electoral processes or to support the candidacy of a political character of an elective office, usually the state governor. This is one more argument to state that, in Querétaro's press, there is a biased discussion of public affairs. The hegemonic discourse, pooled by economic and political power, is what dominates the pages of newspapers. If we turn to the ideas of Dahl, O'Donnell and Schmitter, the media, particularly the press Querétaro, opens no room for negotiation in its pages. The press reflects a minuscule space of the debates that take place in the public sphere.

The topics selected effectively refer to democracy issues. However, far from the true meaning of the concept of democracy, at least during elections, these are used as an excuse to mention the offerings of the candidates seeking the vote or seek elected office.

Normatively speaking, one might expect that the press would have to open spaces for different groups, as to enrich the public debate for the process of democratization to take place. This way, different voices expand the discussion on certain topics in a true exercise of democracy.

Most of the articles reviewed focused their attention on the electoral campaigns. This contingency might have biased the sample spectrum. However, it is considered an advantage since, in ordinary daily reading, the concept of democracy is associated with elections.

Theoretically, it should not be so. Therefore, in the studies those two elements (elections and democracy) were not associated. Instead, the focus was to analyze the construction of meaning for democracy through the negotiations that occur in the production of information about selected topics.

We can analyze the role of language in social processes throughout discursive constructions and articulations. The news helped to study and analyze hegemonic articulations that occur permanently in journals.

The discourses that the press presents have allowed the consolidation of certain social practices and the formation of hegemonic powers. They achieve sustainability and legitimacy by the means of discourse. In the time of PRI, political practices were legitimized. Now, from economic agreements, are legitimized other processes. What prevails is the hegemonic discourse.

As noted by Lawson (2002), in Mexico has been a gradual opening up the media. In fact, in Querétaro the press grew from two to four newspapers: AM came in 2002 and in 2003, El Corregidor. At one time, this might have had mean spaces for other social actors. Both cases have adapted to reproduce information production practices and discursive reproduction, with the exception of AM at some point, when it collided with political and economic powers.

Ultimately, economic and political powers are in control of the public debate, at least in the local press of the city of Querétaro. If one estimates that Querétaro is a sample of the national environment, it can be assumed that the agenda of the country's democratization process is still missing the opening of media spaces. What one can find in journals is only published reproductions of discourse provided by the hegemonic groups. There is no space for other voices, therefore there is no enrichment of the public debates nor of the public sphere. Discourse in the press is largely subsumed to the negotiations of power. This is evident in journalistic texts.

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# A Study of Negotiating Strategies in South Korea

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Under the globalization of rapid industrialization, economic growth and expansion to the global market, South Korea is attracting more and more international businesses who wish to do business with South Korean companies. It is suggested that a negotiator of an international company should understand the cultural background and the negotiating strategies first. This study aims to investigate the twelve negotiating variables of negotiating with South Korean companies. It is hoped that European, Asian, and American companies who wish to do business with South Korea can benefit from the results of research. This study results will be provided as reference of enterprises, schools and students.

*Keywords:* international business, negotiating strategies

## Introduction

The democratization and globalization that transformed South Korea from the destruction of the Korean War to a wealthy and developed country with prominent multinational conglomerates such as Samsung, LG, and Hyundai-Kia. The Miracle on the Han River is a term used to refer to South Korea's economic growth, including rapid industrialization, technological achievement, education boom, high living standards, modernization, etc. With the efforts to expand to the global market, South Korea host the 1988 Summer Olympics and co-host the 2002 FIFA World Cup. In less than four decades, Seoul was transformed into a global city, a center of business and commerce in Northeast Asia and a highly developed economic hub. This rapid growth will entice the people worldwide to do business with South Korea. This paper will examine the twelve negotiating variables of unique Korean cultures in order to benefit those who wish to do business in South Korea.

## Historical Perspective

Korean culture has been profoundly influenced by the Confucianism for the past 5,000 years. Kung Fu-Tzu, known in Western countries as Confucius, lived in China around 500 BC. He was a teacher who offered his students a system of order during a period when China was disrupted by warfare. He had five moral disciplines to govern the five human relationships: (1) Justice and righteousness should mark the relations between sovereign and subject; (2) There should be proper rapport between father and son; (3) Separation of function between husband and wife; (4) The younger should give precedence to the elder; and (5) Faith and trust should reign over relationships between friends. In short, the five disciplines indicate the five relationships of ruler and subject, parents and children, husband and wife, brothers and sisters, and friend and friend. Confucianism stresses duty, loyalty, honor, filial piety, respect for age and seniority, and sincerity.

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Koreans are friendly with their friends and treat them with the utmost respect and kindness. If someone does not have some relationship to a Korean, no loyalty or respect is due. Note that Korea has been known for most of its history as the “Hermit Kingdom”, successfully repelling “barbarian” attacks and influences until this century. Thus, foreigners and outsiders have traditionally been “non-persons”, and socially indefinable; after centuries of Confucian tradition, foreigners do not exactly fall into any specific category of interpersonal relations. However, once a foreigner becomes a business associate, a fellow club member, or a colleague, he or she will be treated in the manner appropriate to one’s position.

In the past, Confucian philosophy was a major influence on the role of Korean women, traditionally limiting them to the management of the large, extended family. Until this traditional perception of women is changed, sending women to open Korean business relations would be a fruitless exercise. Nowadays, many Korean women have been successful in running their own businesses.

### **Basic Concept of Negotiation Process**

In South Korea, people are trying to maintain the environment of stable Kibun, mood or feeling of a comfortable and peaceful state of mind, both in personal life and business world. Sometimes, they avoid saying “no” or bad news, to prevent hurting others’ Kibun. Knowing this culture is very important to maintain the harmony, and especially in the business world.

Nunchi is the ability to determine another person’s Kibun by using the eye. As mentioned above, people need to learn from others’ non-verbal and body languages, as well as the tones to get the real meaning of what they said. If you are a boss of Koreans telling them that they are doing a certain thing wrong in their work, and they may take this to mean that you are not satisfied with all their work. Another example could be: A Korean man say to you that “Are you hungry?” He is actually saying “I am hungry, can we eat now?” So if you answer “No”, it would hurt his Kibun. The correct answer would be to ask the Korean what he wants to eat.

Another key principle of South Korean business culture is Inhwa, which is defined as harmony. As a collectivist society, consensus is an important element in promoting and maintaining harmony in South Korea. In the business world, this term requires that subordinates be loyal to their superiors and that superiors be concerned with the well-being of subordinates.

In South Korea, the personal relationships are essential for negotiation process. In order to be successful, it is vital to negotiate based on mutual trust and benefit.

Koreans are not comfortable doing business by individuals. In other words, Koreans are not willing to do business with a stranger without friends’ introduction and support. By introducing and establishing the personal relationships, South Koreans would be more willing to consider the foreign company as a part of the group. It is suggested for the foreign company to maintain the relationship by continuously contacting the Korean company. Therefore, time should be allocated for this process, particularly during the first meeting, which is frequently used to simply establish rapport and build trust. Once good, solid relations have been recognized in South Korea, continuous reinforcement and maintenance is vital. Foreign companies should be patient doing business with Korean ones, and take the business as a long-term one instead of one-time deal. The better and stronger the personal relationship with the Korean company, the more successful the partnership would be.

### **Selection of Negotiators**

Both Koreans and Americans who do international business must know cultures, negotiation styles,

business practices, and the social customs of the counterpart. For example, South Koreans who are sensitive to power and status can feel insulted if an American company sends negotiators who do not match the status and age of the Koreans.

In order to become a Korean negotiator, one must have the characteristics, such as sincerity, good faith and honesty. On the other hand, personality characteristics appeared to play a greater role. For example, the Koreans are not only more emotional but also more individualistic than their Japanese and Chinese counterparts. Thus, individual reward from the successful completion of a negotiation may be an important consideration in the negotiator's mind. If a Korean negotiator does not see any particular benefit, either intrinsic or extrinsic, to concluding the transaction, it is unlikely that an agreement can be reached with the Koreans.

The Korean negotiating teams were usually smaller in comparison to the Japanese and Chinese counterparts. Yet, there are important similarities to the Japanese and the Chinese. One, similar to the Japanese, there is a certain degree of group participation. Individual responsibility is often limited to the extent that different views need to be discussed before consensus is reached among the team members. Two, the Koreans are as hierarchical as the Chinese. A Korean negotiating team is often led by a senior manager who is usually accompanied by an entourage of junior managers responsible for different functional areas. The Koreans are very status-conscious and become upset if the titles and positions of their counterparts are found below their own.

### **Role of Individual Aspirations**

Korea is a very collectivist society. This is manifest in a close long-term commitment to the member "group", be that a family, extended family, or extended relationships. Loyalty in a collectivist culture is paramount, and over-rides most other societal rules and regulations. The society fosters strong relationships where everyone takes responsibility for fellow members of their group.

Koreans are gentle and kind to in-group members. However, they can be rude and ill-mannered to out-group members. If they think their counterpart is not likely to be an in-group member; South Koreans will feel free to exhibit an aggressive style of communication.

### **Concern With Protocol**

The usual greeting between men is a bow, accompanied by a handshake. Maintaining the eye contact is appreciated.

The exchange of business cards plays a very important role in the introduction process. After receiving the card, it is suggested to nod your head to show your respect and thanks.

The first meeting is usually a start of the business-relationship building process. Very little might be discussed which relates to the actual business in hand for a while, with most time being spent exchanging pleasantries, discussing travel and other small trivia. It is suggested for American companies that they could view the first meeting as an essential first step or investment in creating a rewarding, trustable and long-term business relationship. It is recommended for American companies to keep contacts with the whole team, because one of the management styles of South Koreans is team-oriented.

When working with South Korean companies, American ones should value the decisions made by the senior managers. American companies should keep in mind that they need to avoid conflicts, especially in public, with senior managers.

Speak slowly to emphasize and repeat your key points. The real level of comprehension of many English-speaking Korean business people may not be as good as their courtesy implies.

Sharing a dinner can be important in building friendships that will foster the necessary trust, as well as building a rapport that will greatly contribute to the overall success of your firm in Korea. Remember that to the Korean businessman, your social relationship is directly related to the conduct of business.

In South Korea, gift giving is part of doing business. It is done to secure favors and build relationships. Gift giving in South Korea is not seen as a bribery or corruption. The gifts from the givers' home country would be much appreciated and impressive, regardless of the price.

### **Significance of Type of Issue**

As a foreign business person, if you can keep everyone's kibun high, then you will be able to achieve a very satisfactory working relationship. It is very difficult for Koreans to admit failure, and devastating for them to lose face. The directness of Westerners in dealing with incompetence, error, or dishonesty is thoroughly unpalatable to Koreans, whose self-esteem is always on the line.

### **Complexity of Language**

South Korea is in high-context society, what is written is secondary to what is said or even what has been implied. In other words, communication between people can rely more on the silent language, such as body movement, facial expression, eye contact, and other nonverbal signals. In low-context societies like the US, communication is explicit; thus, a written agreement is valued over an implicit understanding.

Americans are often perceived by their South Korean counterparts as being very inflexible since they are unwilling to make any change to the original agreement. Americans think that a contract is a law and a final product; Koreans, however, think that a contract is a beginning.

Similar to indirectness, South Korean culture, with its tolerance for ambiguity, leads to a trust-based approach that can cause problems, especially in international negotiations. Koreans assume that both parties have mutual understanding. They do not carefully examine that document. From my interviewee, she thinks that she can make some small adjustment later on but still need to abide by the original contract.

### **Nature of Persuasive Argument**

It is crucial to maintain harmony when dealing with South Korean customers. It is also important to avoid conflict. South Koreans are not trained in the Western style of argumentation and debate, and very easily lose their temper. They, then, will become direct and emotional negotiating with Americans while speaking in English. Both language deficiency and a lack of experience in logical argument can cause frustrations. Once a Korean negotiator's kibun is damaged, he/she is likely to withdraw from any communication with his/her counterpart.

### **Value of Time**

One should always expect to schedule an appointment and attend the meeting on time. The wait time will cause the misunderstanding such as not being cooperative with the company.

For most Americans, time is money and hence a valuable asset. Further, Americans like to prioritize issues according to the immediacy of their impact. However, South Koreans emphasizes on group consensus and

deference to senior managers, an American businessman would have to expect a longer wait time in order for them to get approval and direction from the CEO.

### **Bases of Trust**

Trust building is important. If two partners set up trust, paper contracts are not that important for South Koreans. It takes time to build up trust with foreigners. They prefer to work with someone they know or being recommended through an agent. They have more group sense than dealing with an individual they do not know of.

### **Risk-Taking Propensity**

A South Korean proverb, “So-tahmdae-shil: Greed over small things loses big things”. However, there is a high risk associated with this approach when it is used by a counterpart for his/her own benefit. If the counterpart is only interested in short-term profits and does not want to have a long-term relationship, this approach will only result in a loss on the Korean side. This very traditional, risky, ethical, and Confucian approach seems to explain Koreans’ approach to risk taking.

South Koreans think, “if you are egocentric, you might be successful for a short period of time, but you will lose eventually.” It is very important for Koreans to keep a harmonious relationship considering the feelings of others and making group consensus before making the deals.

### **Internal Decision-Making Systems**

One manager who was experienced in negotiating with managers from all three countries commented, “I was surprised to find how quickly things can be done in Korea”. Several plausible reasons can be provided to explain this difference. First, the smaller size of the South Korean negotiating team reaches inner consensus. Second, members of the negotiating team appear to have broader powers of decision-making. Third, decision-making in South Korean companies is typically highly centralized in the hands of top management. However, since relationships are very important in the South Korean context and they use time as a stalling tactic to gain more concessions from the Americans, negotiations still may not progress as rapidly as they do at home. South Koreans may also change their decisions quickly, their decisions are often influenced by the mood or mental state at the time of negotiation.

### **Form of Satisfactory Agreement**

The South Korean view of the final contract is very similar to that of the Chinese in many respects. They sign contracts with foreign business people to get the relationship started officially. Therefore everything is subject to change and negotiation even after signing the contract. The South Koreans do not regard the provisions of a contract as sacrosanct. They regard the personal relationship and the desire for mutual benefits as the foundation of any business arrangement. In other words, a contract is essentially nothing more than a symbol of this relationship.

### **Conclusion**

It is important to attain “Win-Win” outcomes in dealing with South Korean negotiators. It is more important to develop and nurture the relationships between the parties rather than trying to reach any kind of initial agreement. Americans should keep in mind that the South Korean negotiators may engage in a different

logical process. In addition, American negotiator should not feel the urge to conclude without fully understanding what they are making commitments to. South Koreans' decision making may take a longer period of time than expected. Thus, Americans need to be more patient and to allow adequate time for their partners to ponder over issues. When resolving conflicts between the parties, legal remedy is not well received by South Koreans. In general, compromise is preferred. The attitude toward legal contracts is very different between Westerners and Koreans. In South Korea, on the other hand, a contract is viewed primarily as a symbol of the relationship. Accordingly, it will work to the Americans' advantage to show flexibility and leave room for renegotiation in the future.

South Korean President Park Chung Hee formulated a 5-year plan to boost the South Korea economy with several goals. The ambitious plan had simply looked for better policies in modernizing and preparing for long-term economic success. For the United States companies who want to work with Koreans, these interests and goals are regarded in order to better understand each other's perspectives.

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# Rethinking the Use of “Should” in Translation Criticism

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The use of “should” in the applied translation studies such as translators training, translation aids and translation criticism has proved to be one of the most important tools for progress in the discipline since Holme put forward the basic map of Translation Studies. In this paper, the author discusses mainly the use of “should” in translation criticism, arguing that, the many advantages to be had by this method notwithstanding, there are problems. For example, it is not always fair to judge one translator’s work too soon and too sure; and offering overwhelming advice induces disrespect to the translator. For these reasons, the author argues, it is worth exploring ways of translation criticism beyond traditional mode of “should” which may seem subversive of standard uses, either alone or in conjunction with Descriptive Translation Studies (DTS).

*Keywords:* Descriptive Translation Studies, translation criticism, translation ethics

## Introduction

The use of “should” in the applied translation studies such as translators training, translation aids and translation criticism has proved to be one of the most important tools for progress in the discipline since Holme put forward the basic map of Translation Studies in the Third International Congress of Applied Linguistics held in Copenhagen, 1972. Advances made through their use in applied area of translation are well known and well documented (Christ, 1982; Brown, 1994; Venuti, 1998).

In this paper, the author shall be mainly concerned with the use of “should” in translation criticism, and the author shall argue that, even though it is the standard and also valuable way of using prescriptive words in translation training, translation aids and translation criticism, it is worth exploring ways of translation criticism beyond traditional mode of “should” which may seem subversive of standard uses, either alone or in conjunction with Descriptive Translation Studies (DTS). There are two reasons. One is that real-life situations apply different standards of evaluation to the translated text. It is not fair to judge one translator’s work too soon and too sure. The other is that once the work of criticism gets published, the translator and the critic are positioned in an unfair power relation in which the latter has the upper hand over the former, and offering overwhelming advice on the side of the critic induces disrespect to the translator. Yet we nevertheless ignore this unfairness and condone such criticism.

## The Role of Criticism in Translation Studies

In James S. Holmes’s “The Name and Nature of translation studies” (Holmes, 1988/2000), he put forward

an overall framework, describing what translation studies covers. According to him, translation studies can be divided into “pure” and “applied”. The “applied” branch of Holmes’s framework concerns: translator training, translation aids and translation criticism. As for translation criticism, it concludes the evaluation of translations, including the marking of student translations and the reviews of published translations.

Hence comes the use of “should” in such a category. As Toury has summarized, “the applied extensions cannot be anything but prescriptive” and “they are...to set norms in a more or less conscious way. In brief, to tell others what they should have done and/or should be doing, if they accept these norms (or, very often, the authority of their opponents) and submit to them” (Toury, 1995/2001, p. 19). Toury even points out that the differences between DTS and applied extensions of Translation Studies are “manifested most univocally in the use of verbs”. According to him, “verbs of different categories are typical of each branch, and their actual use in a discourse about translation may therefore serve as a marker of its respective place in the discipline” (Toury, 1995/2001, p. 19). In Toury’s opinion, the typical verb for applied extensions of Translation Studies is “should be”.

Indeed, using “should” for pedagogical purpose is understandable, considering in most situations the trainee pays the trainer to get himself corrected. In translation science area, to criticize properly is also indispensable to the course of development. By learning from mistakes, researchers clarify mist and identify better ideas. And such efforts are accumulated into building up a tower of knowledge.

However, it’s hard to imagine a translator voluntarily invites someone to criticize his own piece of translating work. Besides, the critic does not necessarily translate better than the translator himself. Ronald Christ even found out that many reviewers were not able to compare ST with TT and restricted themselves to often critical comments on individual words (Christ, 1982, p. 21) and Maier noted that translation reviewing was “largely underdeveloped” and one of the suggestions she made is the need “to corporate the contributions of translation theory and translation criticism into the practice of reviewing” (1990, p. 20).

To see the conflicts the normative studies of translation (using “should”) may cause, two cases will be presented and analyzed in the following section.

### Case Study

In the early 20th century of China, when translating a children’s novel, Zhao Jingshen (赵景深) conversed the English term “Milk Way” literally into “Milk Road (牛奶路)” instead of a better-accepted version: “Galaxy (银河)”. His translation was new to Chinese at that time and inflicted public humiliation from a renowned writer, Lu Xun (鲁迅). Being mocked with his ignorance in a ragged verse by Lu (1973), Zhao turned out to be one of the biggest laughing stocks ever in translation history. However, decades later, as China adopts an open-up policy and researchers get to know more about domestication and foreignization approaches, people recalled the story and started writing in the translator’s defense (LENG, 1995; ZHANG, 1996; FANG & ZHANG, 2010). Yet a price has been paid by the avant-garde translator: this scandal cast a shadow on his career all along.

Getting works published brings risks of open criticism. When it comes to translation work, things become harder. In another instance, Prof. Chen Zhongchen (陈忠诚) is our research subject. He is famous for rich knowledge in legal English and little tolerance for any “mistakes” occurred in this area. With a diploma of law from an elite law school before the founding of People’s Republic of China, most of his publications are about

picking flaws in other's work. However, while criticizing, as a bilingual law expert, he's prone to use strong expressions of prescription and he's good at reinforcing his stand with a mocking tone such as “it's hard to believe that ...”, “can I beg your attention to this stupid mistake”, or “can I have the opportunity to learn this stuff from you” in an ironic tone. While pointing out “improper” translated terms, he even uses the word “ignoramus” to address other translation professionals (CHEN, 2004).

The two stories are like the two sides of a coin. They reveal that on one hand, criticism may pose pressure on a translator, fair or unfairly, to the extent of ruining his career. On the other hand, a critic tends to play an aggressive role when judging other's translation work, leaving limited space for defense or explanation, resulting in the pressure on the translator.

Behind the two cases are the commonly held assumptions underlying translation evaluation and the use of “should” in translation criticism:

- that a translation work “should” be “correct”;
- that the critics have the certain right to criticize the translator;
- that the translator, once found made a “mistake”, tends to lose his credibility as a capable professional personnel ever since;
- that translation criticism gets more publicity than the translator's self-defense.

The first assumption is especially implicit in many suggestions for application of criticism either in teaching or in publication. It implies a commonly accepted view on text relations between Source Text (ST) and Target Text (TT), and between the TT and someone's ideal version of the TT.

The rest assumptions, however, can be traced back to the unbalanced power relation between the critic and the translator, a form of manipulation in the name of “should”.

The following sections will discuss the text relation and power relation related to the use of “should” respectively.

### **Use of “Should” in Text Relation**

As mentioned earlier, translation studies can be categorized into two schools: pure or theoretical translation studies and applied translation studies. Accordingly, there exists two schools of translation studies: normative versus descriptive. In normative translation studies, translators are encouraged to adopt certain methods to achieve “equivalence” (Nida, 1964). Translation that is not “equivalent” is considered unsuccessful and needs to be avoided. And that's the motive behind use of “should” by the critic, who holds the assumption that everything “should” be “correct”.

However, it's impossible to define what's “correct”. As Pym (1998) and many others have argued, equivalence may be understood as a belief structure, the creation of a pragmatically necessary illusion. Actually translation itself is “bound up with value” (Hermans, 2004, p. 95). “T(the correct translation”, according to Theo Hermans, “is a translation which accords with expectations about what a good translation should be” (Hermans, 2004, p. 95) and “correctness” itself is a subjective term of evaluation instead of objective. In reality, in order to achieve the so-called “correctness”, the use of “should” is transferred into guidelines and directions. Yet the criteria for “correct” are diversified and subject to context, which means that the use of “should” does not hold much ground as it intends to be.

A translation work has life. Text relations change. The “correctness” varies. The interpretation of a translation work depends on the readers from different context, and the meaning of it changes along with time and space. From this point of view, instead of regulating a translator with “should”, an ethically qualified researcher/critic would refrain from making conclusions too soon and too rigidly.

In this sense, something can be learned from the DTS. Though the descriptivists are unwilling to work toward explicit value judgements regarding translation quality or formulate criteria for accuracy in translation (Newmark, 1991, p. 54), they leave space for exploring new ways of criticizing. As Holmes pointed out years before, theoretical, descriptive and applied areas do influence one another (Holmes, 1988/2000, p. 78) and Peter Newmark also made it clear that “Translation theory’s main concern is to determine appropriate translation methods...Further, it provides a framework of principles, restricted rules and hints for translating texts and criticizing translations, a background for problem solving” (Newmark, 1980, pp. 1-2). For DTS, “describing, explaining and predicting phenomena pertaining to its object level”(Toury, 1995/2001, p. 1) is the main goal of such a discipline and the significance of DTS lies “in the possibility of supplying exhaustive descriptions and explanations of actual behaviour” (Toury, 1995/2001, p. 16). By analyzing and comparing source text and target text, language phenomena are described and norms are extracted from the description. Such a study promotes our understanding of “what is translation” generally and thus contributes to our knowledge of philosophy.

The author suggests that, to a critic with descriptive awareness, a translation work that is beyond common acceptation, like “Milk Road”, which would have been labelled as something “shouldn’t” happen, may be explained as the one that has taken an approach of foreignization, and has introduced new elements into target culture, meanwhile it draws the reader closer to the source culture. By taking such a move, firstly, the critic drops the old-fashioned way of criticizing with “should” or “shouldn’t”. Instead, he describes text relations between ST and TT without overdosed value judgment. Secondly, by summarizing and explaining text relations, the criticism is successfully realized “to its object level”. Thirdly, as the critic discloses the rules of translation using the verb “is”, readers are left with space to ponder over and draw conclusions themselves.

In a word, while the use of “should” dictates fixed text relations between ST and TT, criticism adopting the approach of DTS may win its readers with facts instead of opinions. And it relieves the readers from the burden of accepting the critic’s ideal version of the TT unconditionally.

### **Use of “Should” in Power Relation**

Translation texts do not come from nowhere. As translation researchers mostly deal with theories and texts, translation criticism involves people. When the critic points his finger at a text, a paper or some research data, there are people who translate, write or collect them. Behind the critic, there exists a powerful network of the publishing industry. That explains why Toury addressed the branch of “translation criticism” as “an extension ‘into the world’ of the discipline, but not of it alone” (Toury, 1995/2001, p. 18).

In this publishing industry, the translator plays a weak role, as Fawcett (1995, p. 189) described the complex network as amounting to a “power play”, with the final product considerably shaped by editors and copy-editors. In this power play, by stating what “should” have been done by the translator, a critic is entitled to judgement and he decides which version of translation is “corrector” than the other. In the above mentioned two cases, considering Lu Xun and Chen’s superior social positions to the translators, people tend to agree with them not

because of the “correctness” but because of their previously-gained social credibility. Similarly, a critic can always avail himself of such convenience to have the crowd to choose between him, an established icon, and a novice translator in the translation circle. Face with such a challenge, a translator failing to defend for himself publicly may have his academic career sabotaged, if not totally ruined. This is how the criticism in the name of “should” induces power imbalance.

Take the case of Prof. Chen, again, for an example. On one hand, he is obsessed with minor errors such as the typos (which of course deserves pungent scolding, yet shouldn’t be elaborated too much on) which dilutes the significance of the whole research. On the other hand, instead of focusing on the facts, his criticism was directed at people, causing irrevocable harm to someone’s fame, and such a move even constituted personal attacks. These problems are the representation of power imbalance.

To tackle such problems, the author promotes one principle of ethics: non-maleficence, which means “do no harm”. Of course the use of “should” itself does not violate such principle of ethics. It elicits harm both on individual and business level only if: the person being pointing fingers at is muted, having no chance to defend for himself; the critic’s academic status is overwhelmingly higher than his counterpart; the argument is over trivial issues, which barely match the contribution someone has made in the area of study; while judging other’s work, comments and suggestions are absolute and final, allowing no space for alternation or improvement later on; the point of view is strong and even biased, showing lack of objectivity. In a word, so long as the critic has status advantages over the translator and judges the latter’s work overwhelmingly with the use of “should”, the power relation is unbalanced and unfairness arises.

### Conclusion and Suggestion

What we have discussed is problems of normative translation criticism with the marker of “should”. Despite an commonly accepted idea that the application of translation studies may involve a set of “bridging rules” (Toury, 1995/2001, p. 18), the use of “should” postulates fixed text relations between ST and TT and reinforces the unequal power relation between the critic and the translator. Critic may have hidden ideology behind his criticism, yet the criticism should go beyond identification of errors. To quote Hermans: “the study and the theory of translation has its rationale in the benefit that can accrue from it for the practice of translating and of translator training” (Herman, 2004, p. 151). Considering the deleterious impact of criticizing unethically both on the individual and on the the discipline, the DTS approach offers, at least partly, solution to the problems and may shed light on the discipline’s future progress.

The following principles are recommended to avoid pitfalls of highly intuitive or subjective criticism:

- The criticism is openly published and welcomes any counter opinions;
- Base the criticism on facts instead of regulations;
- Apologize first if the criticism might cause emotional disturbance on the translator; use neutral expressions;
- Focus on the significant part of the work; ensure that the argument is constructive to both parties involved and to the subject of science;
- Knowing it’s risky to jump at an absolute conclusion without flexibility in arts of science unless you are 100% sure about this point of view;
- Use impersonal language; respect people who are under criticism; no personal or biased judgment against others.

The most of we can hope for is for the critics to reconsider their use of “should” and to reflect the impact of their overwhelmed advice on text and power relations. Above all, criticizing convincingly is realized through criticizing ethically.

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# Level of Independence in Georgia Throughout the 14th Century

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In 1329-1334, George the Brilliant took advantage of the situation created in the Ilkhanate, eliminated his political opponents and restored the territorial integrity of Georgia. He created a solid legal basis for the country and regulated the ecclesiastic area. He was in West Georgia in 1329-1332/1333. The Ilkhanid coin was not minted in Georgia during that period; yet, soon the king of Georgia, which had already been united by that time, restored relations with Ilkhanids and returned to Tbilisi, which implied making the already united Georgia subject to Mongols. Ilkhanid coins and later, coins of Chobanids, the Golden Horde and Jalayirids circulated during the reign of George the Brilliant. In 1338-1339 George the Brilliant conquered Ossetia and Ilkhanid coins were disseminated on the territory of the Golden Horde after that. Formally, Georgia remained under the control of Ilkhanids, which was replaced by Chobanids in 1338 and the governors of the Golden Horde in 757/1356; and in parallel and afterwards by Jalayirids, which is evidenced by written sources as well as numismatic data; Despite formal dependence on the foreign power, which is evidenced by the deployment of 10,000 troops at the border of Georgia as well, the country enjoyed a rather wide internal autonomy. Participation of George the Brilliant in sending envoys for the purpose of the redemption of the Jvari (Cross) Monastery in Palestine in 1316/7, 1320 cannot be assumed. It seems that in those years envoys were sent by Constantine, the king of West Georgia. All the above do not diminish the merits of George V to the Georgian nation and his historic role in terms of the political unification of the country, the creation of a legal basis for it and the regulation of ecclesiastic affairs—the accomplishments of the king, who deservedly bears the name “the Brilliant”.

*Keywords:* George the Brilliant, Mongols, the Ilkhanate, Georgia

## Introduction

Merits of King George V the Brilliant in gaining the independence of Georgia are exaggerated in Georgian historiography to a certain extent. Lack of sources complicates the clarification of the issue. The Ilkhanate collapsed in the reign of George the Brilliant and as a result, the Near East and the entire Caucasus were involved in feuds and confrontations. When George the Brilliant died in 1346, there was an outbreak of plague in the region. It was not an appropriate time to write history in the country.

In the relevant period, in the 30s-40s of the 14th century Hassan the Big (Bozorg) Jalayirid, Hassan the Little Chobanid and his brother Ashraf stood behind the marionette khans in the Ilkhanate. The Jalayirid tribe played a significant role after the death of Abu Sa'id (1317-1336). Hassan the Big (Jalayirid) declared himself as a king, conquered Iraq and declared Bagdad as the capital. Hassan the Great enthroned the first three khans after Abu Sa'id (Stanley, 2004. p. 177). The Jalayirid Dynasty existed until 1410 and their state encompassed a large part of Persian Iraq, with Hamadan, Qazvin and Sultanate and also, Kurdistan, South Azerbaijan,

Karabakh, Arabian Iraq, Armenia, Shirvan and Georgia in different times. After Hassan the Big (Bozorg) (1336-1356), his sons Sultan Hussein and Uwais were dividing Jalayirid lands. Hussein was replaced by his brother, Sheikh Uwais (1356-1374), then there was Jalal Ad-Din Hussein (1374-81) and finally, Sultan Ahmed (1382-1410). The Chobanids, Jalayirids and governors of the Golden Horde fought for territorial redistribution. After Ilkhanid Abu Sa'id, Chobanid Hassan the Little deprived his Jalayirid rival of Tabriz in 1338 and expanded his kingdom to the northwest with Azerbaijan and the Persian Iraq and possessed them until his death (1343) (Rene, 1982, p. 465).

There is a controversy about the duration of the Mongol rule in Georgia. Some scholars associate the complete independence of Georgia with George the Brilliant, while others do not share this opinion.

### **Vakhushti Bagrationi About George the Brilliant**

The old edition of “Kartlis Tskhovreba”—“History of Georgia” ends with the enthronement of George the Brilliant. The chronicler limits himself only to several words about the years in question. Later, this gap was partially filled by the continuers of “Kartlis Tskhovreba” and later still by Vakhushti Bagrationi. As mentioned by M. Brosset, he must have had the chronicles which were not included in the text created on the initiative of his father, Vakhtang VI.<sup>1</sup>

Vakhushti’s text is more complete as compared to other sources and all scholars who have ever addressed the reign of George the Brilliant mainly refer to it.

Several points draw attention in Vakhushti’s information. First of all, the dates are noteworthy. According to Vakhushti, George the Brilliant was enthroned in 1318 and died in 1346. During his reign, George V “conquered Georgias, Armenia (Somkhiti), Hers and Kakhs, Kartli, Meskhs, Tao, Shavsh-Klarjs up to Speri and the sea” (Batonishvili, 1973. p. 255); “entered the Caucasus and devastated those staying there, subdued the disobeying and brought them under tribute”, “freed Kartli from Ossetians, as he conquered all the roads”, “gathered troops again and entered Ran; nobody could confront him and from there he entered Shirvan and subordinated them too; and he brought under tribute those staying up to Derbent, including Kurds and Leks. Then he returned to Tbilisi with power” (Batonishvili, 1973. p. 257). Vakhushti informs us how George gained independence for the country: “That time George the Brilliant took advantage, expelled Tatars from Georgia—some by struggle and power and eliminated them within his borders. Then he gathered all eristavis and nobles of the country at the royal gathering on Tsivi of Hereti and liquidated all who disobeyed him and appointed eristavis obeying him in all places, with which he subdued the majority” (Batonishvili, 1973, p. 256). The unification of the country, the situation in West Georgia after the death of David Narin, a confrontation in the royal family, the loyalty of nobles of West Georgia to George, the way King George approached Kutaisi with an army where Michael’s son Bagrat was sheltered are also described here:

He pleaded King George not to punish him by death, i.e. imprisonment, and to give an estate in Imereti and he would come before him and give all fortresses of Imereti to the king, as the Lord gave him power. (Batonishvili, 1973, p. 257)

When Dadiani Mamia and Gurieli and the eristavi of Svans and Abkhazeti Sharvashidze saw this, they came to him with numerous gifts and blessed his kingship in Imereti and All Georgia. Then he entered Odishi, from there—Abkhazeti, administered affairs there, conquered the fortresses and gave the principality of Tskhumi to Bedieli; he inspected Guria, administered affairs there and came to Samtskhe... (Batonishvili, 1973, p. 258)

<sup>1</sup> Histoire de la Géorgie depuis l’antiquité jusqu’au XIX siècle traduite du Géorgien par M. Brosset, I-re partie, Histoire ancienne, jusqu’en 1469 de J. C. (S. Petersbourg, 1849), p. 644.

Sargis died (1334), (Giorgi) granted the title of Atabeg to his son Qvarqvaré and appointed his eristavis in Klarjeti, Speri, Kalmakhi, Artanuj and Samtskhe of Artaniand Tsuni and granted some of these principalities to uncles and cousins of Qvarqvaré Atabeg... (Batonishvili, 1973, p. 258)

Here we have information on the legislative activities and ecclesiastic affairs of George:

The King considered the cases of mountaineers and Caucasians again, as many of them “were disobedient”, gathered troops, entered the Caucasus and subordinated most people there. From there he went to Tskhradzma, he came to Mukhrani and brought with him the leaders of Christians in the Caucasus and Khevisberis; together with them he entered Tbilisi, administered justice for them and codified rules for them to follow. Catholicos Epvtime died and Basil replaced him. (Batonishvili, 1973, p. 258)

Vakhushti provides information about the external achievements of George, which will be discussed later. Finally, the years of reign of George are summarized:

He dominated over All Georgia and Caucasians were subordinated to him from Nikofsis to Derbent; Ran, Movakan and Sharvan again paid tribute to him and nobody was against him or disobeyed him, he gathered catholicoes and bishops of Iveria and they renewed the rules and order of church and clergy, called to order believers and excommunicated those who were disobedient... (Batonishvili, 1973, p. 259)

Lastly, Vakhushti compares George to David the Builder. He talks about his construction and development activities and adds: “He made Ran, Sharvansh and Movakan pay tribute to him” (Batonishvili, 1973, p. 259).

### Opinions About George the Brilliant in Scholarly Literature

All the data about George the Brilliant provided above are repeated in textbooks and researches with slight differences. At the same time, sending an envoy for the redemption of the Jvari Monastery twice (1316/1317 and 1320), information on the termination of the tribute payment to Mongols and minting a new coin—Giorgauli—by the king are added to the merits of George described by Vakhushti. There is a controversy in scholarly literature regarding all the information presented here.

In one commentary, M. Brosset provided a list of Ilkhanids, some information on commanders of the Mongolian army deployed in Georgia and the Ilkhanid Öljeitü and the great vizier of Abu Sa'id Choban, the renunciation of one of his sons, the order to kill him, the rebellion of Choban in response to it, his escape to Hereti and his murder by the governor by the order of Abu Sa'id, as well as the torturous murder of the governor of Georgia and Armenia—the fourth son of Choban, Sheikh Mahmud in Karabakh; the enthronement of Arpa Khan, one of the descendants of Tolui, one of the sons of Genghis Khan in Karabakh after the death of Abu Sa'id on November 30, 1336 and the nomination of another candidate, Musa, in a short period.

According to M. Brosset, Arpa was murdered and replaced by another successor of Hulagu, Muhammad, who relied on troops of Rums and Georgians but was defeated in the fight of July 24, 1336 (Beradze & Sanadze, 2003, p. 646). As it appears, M. Brosset made an inaccuracy which was later repeated in the work of N. Urbneli “George the Brilliant”.

Urbneli mentioned that “as Muhammad, a descendant of Ulo Khan commanded our troops in the battle of 1336, it means that Georgia was a vassal to Mongols in that period and was freed later” (Urbneli, 1889, p. 74). However the same researcher does not share the opinion of the scholars who “do not believe in the autocracy of the king and argue that till the end George the Brilliant was a vassal and not somebody else” (Urbneli, 1889, p. 80). To substantiate that Georgia gained independence in the reign of George the Brilliant, N. Urbneli refers to data from “Dzeglisdeba” (the law issued by George the Brilliant)—available to M. Brosset as well—where the

expansion of power of George the Brilliant to the entire kingdom is addressed (We had power “over our entire kingdom and possessed the throne and the scepter” (Javakhishvili, 1966, p. 263)). “Although initially he was a vassal, yet ... gradually he freed himself from being a vassal and absolute independence was established”, writes N. Urbneli. He assumes that this happened during the unrest with Ilkhanids (Urbneli, 1889, p. 82).

We would like to note that information of M. Brosset seems to be derived from the composition of Hafiz-iAbru. However this information is irrelevant and inaccurate in this case. In the Persian source, the information actually addresses the period when relations between Abu Sa’id and the Chobanid family became strained before repressions against Emir Choban and his family were carried out. In connection with this, the family members gathered and discussed the situation. They expressed an opinion that they could easily defeat Abu Sa’id. Afterwards they listed their forces and finally mentioned: “When our brothers, Timur-Tash and Mahmud know about our rebellion, they will gather the troops of Georgia and Rum, rebel against the central power and this will be a perfect solution to stop the royal army from each side” (Hafiz-i Abru, 1936, p. 101). As we can see, this information addresses an absolutely different time and other events. At the same time, Mahmud, who is Choban’s son, is not mentioned alone and Timur-Tash, the other son of Choban is mentioned along with him. Thus, the provided information cannot be used to substantiate the dependence of Georgia on Mongols after 1327.

British scholar David Lang starts the reign of George the Brilliant from 1314 and divides it into two periods: before 1327, i.e. before the death of his patron—Emir Choban, and further, before death of the Georgian king in 1346. We can agree with such a division. In the opinion of D. Lang, although Choban restored George’s control over Meskheti, Samtskhe-Saatabago, Southwest Georgia, which had been earlier transformed into a province directly dependent on Ilkhanids Ilkhan Abagha, after the defeat of Choban he lost control over East Georgia and Tbilisi, which was compensated by the unification of West Georgia under his scepter, after forced resettlement to West Georgia. Due to the weakening of his control over East Georgia, Hassan the Little intruded there in 1338 (Lang, 1955, p. 84).

D. Lang does not trust the Georgian sources, according to which George joined not only West Georgia, Samegrelo, Abkhazeti and other Black Sea coast regions, but also, Azerbaijan, Shirvan and the Caspian Sea coast up to Derbent and Mongolian noyons left Georgia and there were no Tatars in Georgia; entire Georgia and the Caucasus from Nikofisto Derbent fell under the scepter of George the Brilliant (Lang, 1955, p. 83; Beradze & Sanadze, 2003, pp. 646-648; Batonishvili, 1973, pp. 277-280). Based on numismatic data, D. Lang expresses an opinion that the Mongol rule in Georgia continued during the first half of the 14th century.

To substantiate his opinion, D. Lang uses various sources to offer various arguments which are not shared in Georgian historiography. D. Lang’s judgment and conclusions received different responses at different times.

We would like to state in advance that we do not share the opinion of D. Lang according to which George the Brilliant lost control over East Georgia in 1327 and that Georgia significantly weakened since then. At the same time, we will focus our attention on some data provided by sources, the unreliability of which, in our opinion, is improperly substantiated in scientific literature.

The first person to question the basic opinion of D. Lang on Georgia gaining absolute independence from Mongols only in the second half of the 14th century was V. Gabashvili (Gabashvili, 1960, pp. 121-146). According to the judgment of V. Gabashvili, a necessary condition to gain independence is to quit paying tribute. The opinion sometimes expressed in the form of a careful assumption—“Certainly, George the Brilliant would not find it difficult to expel and eliminate the Mongolian army and all of their officials staying in

Georgia" (Javakhishvili, 1966, p. 261), and sometimes more categorically, that payment of tribute to Mongols as well as withdrawal of troops of conquerors was stopped in the late 1320s accepted in historiography earlier is shared here as well (Berdzenishvili, Dondua, Dumbadze, Melikishvili, Meskhia, & Ratiani, 1958, p. 251).

At the same time, in his work V. Gabashvili reviews Persian sources and considers numismatic data where a different situation is presented. Despite this, according to the conclusion of V. Gabashvili, due to the fact that "a rather difficult situation was created in the neighboring countries of Georgia in 1335-1350 ..." and the Ilkhanate was involved in feuds,

...the main field of battle was Azerbaijan, but it was also expanded to the farthest southeastern parts of Georgia. Tatar tribute and coin must have appeared .... in such a situation ... but ... the dependence of Mongols must have been only of a formal nature now. (Gabashvili, 1960, p. 141)

### **Date of Termination of Payment of Tribute to Mongols**

Information of Hamdallah of Qazwinis reviewed in the abovementioned work of V. Gabashvili. According to his composition written in 1339-1340, 120 tumans (1,202,000 dinars or 7,212,000 dirhams) were received from Georgia in 1336. In this source "On Georgia and Abkhazia" we read:

There are five cities there and the climate is cold. It borders the lands of Aran, Armenia and Asia Minor; in the reign of their kings the income reached about five million dinars according to the current exchange rate and in present times, the government receives only 1,202,999 dinars. The capital of regions of Georgia and Abkhazia is Tbilisi. (Hamd-Allah of Qazwin, 1919, p. 94)

The fact that the author seems to be describing the situation of his time is also noteworthy. He knows well that Georgia is united (Hamd-Allah of Qazwin, 1919, p. 94).

Apart from Hamdallahof Qazwin, V. Gabashvili also addresses the composition of Abdullah bin Mohamedbin Kiya Al-Mazandarani "Resalay-e Falaqia", whose information, as assumed in literature, mainly belongs to 1333-1363; the earliest information to 1333 and the latest to 1430-1466 (Ashurbeili, 1979, pp. 38-46). According to this composition, in 1350 Georgia paid tribute in the amount of 40 tumans—400,000 dinars, Aran—82 tumans—820,000 dinars; Armenia—54 tumans—540,000 dinars. According to this data, 120 tumans were changed to 40 tumans in a short time and 120 tumans were reduced twice as compared to the years of rule of Kazan-Khan. However, tribute was not abolished.

Researchers have made different comments in respect to the information of these two sources. In the opinion of V. Gabashvili, the information of Hamdallah of Qazwin is trustworthy; however the payment of tribute must have been an episodic occurrence rather than the rule of Mongolian tribute payment system in Georgia (Gabashvili, 1960, p. 141). In the opinion of R. Kiknadze, the data of Hamdallah of Qazwin are provided from the book of the preliminary distribution of taxes (according to "Davtare Kanun") and corresponds to the income of the period of Öljeitü (1304-1317) and not the 1330s (Kiknadze, 1992, pp. 169-184). Therefore, R. Kiknadze concluded:

As we know that in 1336-1340, in the era of feudal feuds and rebellions, even half of the amount collected during the rule of Kazan-Khan was not accumulated in the treasury, it can be said that Georgia was not paying tribute to Mongols in that period ... Abu-Sa'id died without an heir in 1335 and his distant relative Arpa-Khan was enthroned. A violent struggle broke out in the state between those who wanted to be enthroned. The confronting feudal groups elevated their marionettes (Musa-Khan, Mohammed-Khan, Sati-Beg, Suleiman-Khan, etc.) to the Ilkhanid throne. However these marionettes did not have the actual power. Certainly, Georgia would not pay tribute to Mongols in such a situation. (Kiknadze, 1992, p. 180)

It is not indicated when exactly Georgia stopped paying tribute to Mongols.

The information of Hamdallah was considered to be untrustworthy by V. Kiknadze as well. In the opinion of the scholar, one of the reasons for “the twofold reduction” of the income of Ilkhanids was the withdrawal of several regions and among them, first of all, Georgia in the 1330s (Kiknadze, 1989, p. 85). If the information of Hamdallah, as assumed by R. Kiknadze and agreed by V. Kiknadze, corresponds to the era of Öljeitü, it appears that in the period of Öljeitü, i.e. before the enthronement of Abu-Sa’id, Georgia was independent.

W. Hinz moved the information of Al-Mazandarani to the period of Abu-Sa’id (1316-1335). In his opinion, Gilan, Shirvan, Georgia and Asia Minor could not have paid tribute to Sheikh Hassan Jalayirid, the predecessor of Uwais 757-776 (1356-1374) in 1349-1350, because it was Uwais who deprived the Golden Horde of Azerbaijan and Tabriz in 759/1357/1358, joined Mosul and Diyarbakir to his possessions and established control over Georgia (Kiknadze, 1989, p. 88).

D. Lang considered the information of Al-Mazandarani to be trustworthy, disagreed with the doubts of W. Hinz and mentioned that Al-Mazandarani had to use the books of Al-Ashraf which must have fallen into the hands of Jalayirids in 1358 when they conquered Tabriz (Lang, 1955, p. 89).

V. Gabashvili considered the information of Al-Mazandarani as well as that of Hamdallah of Qazwin to be trustworthy and like in the first case, assumed that the payment of tribute was episodic in this case as well (Gabashvili, 1960, p. 143). S. Ashurbeyli changed the date of the composition of Al-Mazandarani, which was dated 1363 by W. Hinz, and assigned the year 1467. The researcher considered the information of Hamdallah of Qazwin to be completely trustworthy and considered the 40 tumans of Al-Mazandarani to be doubtful as compared to it. In his opinion, such an amount is possible for the late 14th century (Ashurbeyli, 1979, pp. 45-46).

V. Kiknadze totally agreed with this doubt and on his part, assumed that 40 tumans mentioned by Al-Mazandarani reflect the situation of a much later era, namely, it is the tax collected in the reign of Jahan Shah (1438-67) (Kiknadze, 1979, p. 91).

### **Persian Sources on Georgia in the Reign of George the Brilliant and the Following Years**

V. Gabashvili refers to historic compositions of continuers of the work of Rashid Ad-Din (Hapiz-iAbru, AbdAr-Razzak Samarcandi, who relies on Hapiz-i Abru in the section of interest to us), according to which Azerbaijan and Georgia are under the control of Chobanids and Jalayirid in the 1340s and the 1350s.

After the collapse of Choban and the disintegration of the Ilkhanate following the death of Abu-Sa’id (1336), Georgia was still under the control of Ilkhanids. This is confirmed by the composition of Abu Bakr Al-Qutbi Al-Ahar “History of Sheikh Uwais”, according to which Mongols appointed the son of Kutlug-Shah, Ikbal-Shah as the governor of Georgia instead of Muhammad, the murdered son of murdered Choban and in 1334 this title was given to Sheikh Hassan Jalayirid, who was known as “the Big” 734/12.IX.1333-31.VIII, 1334 (Abu Bakr al-Kutbi al-Axari, 1984, pp. 13-14).

In winter the Sultan went to Bagdad, sent ayarliqto Emir Sheikh Hassan so that he could move to Georgia. The emir went there ... Kurak Maliq (supposedly George the Brilliant-G.A.) arrived to His Majesty Emir Taj Ad-Duniya Va-d-Din Sheikh Hassan and devotedly served him. Ordinance of the Padishah was issued again stating that entire Rum belongs to Taj Ad-Din Sheikh Hassan and so he must arrive there. (Abu Bakr al-Kutbi al-Axari, 1984, pp. 14)

Despite rather detailed information, the data of Abu Bakr Al-Ahar Al-Kutbiis not considered to be trustworthy in Georgian historiography. According to the commentary of T. Beradze and M. Sanadze,

In 1333-1334 Ilkhanid Khan Abu Sa'id appointed Hassan Jalayiridas *Shihna* or deputy (substitute) of Khan in Georgia. George the Brilliant did not let him enter Georgia. Hassan Jalayirid was the last *Shihna* appointed by Mongols in Georgia. Thus, Georgia became free from Mongol yoke formally as well. (Beradze & Sanadze, 2003, p. 209)

As we can see, the situation presented in the above commentary does not correspond to the information provided by Abu Bakr Al-Kutbi Al-Ahar. The only reason why researchers made such a conclusion is that it is not clear from the source who was appointed instead of Sheikh Hassan in Georgia after he was moved to Rum. However, Hassan appointed in Georgia earlier arrived there and was accompanied by Kurak Maliq (supposedly George the Brilliant) who devotedly served him.

The events of these years are addressed by V. Kiknadze, who mentions that George V expelled Mongols not only from the territory “of” Georgia, but held a campaign to former vassal countries, Ran and Shirvan and “brought them under tribute” (Batonishvili, 1973, p. 257; Kiknadze, 1979, p. 70). One of the sources, “Testament” by Cyril Donauri (dated March 5, 1333) is provided to confirm the above fact, on the basis of which “it becomes indisputable that George V held a campaign to Ran (Gandza) and Shirvanas early as the lifetime of Abu Sa'id” (Kiknadze, 1979, p. 71). Though the document mentioned here is dated, it is not clear from the data provided in it when the relevant fact happened. It is not excluded that the battle mentioned there happened in the period of Emir Choban or even after the restoration of relations of George the Brilliant with Ilkhanids against Uzbek Khan, while George the Brilliant might have been protecting the interests of Ilkhanids against forces invading from the north in this case. We will refer to the document:

When King George defeated Agarians in Ganja and Shirvan, our people from Shaki and Kurmukhi fought and defeated the enemy and therefore, the undefeatable George gave us commendation and granted us the lands of Kishel-Kurmukhi... Christianity strengthened with the help of King George the Brilliant among mountaineers and the unity of Georgia strengthened again. This was described: in choroniconka (25), the month of March, the 5th. (Janashvili, 1894, p. 206)

The “Agarians” mentioned in the information might have been the forces of the Golden Horde.

In the composition of Hapiz-iAbru (died in 1430/31), the events of spring, 1339 are preceded by information that after conquering the Persian Iraq, Azerbaijan, Aran, Maragha and Georgian regions, Sheikh Hassan Choban triumphantly entered the Sultanate and stayed there until the end of winter (Hafiz-i Abru, 1936, p. 131), i.e. Georgia was conquered by Hassan the Little—the son of Emir Choban’s son, Timur-Tash (who first stayed in Rum during repressions and later found an asylum in Egypt and was killed by the Sultan of Mamluks in 1328. His head was sent to Ujanin February 1328 (Hafiz-i Abru, 1936, p. 107). In a part about the events of 1347, the same chronicler provides information that after an unsuccessful attack on Bagdad, Maliq Ashraf returned to Tabriz and governed what remained in his possession from there. Among the units listed here: Azerbaijan, Persian Iraq, Aran, Mughan, Kurdistan, the chronicler mentions Gurjistan (Georgia) again. According to him, loyal persons were appointed as the emirs (Hafiz-i Abru, 1936, p. 148). According to Hapiz-iAbru, various subjects rebelled against Hassan the Little in 1342. Some of them sheltered themselves in the possessions of Hassan Bozorg (the Big) Jalayirid and Hassan Choban had to handle them. In this period Hassan’s brother Maliq Ashraf defeated Pir-Hussein who escaped to the Sultanate (Hafiz-i Abru, 1936, p. 136). After that, Maliq Ashraf, afraid of his brother, sheltered himself in the province of Georgia (Hafiz-i Abru, 1936, p. 136), which is considered to be an argument for the independence of Georgia by V. Kiknadze (Kiknadze, 1989, p. 94), unlike D. Lang, who considers this fact to be the conquering of Georgia by Ashraf (Lang, 1955, p. 91). We think that neither opinion is true. Ashraf, who had not openly confronted his brother yet, could also

have escaped to the province under Chobanid control, namely to Georgia which is mentioned among provinces under Chobanid control where emirs, loyal to Chobanids, were appointed during the events of 1347. However, V. Kiknadze also considers the above information dated 1347 provided by the same chronicler to be doubtful (Lang, 1955, pp. 89-95), as the chronicler does not mention a specific battle. The researcher argues with D. Lang and V. Gabashvili who base their assumptions on the information of Hafiz-i Abrū and consider that only East Georgia was conquered. However, it is not important to specify which part of Georgia was conquered to clarify the issue. The only fact that Georgia is mentioned in the information of the source and researchers mention only East Georgia, cannot be enough to cast doubt on the information of the source. Rather, mentioning Gurjistanin general by Hapiz-i Abrū during the years when Georgia was a unified kingdom is absolutely expectable, while the clarification of D. Lang and V. Gabashvili, unjustifiable.

While questioning the above excerpt from the composition of Hafiz-i Abrū regarding the conquest of Georgia by Hassan the Little in 1338, V. Kiknadze refers to the information of Vakhshuti Bagrationi—"the noyon who conquered Adrabagan, began to conquer Somkhiti (Armenia), Ran and Movakan and approached Ganja to subdue King George as well" (Batonishvili, 1973, p. 258). "There was a fierce struggle; with the help of the God, the king's warriors eliminated the troops of the enemy by sword repelled and he returned victorious with trophies" (Batonishvili, 1973, pp. 258-259). The researcher concludes that information of Vakhshuti "on the victory of Georgians in the battle must be correct", as he assumes that Vakhshuti must have used trustworthy contemporary sources, "the struggle between Georgia and Ilkhanid heirs had an episodic nature and had variable success" (Kiknadze, 1979, pp. 501-503). In another case, the same researcher mentions that "Georgian King George V could not have failed to take advantage of the situation created in the Ilkhanate to finally end Mongol rule in Georgia" (Kiknadze, 1989, p. 70).

### Numismatic Data

According to the opinion substantiated in scientific literature, George the Brilliant never minted a national coin (Dundua & Dundua, 2011, p. 46).

An assumption was made several times that Georgia was still subordinated to Ilkhanids in the period of Ilkhanid collapse. Apart from the above information of Abu-Bakr al-Ahar, coins minted in Georgia in the name of Ilkhanids represent a solid basis for the above assumption: coins of Arpa Khan 736/1335-1336, Muhammad Khan 738/1337-1338, Sati Beg Khatun 739/1338-1339, Suleiman Khan 740/1339-1340, 741/1340-1341, 743/1342-1343, Anushirvan 745/1344-1345, 748, 750-756/1349-1355. As we can see, minting coins in the name of Ilkhanids continued in Georgia even after 1336 (Ghvaberidze, 1986, pp. 42-43). Despite the fact that there is often a controversy in literature regarding numismatic data used to define the years of rule of George the Brilliant, it is by using numismatic materials that Bartholomew, Frean, Stanley Lane-Pool, Markov, Pakhomov, Lang, Jalaghania and Ghvaberidze make a conclusion that Georgia was under the control of various external forces even during the 14th century.

After Abu Sa'id, as we have already mentioned, Persian Iraq, Azerbaijan, Aran, Maragha as well as Georgia were occupied by Chobanids, whom Jalayirids as well as the governor of the Golden Horde, Uzbek Khan had been unsuccessfully trying to defeat by for a certain while. The border between the Golden Horde and the Ilkhanid state passed through Derbent.

Sources do not provide information on the way Georgians were dependent on Chobanids. There is a hint at their relations in the composition of Al-'Umar (written after 1340), where Georgian warriors are mentioned:

They represent the force and wealth of the Hulaguid army, and Hulaguids trust and rely on them, especially Juban's children, grandsons and other descendants because of the past kindness and good deeds of Juban towards Georgians, who was a sincere friend of their king, Bartilma, made kindness with him and called on to protect the (entrusted) treasure. (Gocholeishvili, 1988, p. 51)

True, after Suleiman power was seized by Chobanids in the Ilkhanate, yet despite their military success, neither Hassan nor his brother Ashraf dared to declare themselves as sultans. Therefore, coins minted in their name are not known either (Ghvaberidze, 1986, p. 40). At the same time, coins with the title of "Fair Sultan", without the name of the sultan, have been found. E. Pakhomov associates these coins with Chobanid Ashraf. As mentioned by T. Ghvaberidze, a coin of this type minted in Tbilisi has also been discovered in the collection of E. Pakhomov. It is now saved in the main Georgian depository of the numismatic section of the State Museum of Georgia (Ghvaberidze, 1986, p. 40). Thus, both written sources and numismatic data confirm the dependence of Georgia on Chobanids.

Due to the strict Chobanid regime, local feudal lords of Azerbaijan applied to the governor of the Golden Horde, Uzbek Khan (1318-1342) for assistance. Uzbek Khan failed to achieve the goal despite numerous attempts. Struggles continued in the period of Janibek (1342-1357) who defeated Chobanid Maliq Ashraf, seized Tabriz and joined the Ilkhanate only in 758/1356-1357. Written sources mentioned the year 758, while coins-757, the latter being considered more precise (Dundua & Dundua, 2011, p. 52). According to the opinion expressed in historiography, governors of the Golden Horde must have seized the capital of Georgia for a short period, as in 757 Tbilisi Mint also had the monetary regalia in the name of Janibeg and Muhammad Berdibek between 756-759 (Pakhamov, 1970, p. 190; Dundua & Dundua, 2011, p. 52; Ghvaberidze, 1986, pp. 44-45), while the name of Sheikh Uwais was imprinted on Tbilisi silver coin in 759 (Pakhamov, 1970, p. 190). As it is known, the son of Sheikh Hassan the Big (Bozorg), Uwais (757-776) conquered Azerbaijan and the territories adjoining Georgia from the south and the southeast. As mentioned by E. Pakhomov, due to the fact that chroniclers do not mention the dependence of Georgian Kings on Jalayirids, the evidence of coins is especially important (Pakhamov, 1970, p. 191).

In the second half of the 14th century, in addition to Ilkhanid coins, Golden Horde and Jalayirid coins also circulated in East Georgia. According to a substantiated assumption, in the late 1330s North Ossetia became subordinate to Georgian kings (Ghvaberidze, 1986, p. 45) and because of that the coins which circulated in Georgia appeared on the territory of the Golden Horde. According to T. Ghvaberidze, the coins minted in the name of the final Ilkhanids and Jalayirids appeared in the North Caucasus, on the territory of the Golden Horde after George the Brilliant joined Ossetia to Georgia. Coins were minted in the name of Ilkhanids in Alagir Mint in 739-759/1338-1339 – 1357-1358. During the Chobanid rule in Transcaucasia, the Jalayirid coin was also minted in parallel to the 757/1356 coin of the governor of the Northern Horde, Janibek. In 757 monetary regalia was exercised in the name of Jalayirid Hassan Bozorg (the Big). T. Ghvaberidze explains the appearance of coins in the name of Jalayirids at the time when the Golden Horde overthrew the Chobanid rule in the Ilkhanid Iran by the fact that Chobanid Maliq Ashraf was forced to recognize himself as the vassal of Jalayirid Hassan the Big (Bozorg) after being defeated by the latter.

Chobanid Maliq Ashraf regained the position the same year, and the locals applied to the north for assistance again (Ghvaberidze, 1986, p. 46). Soon after the conquest of Azerbaijan, the governor of the Golden Horde, Janibek goes back and leaves his son, Berdibek in Azerbaijan. Berdibek leaves the country due to his father's illness and leaves his vizier Akhichuk, who declares independence. In 759/1357-58 Persian Iraq and

South Azerbaijan were conquered by Muzaaffarids who (like Akhichuk) were defeated the same year by the son of Jalayirid Sheikh Hassan Bozorg, Sheikh Uwais (Ghvaberidze, 1986, pp. 46-47). In the opinion of E. Pakhomov, it was Akhichuk who minted anonymous Jalayirid coins (Pakhamov, 1956, p. 48). Thus, monetary emission in Georgia was subjected to Jalayirids. Considering numismatic data, it is concluded that Georgia was still subject to Mongols in the reign of the son of George the Brilliant—David IX and Bagrat V (Ghvaberidze, 1986, p. 48).

All data reviewed here were known earlier. However, they were explained differently. Unlike the researchers who think that the political dependence of Georgia was not achieved during the 14th century despite unification (“Statement of the chronicler that Kartli it totally cleansed from Tatars in the reign of George V is an apparent exaggeration”) (Pakhomov, 1970, p. 201), a part of researchers consider that “coins are minted in the name of Jalayirids and the Golden Horde Khans by the Georgian Royal Court, which is guided only by economic considerations”. This is the opinion of V. Kiknadze (Kiknadze, 1989, p. 81). The same opinion was earlier expressed by some numismatists, for example, D. Kapanadze (Kapanadze, 1964, pp. 63-78).

### **The Second Half of the Reign of George the Brilliant (Since 1327)**

Let's go back to the era of George the Brilliant, namely, what happened to the king of East Georgia in the years of repressions carried out against Emir Choban and his family and in the following years? D. Lang refers to precedents from the history of Georgia, namely the relocation of Rusudan to West Georgia during the invasion of Jalal ad-Din, the relocation of Rusudan's son, David Narin to West Georgia due to confrontation with Mongols. Afterwards the scholar assumes that George the Brilliant acted the same way and to survive sheltered himself in West Georgia (Lang, 1955, pp. 86-87).

We consider that this is not excluded and numismatic data support this again.

Interestingly, coins were not minted in Tbilisi from 729/1328-1329 to 1333. Ilkhanid Abu Sa'id introduced a new chronology on the coin of 733—the Ilkhanid period which starts from 701/1301-02. But a question is raised: what was happening in the meantime and where was George the Brilliant during that period? It is not excluded that the fact mentioned in several manuscripts (by Chalashvili, Machabeli and Janashvili) of “Kartlis Tskhovreba” occurred before the relocation of George to West Georgia:

In the reign of King George, they were confronted by Genghis Khan and sons of David Narin confronted each other in Imereti and King George got the upper hand, gathered the dukes of Heret-Kakheti and Somkhiti (Armenia) who supported Genghisat Tsivi in Kakheti and eliminated them. (*The Georgian Chronicles*, 1959, p. 325)

George moved to West Georgia where Constantine, son of David Narin died in 1327 and was replaced by his brother Michael. The latter, in his turn, died in 1329 and “left little son Bagrat”. However, according to Vakhsheti, the process of Georgia's unification was flowing peacefully, “Bagrat did not dare to become a king due to his early age and disobedience of dukes, as they did not support him” (Batonishvili, 1973, p. 257). At the same time, the same dukes “supported the reign” of George the Brilliant, “as he became more powerful” (Batonishvili, 1973, p. 257). Probably, this process was not painless and a lot of work preceded it. “He gathered his strong troops, passed the Lichi Range with his troops and the Imeretians who saw it, met him joyfully”,

Bagrat, son of King Michael was taken to Kutaisi by his mentors and loyal persons and placed in the fortress. King George, who was informed about that, approached Kutaisi. Bagrat could not oppose him and being in a difficult situation

pleaded King Georgea while not to punish him by death, i.e. imprisonment, and to grant him an estate in Imereti and he would come before him and give all fortresses of Imereti to the king, as the Lord gave him power. The king was pleased to hear this and promised to fulfill his wishes. Hearing that, Bagrat appeared before King George and gave him all fortresses of Imereti. (Batonishvili, 1973, pp. 257-258)

The date is specified here—1330; “and he appointed his dukes there; and gave the Duchy of Shorapani to Bagrat and made him an eristavi there” (Batonishvili, 1973, pp. 257-258).

Information provided by Vakhushti makes it evident that the king was not in Tbilisi for a long period of time. During this period he inspected Odishi, Abkhazeti, “administered affairs there, seized fortresses and gave the principality of Tskhumi to the governor of Bedia”, “came to Samtskhe” and replaced the deceased Sargs Atabeg with his son Qvarqvare in 1334 (Batonishvili, 1973, p. 258).

The foundation of the Catholic mission in Tbilisi in this period draws attention. As it is known, a Catholic bishopric existed in Sukhumi as early as in 1318 and Bernard Morre was appointed as the bishop. Peter Gerald was appointed to the same position in 1330 (Kiknadze, 1962, pp. 156-160). It should be mentioned that Catholic John of Florence arrived in Georgia in 1318 and stayed there for 30 years (Tamarashvili, 1902, p. 39). Out of these 30 years, he was the bishop of the Catholic bishopric founded in Tbilisi for 18 years.

There are two letters sent to King George by the Pope. The first letter was sent to “George the Brilliant King of Georgians and his princes” from Avignonon October 15, 1321. In this letter they were called upon to join the Saint Roman Church. The reply of the Georgian King is unknown. The same letter is dated 1322 by I. Tabaghua (Tabaghua, 1984, p. 203). In 1328, the Pope abolished the Smyrna Bishopric oppressed by Turks and moved it to Tbilisi. By the bull issued in 1329, the Pope made Tbilisi the residence of the bishop and declared: “To be always called the name: Tbilisi Bishopric City in the future” (Tamarashvili, 1995, pp. 498, 501; Tamarashvili, 1902, pp. 30-35), where John of Florence was appointed as the bishop. The statement made by the Pope to the king of Georgia in 1329 with a call to join again is preserved, but neither the name of the king nor his location is indicated (Tamarashvili, 1995, p. 501). If we assume that George is not in Tbilisi in that period and shelters himself in West Georgia, the foundation of a bishopric in Tbilisi at exactly that time may have been a certain diplomatic step. The Pope subordinated the newly-founded Tbilisi bishopric to the bishopric founded in the Sultanate in 1318 (Tamarashvili, 1902, p. 39), as it appears also due to the fact that it considered Georgia to be under the Ilkhanid control politically as well. It is not excluded that during this challenging period, when repressions affected all relatives of the Great Vizier Choban, Catholics participated in negotiations between the Georgian King and Ilkhanid Abu Sa'id, as a result of which George was given an opportunity to return to Tbilisi soon. V. Kiknadze has studied some European sources, which (in one case) provide the response of George the Brilliant to Phillip VI de Valois, who offered the Georgian King to conduct a joint campaign to Egypt through his envoys, two Franciscans, Ricardo Marcher and Alexander of England in 1332/1333. It is noteworthy that George V honorably hosted the Franciscan envoys in Tbilisi for two months. The Pope made the same proposal to the Ilkhanid governor of Persia, but Abu Sa'id was not informed of this proposal due to the fact that he had already made peace with the Sultan of Egypt in 1323. In 1919 the document was published by I. J. Golubovich (Cardinal Hieronymus), who made the following comment regarding this fact: “His (George's) residence was in Tbilisi and he was independent from Mongols of Persia”. Jean Richard shared the opinion of Golubovich on the independence of Georgia from Mongol control. According to the judgment of V. Kiknadze, “Would the king of France invite George V separately to conduct a campaign to the

‘Holy Lands’ if he had been a vassal of Abu Sa’id Khan?” (Kiknadze, 1983, pp. 158-164). V. Kiknadze provides two letters of Marino Sanuto, dated 1330 and 1334, where the same information on Georgia is provided (Kiknadze, 1983, pp. 161). According to Marino Sanuto, Georgians “are subject to Tatars to a certain extent, (but) on the other hand, they are not (subject to them) in fact”. Marino Sanuto mentions two kingdoms of Georgia. Seemingly, these letters reflect the situation of the period when the Georgian king was still in West Georgia and was not subject to Mongols.

The above mentioned Arab author Al-‘Umar (1301-1349), whose composition was written after 1340, provides interesting information on Georgia in the period in question. Al-‘Umar’s composition was used and complemented by Syrian author Taqiad-Din ‘Abd Ar-Rahman al-Gaddafi al-Muhibbin (died in 1384) and well-known Egyptian encyclopaedist ShihabAd-din Abu L-‘Abbas Ahmad Ibn’ Ali al-Kalkashandi (1355-1418). According to Al-‘Umar,

The capital of the country of Georgians is Tbilisi ... It has a king and the reign of the king is permanent there. It is governed by the Sultan of the Hulaguids of the Kingdom of Iran, whose firmans are sent (to Georgia), but its rainfall does not flood its borders and its warriors do not wander in the country due to the unleashed war. He (the Sultan) has only a duman of troops there who are used for the protection of the borders of this country and management of its affairs. (Gocholeishvili, 1988, p. 51)

According to the commentary of D. Gocholeishvili, the information of Al-‘Umar that the Ilkhanids had only a duman of troops (10,000) in Georgia concerns the period of the late 1320s, as it is directly followed by narration about Sheikh Mahmud (the commander of the military force of Mongols in Georgia)—the son of Choban, the vizier of the governor of Ilkhanid Iran Abu Sa’id (Gocholeishvili, 1988, p. 51). The above commentary is not convincing, as in his narration Al-‘Umar does not absolutely observe the chronological sequence. Even if the provided information reflects the earlier situation, how shall we explain the following information where the author mentions the Georgian troops, which in his opinion, represent “the strength and wealth of the troops of Hulaguids, while Hulaguids rely on them and trust them, especially the sons, grandsons and other descendants of Juban” (Gocholeishvili, 1988, p. 51) and this information is about the period of many years after the elimination of Choban? The information that Tbilisi is the capital of the country of Georgians fully corresponds to the years of creation of the composition, as Georgia was united at that time. As mentioned by D. Gocholeishvili, due to the fact that the author held the position of the state secretary of the Egyptian Sultan, he was well informed about Iran and Georgia. We think that the information of Al-‘Umar is reliable and there are no grounds for any doubts. As it seems, the reason for doubt is the opinion dominating in Georgian historiography that George the Brilliant not only united Georgia, but also gained full independence in the late 1320s.

Finally, I will address the issue of the envoys sent from Georgia in 1316/1317 and 1320 for the purpose of the redemption of the Jvari Monastery. According to the information of Arab author Al-Makrizi, included in the events of 716/26.III.1316-15.III.1317:

This year came envoys of Uzbek, envoys of the king of Georgians and envoys of the Uzbek’s relative, Tughay with gifts. They were given a response and presents were sent to them. And this year 8 envoys gathered in Egypt. These are: envoys of Choban, Abu Sa’id, Uzbek, Tughay, envoys of the owner of Barcelona (*Sahib*), owner of Istanbul, owner of Nubia and the Georgian King. All of them expressed obedience. Nothing similar had happened in the state of Turks (*Ad-Dawla at-Turkia*, i. e., in the state of *BahrianMamluks* – G.A.). The biggest number of envoys (5) had been in the period of reign of Zahir (Az-Zahir Baibars, 1260-77 – G.A. is implied). (Al-Maqrizi, 1997, p. 517)

As Choban and Abu Sa'id are mentioned in the information, participation of King George is not excluded as well, but out of the total number of envoys—8, we can imply only one envoy from Georgia. This one envoy is mentioned in the information twice. In the first case, mentioning the Georgian King in a certain context allows to identify him. Mentioning the envoy of the Georgian king together with the envoy of Uzbek, the governor of the Golden Horde, and the envoy of his relative, Tughay, points to the fact that in this case, the king of West Georgia, and not of East Georgia is implied. The situation is the same in connection with sending envoys in 1320. According to Al-'Ain, envoys of Uzbek, envoys of the Georgian king and envoys of Laskaris appeared before the Sultan on May 8, 1320 (Tizengauzen, 1884, p. 520) (i.e. Arabic sources mistakenly consider Laskaris to be the ruling dynasty of Constantinople, which were replaced by Palaiologos from the 1260s). In the period when East Georgia and Samtskhe were allies of Ilkhanids, the Armenian kingdom of Cilicia, the Sultanate of Rum and the Pope of Rome, West Georgia was naturally united with Ilkhanids and the force confronting the Pope of Rome—the Golden Horde, Egypt and Byzantium. This fact does not exclude the contribution of George the Brilliant in the redemption of the Jvari Monastery; yet this must have happened after peace was made between Ilkhanids and the Sultan of Egypt (Alasania, 2008, pp. 31-32).

All the above does not diminish the merits of George V to the Georgian nation and his historic role in terms of the political unification of the country, the creation of a legal basis for it and the regulation of ecclesiastic affairs—the accomplishments of the king, who deservedly bears the name “the Brilliant”.

### Conclusion

Based on the above mentioned, the following conclusions can be made:

In 1329-1334, George the Brilliant took advantage of the situation created in the Ilkhanate, eliminated his political opponents and restored the territorial integrity of Georgia. He created a solid legal basis for the country and regulated the ecclesiastic area. He was in the West Georgia in 1329-1332/1333 and was not subject to Mongols. The Ilkhanid coin was not minted in Georgia during that period; yet, soon the king of Georgia, which had already been united by that time, restored relations with Ilkhanids and returned to Tbilisi, which implied making the already united Georgia subject to Mongols.

As shown by relevant researches, minting the national coin (“Giorgauli”) is not associated with George the Brilliant and Ilkhanid coins and later, coins of Chobanids, the Golden Horde and Jalayirids circulated during his reign.

In 1338-1339 George the Brilliant conquered Ossetia and Ilkhanid coins were disseminated on the territory of the Golden Horde after that.

Despite formal dependence on the foreign power, which is evidenced by the deployment of 10,000 troops at the border of Georgia, foreign coins circulated as well and Georgia enjoyed a rather wide internal autonomy.

Formally, Georgia still remained under the control of Ilkhanids, which were replaced by Chobanids in 1338 and the governors of the Golden Horde in 757/1356; and in parallel and afterwards by Jalayirids, which is evidenced by written sources as well as numismatic data.

As for the foreign policy, the possibilities of the country were limited there. According to the sources which have reached us, we cannot assume the participation of George the Brilliant in sending envoys for the purpose of the redemption of the Jvari Monastery in 1316/1317, 1320. It seems that in those years envoys were sent by Constantine, the king of the West Georgia.

All the above mentioned does not diminish the merits of George V to the Georgian nation and his historic role in terms of the political unification of the country, the creation of a legal basis for it and the regulation of ecclesiastic affairs—the accomplishments of the king, who deservedly bears the name “the Brilliant”.

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# Bridging the Achievement Gap for Students: A Blueprint for Success<sup>1</sup>

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The purpose of this research is to identify and examine the achievement gaps between students. Over the past thirty years, emphasis has been placed on achievement levels of students in this country. State test results, SAT Scores, ACT scores and other assessment instruments have been used to determine performance standards and test results for students. Data analyzed for White students compared to African American and Hispanic students have provided critical information in identifying academic progress and skill deficits for all students. This article will highlight some of the achievement gaps which exist among White, African American and Hispanic Students. Recommendations will also be emphasized to help improve student achievement levels in an effort to close the achievement gap.

*Keywords:* student achievement, achievement gap, comparative achievement levels

## Introduction

Can we close the Achievement gap for students in the United States? This is a crucial question that must be asked by everyone who is concerned about the academic performance of all students. For several decades there has been a major focus on the academic success of African American and Hispanic students and their performance on standardized assessments when compared to their White counterparts. Several initiatives have been implemented to address this alarming deficiency in students who did not show mastery of various skill levels in reading and in mathematics.

## Visionary Leadership

Leadership as indicated by the Wallace Foundation is for insuring that every student will receive the best education in America to help them become successful. Good principals are usually visionary and instructional leaders who are able to transform poor schools into productive learning environments by taking charge, making good decisions, demonstrating their leadership ability by inspiring and motivating teachers, students, parents and staff. This is the type of principal who can also think out of the box and is able to address especially the needs of all students in the school. Most principals take into consideration the cultural diversity of the school's population

<sup>1</sup> This article will highlight some of the achievement gaps which exist among White, African American, and Hispanic Students.  
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and will make adjustment decisions where needed, especially with a mix of multi-racial, multi-ethnic and multi-cultural students. Questions that come to mind are how best to assist White students, Black students Hispanic students or any other racial group. These questions must be addressed from a multiracial, multicultural collaborative approach. The advantage of promoting a collaborative effort to obtain shared goals is almost a requirement when educating a diverse population (see Table 1).

### National Center for Education Statistics

Table 1

*Number of School Principals and Percentage Distribution of School Principals, by Race/Ethnicity, School Type, and Selected School Characteristics: 2007-08*

		Race/ethnicity		
		Hispanic	White	Black
School type and selected school characteristics				
	Total number of principals	regardless of race	non-Hispanic	non-Hispanic
All schools:	118,610	5.9	82.3	9.6
All public schools:	90,470	6.5	80.9	10.6
School classification				
Traditional public	86,920	6.4	81.5	10.2
Charter school	3,550	9.3	! 66.3	21.7
Community type				
City	21,560	13.4	62.9	21.1
Suburban	25,880	6.9	81.7	10.0
Town	13,860	4.2	! 86.7	7.2
Rural	29,170	2.1	! 90.6	5.1
School level				
Elementary	62,340	7.6	79.5	10.9
Secondary	21,550	4.5	84.1	9.8
Combined	6,580	2.8	! 83.6	10.6
Student enrollment				
Less than 100	6,950	4.8	! 83.4	9.8
100-199	8,520	4.0	! 87.0	7.0
200-499	36,830	5.4	81.2	11.5
500-749	20,290	8.5	78.3	11.2
750-999	8,760	9.1	79.6	9.2
1,000 or more	9,120	7.6	79.2	11.4
Percent of K-12 students who were approved for free or reduced-price lunches				
0-34	33,980	3.3	90.8	4.6
35-49	14,910	2.2	! 85.3	10.0
50-74	19,970	7.3	79.0	11.2
75 or more	17,700	16.0	58.6	23.0
School did not participate in free or reduced-price lunch program	3,910	3.4	! 88.2	6.8
All BIE schools	170	7.2	36.3	2.0
All private schools:	27,960	4.0	87.3	6.5

(table 1 continued)

		Race/ethnicity			
School type and selected school characteristics		Hispanic	White	Black	
School classification					
Catholic	7,360	4.9	91.3	2.0	
Other religious	13,840	3.2	86.6	8.5	
Nonsectarian	6,760	4.5	! 84.3	7.3	
Community type					
City	9,610	4.2	81.7	10.8	
Suburban	9,510	6.0	84.6	7.1	
Town	2,780	1.5	! 96.2	1.4	!
Rural	6,060	1.5	! 96.2	1.1	!
School level					
Elementary	16,110	5.1	85.4	6.9	
Secondary	2,930	0.9	! 91.2	4.9	!
Combined	8,920	2.9	89.3	6.3	
Student enrollment					
Less than 100	13,180	4.7	84.0	8.7	
100-199	6,010	2.8	86.4	8.1	
200-499	6,610	3.8	92.3	2.2	
500-749	1,390	3.4	! 93.5	1.9	!
750 or more	770	1.7	! 94.9	1.1	!
Percent of K-12 students who were approved for free or reduced-price lunches					
0-34	5,180	3.1	! 90.9	4.1	
35-49	990	7.8	! 83.9	6.3	!
50-74	780	9.6	! 74.8	14.2	
75 or more	1,340	17.7	67.9	10.3	!
School did not participate in free or reduced-price lunch program	19,670	2.8	88.3	6.6	
! Interpret data with caution. The standard error for this estimate is equal to 30 percent or more of the estimate's value.					
! Other includes American Indian/Alaska Native, non-Hispanic; Asian, non-Hispanic; Native Hawaiian or Other Pacific Islander, non-Hispanic; or Two or more races, non-Hispanic.					
NOTE: Black includes African American and Hispanic includes Latino. BIE school refers to schools funded by the Bureau of Indian Education (BIE) that are operated by the BIE, a tribe, or a private contractor and not by a regular school district. Detail may not sum to totals because of rounding.					
SOURCE: U.S. Department of Education, National Center for Education Statistics, Schools and Staffing Survey (SASS), "Public School Principal, BIE School Principal, and Private School Principal Data Files", 2007-08.					

### Highly Qualified Culturally Sensitive Teachers

We are fortunate to have good teachers in the United States. However, is being a good teacher enough to educate all students, especially African American and Hispanic students who continue to be identified with the lowest performing groups on test results. Do we need exceptional teachers? Do we need culturally sensitive teachers? Or do we need teachers who are committed to educating all children including African American and Hispanic children? Despite the diversity of racial and cultural differences in the classroom, many examples of committed teachers have been documented in schools with educators like Marva Collins, Madeline Hunter, Clark School Principal in Atlanta, Georgia and other educators not mentioned in this article.

The diverse group of teachers in this country includes 84% whites, 7% African Americans and 6% Hispanics. This is just an example of who are teaching our children (see Table 2).

Table 2

*Demographic Profile of Teachers in the U.S. Public School Teachers*

	2011	2005	1996	1990	1986
N =	<b>1,076</b>	1,028	1,018	2,380	1,144
<b>Age</b>					
≤29	<b>21</b>	11	11	15	11
30-39	<b>27</b>	22	21	37	36
40-49	<b>22</b>	26	44	35	31
50+	<b>31</b>	42	24	13	22
<b>Gender</b>					
Male	<b>16</b>	18	26	29	31
Female	<b>84</b>	82	74	71	69
<b>Race</b>					
White	<b>84</b>	85	89	92	91
Black	<b>7</b>	6	7	5	6
Hispanic	<b>6</b>	4	2	2	2
Other	<b>4</b>	5	2	1	0
<b>Highest Degree Earned</b>					
Bachelor's-Education	<b>29</b>	31			
Bachelor's-Other	<b>15</b>	11			
Master's-Education	<b>43</b>	47			
Master's-Other	<b>12</b>	10			
Doctorate-Education	<b>1</b>	1			
<b>Years of experience</b>					
1-5	<b>26</b>	18	12	16	8
6-9	<b>16</b>	14	18	18	16
10-14	<b>16</b>	16	13	21	24
15-24	<b>23</b>	25	37	33	37
25+	<b>17</b>	27	20	12	15

**Profile of Teachers in the U.S. 2011, National Center for Education Information**

Educators who demonstrate commitment to educating all students are those teachers who take teaching very personal and with pride in themselves by trying to meet yearly educational goals. These goals are established to measure individual learning gains demonstrated by students. African American and Hispanic students over time have continued to demonstrate increased mastery scores in the areas of reading and mathematics.

**Participatory Teaching and Learning**

Teachers who are aware of student's learning styles could easily involve them in active participation of many lessons. This can be applied in all subject areas where hands-on projects can be included. Problems Based Learning is another example of participatory teaching and learning. This has been recognized as an effective strategy when teaching all student groups and involving them in the lesson to reinforcing critical thinking, higher orders thinking skills, team work and problem solving assignments. A major focus of these projects could be to

make them culturally sensitive to meet the needs of all participants. This is also an area where students, if given an opportunity could possibly share positive, creative suggestions with buying their in for improvement. They become involved, and sometimes develop a deeper commitment to become a more successful student.

### **Data Driven Instructions, Planning and Results**

Assessment results of all students are used to show the landscape of the learning acquired during the school year. The data provide educators with hard facts of student mastery skills, learning gains, skill deficit areas and a comparative analysis of how students' results match established yearly goals.

Once data have been disseminated for each student, teachers could use the individual student learning gain results to plan lessons for achievement. Each area should have clearly identified dates paired with strategies and benchmarks to reach establish goals for the student, teacher and school. Teachers should also model skill areas to help students better understand what is being requested. They should give examples of skill areas being taught using a variety of teaching strategies; next, students should then be given an opportunity to practice and master the skill before a new assessment is completed. If necessary, students should be given individualized instruction until mastery of skills is accomplished using differentiated techniques to accommodate the student's learning style.

Using data to plan and align instruction is also quite important when planning for student achievement learning gains. It is important that students understand the expectations and encouragement given by teachers to attain mastery of skills.

### **Accountability: Nation's Report Card**

In an effort to look at the most current and comprehensive assessment data, we selected to include information from the National Assessment of Educational Progress (NAEP) student data results. NAEP is a special project with the National Center for Education Statistics (NCES) and the United States Department of Education, it was established in 1969. While our current focus is on reading and mathematics assessment results, this project also collects data on other academic areas including writing, science, U.S. history, civics and geography. Results from this project are reported on both the state and national levels and policy for this project is set by the National Assessment Governing Board who also oversees the operation.

To keep the public informed about the academic achievement of elementary and secondary students in the United States, The NAEP group created the Nation's Report Card. This provides results of students' assessment in several academic areas. The major focus is on the collection and reporting about student performance and progress on both the state and national levels.

According to NAEP mathematics assessment results for White, Black and Hispanic students included learning gains for each group as documented over twenty-three years, 1990-2013. Analyzing mathematic results, Black students showed the largest gains during the 2011 test results where they demonstrated a 37% increase. During that same period, both Hispanic and White students demonstrated a 30% increase. Full details of this research can be found on the NAEP website. Since this research occurred over many years, more results are available for each group identified in the analysis (see Figure 1).

Since the implementation of the initial test results, many states have tried programs that were identified with

possible skill building areas to help improve overall student academic achievement levels. Many of those programs were considered to be research based and had proven track records of success for students. However, the big question still remains unanswered, how do we close the achievement gap? The answer is still real and have inspired a great deal of research, educational conversations, and other efforts to get to the answer of what do we do to close the achievement gap? Well, should we begin to look critically at other factors such as the individual student and his inner drive to become a successful student, or should we continue to look at what is obvious? What is tradition? How does a successful student look? All of the questions certainly provide us with our own question of, would it make a different? I would say we would certainly have to conduct future research to try to find additional answers to those questions and we might find the magic formula to closing the achievement gap and continuing to provide a bridge to student achievement.

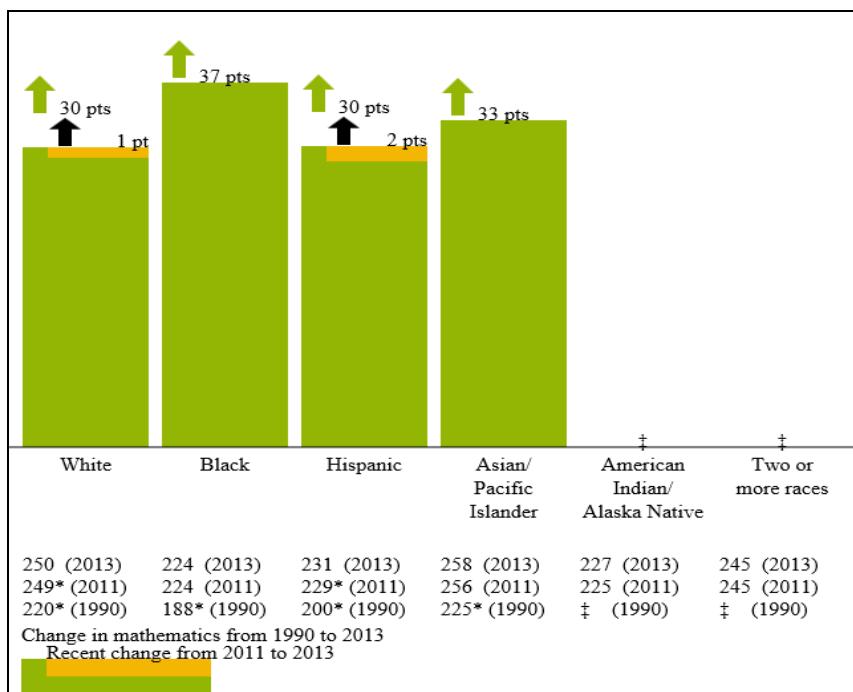


Figure 1. Change in average scores for fourth-grade students assessed in NAEP mathematics, by selected student groups: 1990, 2011, and 2013.

In analyzing the reading results during the same period of time that we looked at the mathematics results we found very different outcomes. Among the three racial groups, Black students demonstrated an increase of 14%, the highest gains in reading over a 23 year period. White students showed an increase of 8% in reading and Hispanic students showed an increase of 10% in reading. White students' assessment results were the lowest gains among the three groups, according to the 2013 assessment results. All groups demonstrated a 1% increase from 2011 to 2013. These reading results were much lower than the gains displayed for the mathematics assessment outcome (see Figure 2).

Even though most test results indicate that there exists a major achievement gap between White, Black and Hispanic students, the reviewed data indicate that the gap is slowly closing among the groups. In Figure 3, analysis showed higher reading scores in 2013 compared to previous years.

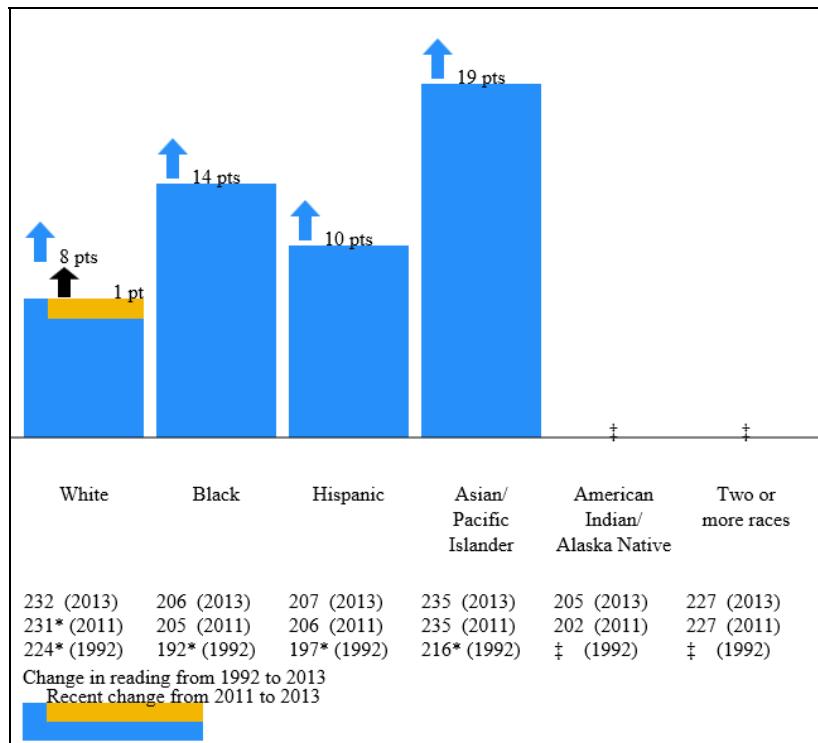


Figure 2. Change in average scores for fourth-grade students assessed in NAEP reading, by selected student groups: 1992, 2011, and 2013.

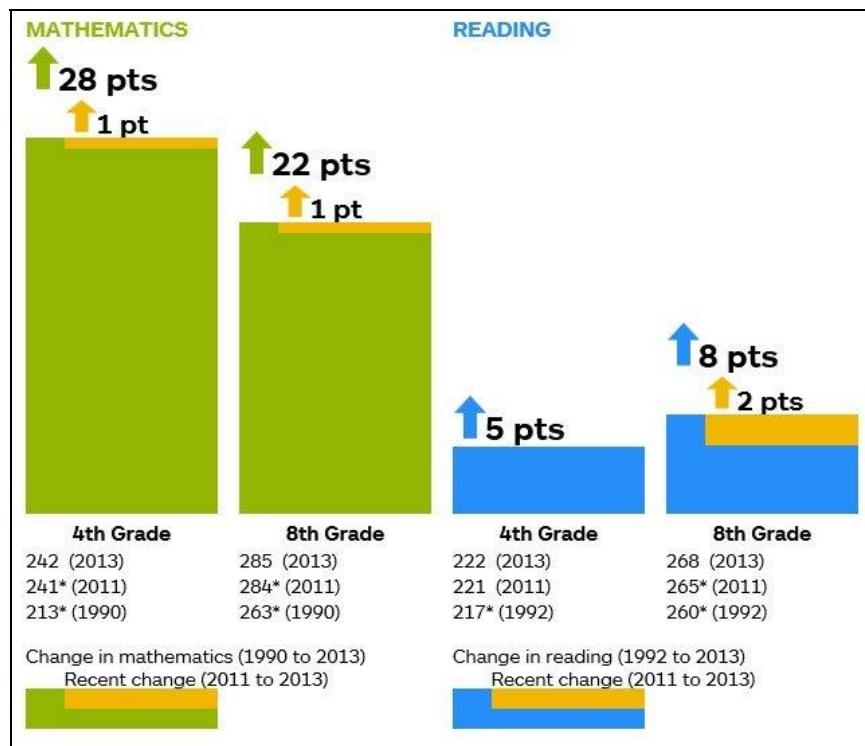


Figure 3. Change in average scores for fourth- and eighth-grade students assessed in NAEP mathematics and reading: Various years, 1990-2013.

### **Socioeconomic Status**

Socioeconomic status (SES) influences and impacts all facets of our lives including education. Ray Brogan of the Gale Group indicated that several factors are identified in considering SES which includes income, education, neighborhood, occupation and political power.

Individuals' SES is usually determined by the SES of their family. The SES of the family is calculated based on the measure of the five factors noted above. How well can the family members meet their financial responsibilities? What prestige is associated with the occupation of the head of the household? What level of education have the parents achieved? What is the safety and upkeep of the neighborhood in which the family lives? What hope do the family members reasonably have to influence the government and community policies that affect their lives? A school's SES is determined by the neighborhood in which it is located and by the ESE of the families whose children attend the school.

The support of parents has been synonymous with successful schools, high SES and successful students. Parents work together as partners to enhance the educational experiences of their students by supporting the school, establishing a volunteer program, Parent-Teacher-Student Organizations and fund raising for the school. In schools where there is very little parent involvement, there also appears to be fewer resources provided for these schools that are usually identified as being listed as schools with special needs and low SES. Many of those schools are located in large urban cities such as New York, Washington, DC, Los Angeles, Miami, Chicago and Detroit.

### **Conclusion**

In conclusion, all students including African American and Hispanic students can and will learn given the opportunity, provide adequate resources, and display commitments from educators to teach all students. Research reminds us that high expectations and positive attitudes inspire students to become more productive with a self-fulfilling prophecy. Many students are empowered to be successful and show confidence that is enhanced by administrators, teachers and parents who set a positive expectation. Students must also be provided with a safe, secure environment conducive to teaching and learning in a culturally diverse, sensitive environment with a multi-ethnic, multi-culture and multi-racial curriculum.

Annual yearly goals should be clearly established with bench marks from realistic standards that are attainable by students. Differentiated instruction and planning should become a part of the on-going instructional process to achieve increased learning gains to meet the needs of all students. Finally, teachers and principals must be involved in improving their skills by participating in professional development on a regular basis. These activities will allow teacher to stay current with cutting edge research based information that could be transferred to the classroom in an effort to improve student achievement.

According to the 2011 and 2012 Test Results, African American and Hispanic students are demonstrating increased progress towards closing the achievement gap between White, African American and Hispanic students. The commitment to continue educating students is vital to the future success of promoting multiculturalism in the United States and the world as we continue to evolve in this ever changing global society.

## Recommendations

Recommended Strategies that could be implemented to help bridge the achievement gap for students are listed below:

- (1) Increase time on learning skills;
- (2) Extended school day;
- (3) More individualized instructions;
- (4) Provide additional opportunities for student to practice new skills;
- (5) Practice additional higher order thinking activities;
- (6) Plan collaborative problem based learning activities;
- (7) Encourage and plan critical thinking skill projects;
- (8) Allow time for students to verbalized summarizing, sequencing, making inferences and making projections;
- (9) Model example of oral presentations emphasizing the problem solving process;
- (10) Plan embedded daily writing assignments to enhance various types of writing skills and encourage creative writing and oral story telling.

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