

# Twentieth Century Literary Theory

An  
Introductory  
Anthology  
edited by

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## M. H. Abrams

### Orientation of Critical Theories

Its subject-matter is such wavering and deceptive stuff as dreams are made of; its method is neither logical nor scientific, nor quite whole-heartedly and empirically matter of fact . . . without application in practice to test it and without an orthodox terminology to make it into an honest substitution or a thoroughgoing, soul satisfying cult. It is neither useful to creative artists nor a help to amateurs in appreciation.<sup>1</sup>

And I. A. Richards, in his *Principles of Literary Criticism*, labeled his first chapter 'The Chaos of Critical Theories,' and justified the pejorative attribute by quoting, as 'the apices of critical theory,' more than a score of isolated and violently discrepant utterances about art, from Aristotle to the present time.<sup>2</sup> With the optimism of his youth, Richards himself went on to attempt a solid grounding of literary evaluation in the science of psychology.

It is true that the course of aesthetic theory displays its full measure of the rhetoric and logomachy which seem an inseparable part of man's discourse about all things that really matter. But a good deal of our impatience with the diversity and seeming chaos in philosophies of art is rooted in a demand from criticism for something it cannot do, at the cost of overlooking many of its genuine powers. We still need to face up to the full consequences of the realization that criticism is not a physical, nor even a psychological, science. By setting out from and terminating in an appeal to the facts, any good aesthetic theory is, indeed, empirical in method. Its aim, however, is not to establish correlations between facts which will enable us to predict the future by reference to the past, but to establish principles enabling us to justify, order, and clarify our interpretation and appraisal of the aesthetic facts themselves. And as we shall see, these facts turn out to have the curious and scientifically reprehensible property of being conspicuously altered by the nature of the very principles which appeal to them for their support. Because many critical statements of fact are thus partially relative to the perspective of the theory within which they occur, they are not 'true,' in the strict scientific sense that they approach the ideal of being verifiable by any intelligent human being, no matter what his point of view. Any hope, therefore, for the kind of basic agreement in criticism that we have learned to expect in the exact sciences is doomed to disappointment.

A good critical theory, nevertheless, has its own kind of validity. The criterion is not the scientific verifiability of its single propositions, but the scope, precision, and coherence of the insights that it yields into the properties of single works of art and the adequacy with which it accounts for diverse kinds of art. Such a criterion will, of course, justify not one, but a number of valid theories, all in their several ways self-consistent, appli-

BOSWELL. 'Then, Sir, what is poetry?'

JOHNSON. 'Why, Sir, it is much easier to say what it is not. We all know what light is, but it is not easy to tell what it is.'

It is the mark of an educated man to look for precision in each class of things just so far as the nature of the subject admits.

—ARISTOTLE, *Nicomachean Ethics*

To pose and answer aesthetic questions in terms of the relation of art to the artist, rather than to external nature, or to the audience, or to the internal requirements of the work itself, was the characteristic tendency of modern criticism up to a few decades ago, and it continues to be the propensity of a great many—perhaps the majority—of critics today. This point of view is very young measured against the twenty-five-hundred-year history of the Western theory of art, for its emergence as a comprehensive approach to art, shared by a large number of critics, dates back not much more than a century and a half. The intention of this book is to chronicle the evolution and (in the early nineteenth century) the triumph, in its diverse forms, of this radical shift to the artist in the alignment of aesthetic thinking, and to describe the principal alternate theories against which this approach had to compete. In particular, I shall be concerned with the momentous consequences of these new bearings in criticism for the identification, the analysis, the evaluation, and the writing of poetry.

The field of aesthetics presents an especially difficult problem to the historian. Recent theorists of art have been quick to profess that much, if not all, that has been said by their predecessors is wavering, chaotic, phantasmal. 'What has gone by the name of the philosophy of art' seemed to Santayana 'sheer verbiage.' D. W. Prall, who himself wrote two excellent books on the subject, commented that traditional aesthetics 'is in fact only a pseudo-science or pseudo-philosophy.'

cable, and relatively adequate to the range of aesthetic phenomena; but this diversity is not to be deplored. One lesson we gain from a survey of the history of criticism, in fact, is the great debt we owe to the variety of the criticism of the past. Contrary to Prall's pessimistic appraisal, these theories have not been futile, but as working conceptions of the matter, end, and ordonnance of art, have been greatly effective in shaping the activities of creative artists. Even an aesthetic philosophy so abstract and seemingly academic as that of Kant can be shown to have modified the work of poets. In modern times, new departures in literature almost invariably have been accompanied by novel critical pronouncements, whose very inadequacies sometimes help to form the characteristic qualities of the correlated literary achievements, so that if our critics had not disagreed so violently, our artistic inheritance would doubtless have been less rich and various. Also, the very fact that any well-grounded critical theory in some degree alters the aesthetic perceptions it purports to discover is a source of its value to the amateur of art, for it may open his senses to aspects of a work which other theories, with a different focus and different categories of discrimination, have on principle overlooked, underestimated, or obscured.

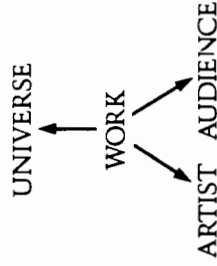
The diversity of aesthetic theories, however, makes the task of the historian a very difficult one. It is not only that answers to such questions as 'What is art?' or 'What is poetry?' disagree. The fact is that many theories of art cannot readily be compared at all, because they lack a common ground on which to meet and clash. They seem incommensurable because stated in diverse terms, or in identical terms with diverse signification, or because they are an integral part of larger systems of thought which differ in assumptions and procedure. As a result it is hard to find where they agree, where disagree, or even, what the points at issue are.

Our first need, then, is to find a frame of reference simple enough to be readily manageable, yet flexible enough so that, without undue violence to any one set of statements about art, it will translate as many sets as possible onto a single plane of discourse. Most writers bold enough to undertake the history of aesthetic theory have achieved this end by silently translating the basic terms of all theories into their own favorite philosophical vocabulary, but this procedure unduly distorts its subject matter, and merely multiplies the complications to be unraveled. The more promising method is to adopt an analytic scheme which avoids imposing its own philosophy, by utilizing those key distinctions which are already common to the largest possible number of the theories to be compared, and then to apply the scheme warily, in constant readiness to introduce such further distinctions as seem to be needed for the purpose in hand.

### Some Co-ordinates of Art Criticism

Four elements in the total situation of a work of art are discriminated and made salient, by one or another synonym, in almost all theories which claim to be comprehensive. First, there is the *work*, the artistic product itself. And since this is a human product, an artifact, the second common element is the artificer, the *artist*. Third, the work is taken to have a subject which, directly or deviously, is derived from existing things—to be about, or signify, or reflect something which either is, or bears some relation to, an objective state of affairs. This third element, whether held to consist of people and actions, ideas and feelings, material things and events, or super-sensible essences, has frequently been denoted by that word-of-all-work, 'nature'; but let us use the more neutral and comprehensive term, *universe*, instead. For the final element we have the *audience*: the listeners, spectators, or readers to whom the work is addressed, or to whose attention, at any rate, it becomes available.

On this framework of artist, work, universe, and audience I wish to spread out various theories for comparison. To emphasize the artificiality of the device, and at the same time make it easier to visualize the analyses, let us arrange the four co-ordinates in a convenient pattern. A triangle will do, with the work of art, the thing to be explained, in the center.



Although any reasonably adequate theory takes some account of all four elements, almost all theories, as we shall see, exhibit a discernible orientation toward one only. That is, a critic tends to derive from one of these terms his principal categories for defining, classifying, and analyzing a work of art, as well as the major criteria by which he judges its value. Application of this analytic scheme, therefore, will sort attempts to explain the nature and worth of a work of art into four broad classes. Three will explain the work of art principally by relating it to another thing: the universe, the audience, or the artist. The fourth will explain the work by considering it in isolation, as an autonomous whole, whose significance and value are determined without any reference beyond itself.

To find the major orientation of a critical theory, however, is only the beginning of an adequate analysis. For one thing, these four co-ordinates

are not constants, but variables; they differ in significance according to the theory in which they occur. Take what I have called the *universe* as an example. In any one theory, the aspects of nature which an artist is said to imitate, or is exhorted to imitate, may be either particulars or types, and they may be only the beautiful or the moral aspects of the world, or else any aspect without discrimination. It may be maintained that the artist's world is that of imaginative intuition, or of common sense, or of natural science; and this world may be held to include, or not to include, gods, witches, chimeras, and Platonic Ideas. Consequently, theories which agree in assigning to the represented universe the primary control over a legitimate work of art may vary from recommending the most uncompromising realism to the most remote idealism. Each of our other terms, as we shall see, also varies, both in meaning and functioning, according to the critical theory in which it occurs, the method of reasoning which the theorist characteristically uses, and the explicit or implicit 'world-view' of which these theories are an integral part.

It would be possible, of course, to devise more complex methods of analysis which, even in a preliminary classification, would make more subtle distinctions.<sup>3</sup> By multiplying differentiae, however, we sharpen our capacity to discriminate at the expense both of easy manageability and the ability to make broad initial generalizations. For our historical purpose, the scheme I have proposed has this important virtue, that it will enable us to bring out the one essential attribute which most early nineteenth-century theories had in common: the persistent recourse to a poet to explain the nature and criteria of poetry. Historians have recently been instructed to speak only of 'romanticisms' in the plural, but from our point of vantage there turns out to be one distinctively romantic criticism, although this remains a unity amid variety.

### Mimetic Theories

The mimetic orientation—the explanation of art as essentially an imitation of aspects of the universe—was probably the most primitive aesthetic theory, but mimesis is no simple concept by the time it makes its first recorded appearance in the dialogues of Plato. The arts of painting, poetry, music, dancing, and sculpture, Socrates says, are all imitations.<sup>4</sup> 'Imitation' is a relational term, signifying two items and some correspondence between them. But although in many later mimetic theories everything is comprehended in two categories, the imitable and the imitation, the philosopher in the Platonic dialogues characteristically operates with three categories. The first category is that of the eternal and unchanging Ideas; the second, reflecting this, is the world of sense, natural or artifi-

cial, and the third category, in turn reflecting the second, comprises such things as shadows, images in water and mirrors, and the fine arts.

Around this three-stage regress—complicated still further by various supplementary distinctions, as well as by his exploitation of the polycentrism of his key terms—Plato weaves his dazzling dialectic.<sup>5</sup> But from the shifting arguments emerges a recurrent pattern, exemplified in the famous passage in the tenth book of the *Republic*. In discussing the nature of art, Socrates makes the point that there are three beds: the Idea which is the essence of the bed' and is made by God, the bed made by the car-penter, and the bed found in a painting. How shall we describe the painter of this third bed?

I think, he said, that we may fairly designate him as the imitator of that which the others make.

Good, I said; then you call him who is third in the descent from nature an imitator?

Certainly, he said.

And the tragic poet is an imitator, and therefore, like all other imitators, he is thrice removed from the king and from the truth?

That appears to be so.<sup>6</sup>

From the initial position that art imitates the world of appearance and not of Essence, it follows that works of art have a lowly status in the order of existing things. Furthermore, since the realm of Ideas is the ultimate locus not only of reality but of value, the determination that art is at second remove from the truth automatically establishes its equal remoteness from the beautiful and good. Despite the elaborate dialectic—more accurately, by means of it—Plato's remains a philosophy of a single standard; for all things, including art, are ultimately judged by the one criterion of their relation to the same Ideas. On these grounds, the poet is inescapably the competitor of the artisan, the lawmaker, and the moralist; indeed, any one of these can be regarded as himself the truer poet, successfully achieving that imitation of the Ideas which the traditional poet attempts under conditions dooming him to failure. Thus the lawmaker is able to reply to the poets seeking admission to his city, 'Best of strangers—

we also according to our ability are tragic poets, and our tragedy is the best and noblest; for our whole state is an imitation of the best and noblest life, which we affirm to be indeed the very truth of tragedy. You are poets and we are poets . . . rivals and antagonists in the noblest of dramas . . .'

And the poor opinion of ordinary poetry to which we are committed on the basis of its mimetic character, is merely confirmed when Plato points out that its effects on its auditors are bad because it represents appear-

ance rather than truth, and nourishes their feelings rather than their reason; or by demonstrating that the poet in composing (as Socrates jockeys poor obtuse Ion into admitting) cannot depend on his art and knowledge, but must wait upon the divine afflatus and the loss of his right mind.<sup>8</sup>

The Socratic dialogues, then, contain no aesthetics proper, for neither the structure of Plato's cosmos nor the pattern of his dialectic permits us to consider poetry as poetry—as a special kind of product having its own criteria and reason for being. In the dialogues there is only one direction possible, and one issue, that is, the perfecting of the social state and the state of man; so that the question of art can never be separated from questions of truth, justice, and virtue. 'For great is the issue at stake,' Socrates says in concluding his discussion of poetry in the *Republic*, 'greater than appears, whether a man is to be good or bad.'<sup>9</sup>

Aristotle in the *Poetics* also defines poetry as imitation. 'Epic poetry and Tragedy, as also Comedy, Dithyrambic poetry, and most flute-playing and lyre-playing, are all, viewed as a whole, modes of imitation'; and 'the objects the imitator represents are actions . . .'<sup>10</sup> But the difference between the way the term 'imitation' functions in Aristotle and in Plato distinguishes radically their consideration of art. In the *Poetics*, as in the Platonic dialogues, the term implies that a work of art is constructed according to prior models in the nature of things, but since Aristotle has shorn away the other world of criterion-Ideas, there is no longer anything invidious in that fact. Imitation is also made a term specific to the arts, distinguishing these from everything else in the universe, and thereby freeing them from rivalry with other human activities. Furthermore, in his analysis of the fine arts, Aristotle at once introduces supplementary distinctions according to the objects imitated, the medium of imitation, and the manner—dramatic, narrative, or mixed, for example—in which the imitation is accomplished. By successive exploitation of these distinctions in object, means, and manner, he is able first to distinguish poetry from other kinds of art, and then to differentiate the various poetic genres, such as epic and drama, tragedy and comedy. When he focuses on the genre of tragedy, the same analytic instrument is applied to the discrimination of the parts constituting the individual whole: plot, character, thought, and so on. Aristotle's criticism, therefore, is not only criticism of art as art, independent of statesmanship, being, and morality, but also of poetry as poetry, and of each kind of poem by the criteria appropriate to its particular nature. As a result of this procedure, Aristotle bequeathed an arsenal of instruments for technical analysis of poetic forms and their elements which have proved indispensable to critics ever since, however diverse the uses to which these instruments have been put.

A salient quality of the *Poetics* is the way it considers a work of art in various of its external relations, affording each its due function as one

of the 'causes' of the work. This procedure results in a scope and flexibility that makes the treatise resist a ready classification into any one kind of orientation. Tragedy cannot be fully defined, for example, nor can the total determinants of its construction be understood, without taking into account its proper effect on the audience: the achievement of the specifically 'tragic pleasure,' which is 'that of pity and fear.'<sup>11</sup> It is apparent, however, that the mimetic concept—the reference of a work to the subject-matter which it imitates—is primary in Aristotle's critical system, even if it is *primus inter pares*. Their character as an imitation of human actions is what defines the arts in general, and the kind of action imitated serves as one important differentia of an artistic species. The historical genesis of art is traced to the natural human instinct for imitating, and to the natural tendency to find pleasure in seeing imitations. Even the unity essential to any work of art is mimetically grounded, since 'one imitation is always of one thing,' and in poetry 'the story, as an imitation of action, must represent one action, a complete whole . . .'<sup>12</sup> And the 'form' of a work, the presiding principle determining the choice and order and internal adjustments of all the parts, is derived from the form of the object that is imitated. It is the fable or plot 'that is the end and purpose of tragedy,' its 'life and soul, so to speak,' and this because

tragedy is essentially an imitation not of persons but of action and life . . . We maintain that Tragedy is primarily an imitation of action, and that it is mainly for the sake of the action that it imitates the personal agents.<sup>13</sup>

If we refer again to our analytic diagram, one other general aspect of the *Poetics* presses on our attention, particularly when we have the distinctive orientation of romantic criticism in mind. While Aristotle makes a distribution (though an unequal one) among the objects imitated, the necessary emotional effects on an audience, and the internal demands of the product itself, as determinants of this or that aspect of a poem, he does not assign a determinative function to the poet himself. The poet is the indispensable efficient cause, the agent who, by his skill, extracts the form from natural things and imposes it upon an artificial medium; but his personal faculties, feelings, or desires are not called on to explain the subject matter or form of a poem. In the *Poetics*, the poet is invoked only to explain the historical divergence of comic from serious forms, and to be advised of certain aids toward the construction of plot and the choice of diction.<sup>14</sup> In Plato, the poet is considered from the point of view of politics, not of art. When the poets make a personal appearance all the major ones are dismissed, with extravagant courtesy, from the ideal Republic; upon later application, a somewhat greater number are admitted to the second-best state of the *Laws*, but with a radically diminished repertory.<sup>15</sup>

'Imitation' continued to be a prominent item in the critical vocabulary for a long time after Aristotle—all the way through the eighteenth century, in fact. The systematic importance given to the term differed greatly from critic to critic; those objects in the universe that art imitates, or should imitate, were variously conceived as either actual or in some sense ideal, and from the first, there was a tendency to replace Aristotle's 'action' as the principal object of imitation with such elements as human character, or thought, or even inanimate things. But particularly after the recovery of the *Poetics* and the great burst of aesthetic theory in sixteenth-century Italy, whenever a critic was moved to get down to fundamentals and frame a comprehensive definition of art, the predicate usually included the word 'imitation,' or else one of those parallel terms which, whatever differences they might imply, all faced in the same direction: 'reflection,' 'representation,' 'counterfeiting,' 'feigning,' 'copy,' or 'image.'

Through most of the eighteenth century, the tenet that art is an imitation seemed almost too obvious to need iteration or proof. As Richard Hurd said in his 'Discourse on Poetical Imitation,' published in 1751, 'All Poetry, to speak with Aristotle and the Greek critics [if for so plain a point authorities be thought wanting] is, properly, *imitation*. It is, indeed, the noblest and most extensive of the mimetic arts; having all creation for its object, and ranging the entire circuit of universal being.'<sup>16</sup> Even the reputedly radical proponents of 'original genius' in the second half of the century commonly found that a work of genius was no less an imitation for being an original. 'Imitations,' Young wrote in his *Conjectures on Original Composition*, 'are of two kinds: one of nature, one of authors. The first we call *Originals* . . . The original genius in fact turns out to be a kind of scientific investigator: "The wide field of nature lies open before it, where it may range unconfined, make what discoveries it can . . . as far as visible nature extends . . .'" Later the Reverend J. Moir, an extremist in his demand for originality in poetry, conceived genius to lie in the ability to discover 'a thousand new variations, distinctions, and resemblances' in the 'familiar phenomena of nature,' and declared that original genius always gives 'the identical impression it receives.'<sup>18</sup> In this identification of the poet's task as novelty of discovery and particularity of description we have moved a long way from Aristotle's conception of mimesis, except in this respect, that criticism still looks to one or another aspect of the given world for the essential source and subject matter of poetry.

Instead of heaping up quotations, it will be better to cite a few eighteenth-century discussions of imitation that are of special interest. My first example is the French critic, Charles Batteux, whose *Les Beaux Arts réduits à un même principe* (1747) found some favor in England and had immense influence in Germany, as well as in his native country. The rules of art, Batteux thought, which are now so numerous, must surely be

reducible to a single principle. 'Let us,' he cries, 'imitate the true physicists, who assemble experiments and then on these found a system which reduces them to a principle.'

That Batteux proposes for his procedure 'to begin with a clear and distinct idea'—a principle 'simple enough to be grasped instantly, and extensive enough to absorb all the little detailed rules'—is sufficient clue that he will follow in method not Newton, the physicist, but rather Euclid and Descartes. In pursuance of his clear and distinct idea, he burrowed industriously through the standard French critics until, he says ingeniously, 'it occurred to me to open Aristotle, whose *Poetics* I had heard praised.' Then came the revelation, all details fell neatly into place. The source of illumination?—none other than 'the principle of imitation which the Greek philosopher established for the fine arts.'<sup>19</sup> This imitation, however, is not of crude everyday reality, but of 'la belle nature'; that is, 'le vrai-semblable,' formed by assembling traits taken from individual things to compose a model possessing 'all the perfections it is able to receive.'<sup>20</sup> From this principle Batteux goes on, lengthily and with great show of rigor, to extract one by one the rules of taste—both the general rules for poetry and painting and the detailed rules for the special genres.

the majority of known rules refer back to imitation, and form a sort of chain, by which the mind seizes at the same instant consequences and principle, as a whole perfectly joined, in which all the parts are mutually sustained.<sup>21</sup>

Next to this classic instance of a priori and deductive aesthetics I shall set a German document, Lessing's *Laokoon*, published in 1776. Lessing undertook to undo the confusion in theory and practice between poetry and the graphic and plastic arts which, he believed, resulted from an uninquisitive acceptance of Simonides' maxim that 'painting is dumb poetry and poetry a speaking painting.' His own procedure, he promises, will be continually to test abstract theory against 'the individual instance.' Repeatedly he derides German critics for their reliance on deduction. 'We Germans have no lack of systematic books. We are the most expert of any nation in the world at deducing, from a few given verbal explanations, and in the most beautiful order, anything whatever that we wish.' 'How many things would prove incontestable in theory, had not genius succeeded in proving the contrary in fact!<sup>22</sup> Lessing's intention, then, is to establish aesthetic principles by an inductive logic which is deliberately opposed to the procedure of Batteux. Nevertheless, like Batteux, Lessing concludes that poetry, no less than painting, is imitation. The diversity between these arts follows from their difference in me-

dium, which imposes necessary differences in the objects each is competent to imitate. But although poetry consists of a sequence of articulate sounds in time rather than of forms and colors fixed in space, and although, instead of being limited, like painting, to a static but pregnant moment, its special power is the reproduction of progressive action, Lessing reiterates for it the standard formula: 'Nachahmung' is still for the poet the attribute 'which constitutes the essence of his art.'<sup>23</sup>

As the century drew on, various English critics began to scrutinize the concept of imitation very closely, and they ended by finding (Aristotle to the contrary) that differences in medium between the arts were such as to disqualify all but a limited number from being classed as mimetic, in any strict sense. The trend may be indicated by a few examples. In 1744 James Harris still maintained, in 'A Discourse on Music, Painting, and Poetry,' that imitation was common to all three arts. 'They agree, by being all mimetic or imitative. They differ, as they imitate by different media...'<sup>24</sup> In 1762 Kames declared that 'of all the fine arts, painting only and sculpture are in their nature imitative'; music, like architecture, 'is productive of originals, and copies not from nature'; while language copies from nature only in those instances in which it 'is imitative of sound or motion.'<sup>25</sup> And by 1789, in two closely reasoned dissertations prefixed to his translation of the *Poetics*, Thomas Twining confirmed this distinction between arts whose media are 'iconic' (in the later terminology of the Chicago semiotician, Charles Morris), in that they resemble what they denote, and those which are significant only by convention. Only works in which the resemblance between copy and object is both 'immediate' and 'obvious,' Twining says, can be described as imitative in a strict sense. Dramatic poetry, therefore, in which we mimic speech by speech, is the only kind of poetry which is properly imitation; music must be struck from the list of imitative arts; and he concludes by saying that painting, sculpture, and the arts of design in general are 'the only arts that are *obviously* and *essentially* imitative.'<sup>26</sup>

The concept that art is imitation, then, played an important part in neoclassic aesthetics; but closer inspection shows that it did not, in most theories, play the dominant part. Art, it was commonly said, is an imitation—but an imitation which is only instrumental toward producing effects upon an audience. In fact, the near-unanimity with which post-Renaissance critics lauded and echoed Aristotle's *Poetics* is deceptive. The focus of interest had shifted, and, on our diagram, this later criticism is primarily oriented, not from work to universe, but from work to audience. The nature and consequences of this change of direction is clearly indicated by the first classic of English criticism, written sometime in the early 1580's, Sir Philip Sidney's *The Apologie for Poetry*.

### Pragmatic Theories

Poesy therefore [said Sidney] is an arte of imitation, for so Aristotle termeth it in the word *Mimesis*, that is to say, a representing, counterfetting, or figuring foorth—to speake metaphorically, a speaking picture: with this end, to teach and delight.<sup>27</sup>

In spite of the appeal to Aristotle, this is not an Aristotelian formulation. To Sidney, poetry, by definition, has a purpose—to achieve certain effects in an audience. It imitates only as a means to the proximate end of pleasing, and pleases, it turns out, only as a means to the ultimate end of teaching; for 'right poets' are those who 'imitate both to delight and teach, and delight to move men to take that goodnes in hande, which without delight they would flye as from a stranger...'<sup>28</sup> As a result, throughout this essay the needs of the audience become the fertile grounds for critical definitions and standards. In order 'to teach and delight,' poets imitate not 'what is, hath been, or shall be,' but only 'what may be, and should be,' so that the very objects of imitation become such as to guarantee the moral purpose. The poet is distinguished from, and elevated above, the moral philosopher and the historian by his capacity to move his auditors more forcefully to virtue, since he couples 'the general notion' of the philosopher with 'the particular example' of the historian; while by disguising his doctrine in a tale, he entices even 'harde harted evil men,' unaware, into the love of goodness, 'as if they tooke a medicine of Cherries.' The genres of poetry are discussed and ranked from the point of view of the moral and social effect each is suited to achieve: the epic poem thus demonstrates itself to be the king of poetry because it 'most inflameth the mind with desire to be worthy,' and even the lowly love lyric is conceived as an instrument for persuading a mistress of the genuineness of her lover's passion.<sup>29</sup> A history of criticism could be written solely on the basis of successive interpretations of salient passages from Aristotle's *Poetics*. In this instance, with no sense of strain, Sidney follows his Italian guides (who in turn had read Aristotle through the spectacles of Horace, Cicero, and the Church fathers) in bending one after another of the key statements of the *Poetics* to fit his own theoretical frame.<sup>30</sup>

For convenience we may name criticism that, like Sidney's, is oriented toward the audience, a 'pragmatic theory,' since it looks at the work of art chiefly as a means to an end, an instrument for getting something done, and tends to judge its value according to its success in achieving that aim. There is, of course, the greatest variance in emphasis and detail, but the central tendency of the pragmatic critic is to conceive a poem as something made in order to effect requisite responses in its readers; to consider the author from the point of view of the powers and training he must have in order to achieve this end; to ground the classification and anatomy of

poems in large part on the special effects each kind and component is most competent to achieve, and to derive the norms of the poetic art and canons of critical appraisal from the needs and legitimate demands of the audience to whom the poetry is addressed.

The perspective, much of the basic vocabulary, and many of the characteristic topics of pragmatic criticism originated in the classical theory of rhetoric. For rhetoric had been universally regarded as an instrument for achieving persuasion in an audience, and most theorists agreed with Cicero that in order to persuade, the orator must conciliate, inform, and move the minds of his auditors.<sup>31</sup> The great classical exemplar of the application of the rhetorical point of view to poetry was, of course, the *Ars Poetica* of Horace. As Richard McKeon points out, 'Horace's criticism is directed in the main to instruct the poet how to keep his audience in their seats until the end, how to induce cheers and applause, how to please a Roman audience, and by the same token, how to please all audiences and win immortality.'<sup>32</sup>

In what became for later critics the focal passage of the *Ars Poetica*, Horace advised that 'the poet's aim is either to profit or to please, or to blend in one the delightful and the useful.' The context shows that Horace held pleasure to be the chief purpose of poetry, for he recommends the profitable merely as a means to give pleasure to the elders, who, in contrast to the young aristocrats, 'rail at what contains no serviceable lesson.'<sup>33</sup> But *prodesse* and *delectare*, to teach and to please, together with another term introduced from rhetoric, *moveze*, to move, served for centuries to collect under three heads the sum of aesthetic effects on the reader. The balance between these terms altered in the course of time. To the overwhelming majority of Renaissance critics, as to Sir Philip Sidney, the moral effect was the terminal aim, to which delight and emotion were auxiliary. From the time of the critical essays of Dryden through the eighteenth century, pleasure tended to become the ultimate end, although poetry without profit was often held to be trivial, and the optimistic moralist believed with James Beattie that if poetry instructs, it only pleases the more effectively.<sup>34</sup>

Looking upon a poem as a 'making,' a contrivance for affecting an audience, the typical pragmatic critic is engrossed with formulating the methods—the 'skill, or Crafte of making' as Ben Jonson called it—for achieving the effects desired. These methods, traditionally comprehended under the term *poesis*, or 'art' (in phrases such as 'the art of poetry'), are formulated as precepts and rules whose warrant consists either in their being derived from the qualities of works whose success and long survival have proved their adaptation to human nature, or else in their being grounded directly on the psychological laws governing the responses of men in general. The rules, therefore, are inherent in the qualities of each

excellent work of art, and when excerpted and codified these rules serve equally to guide the artist in making and the critics in judging any future product. 'Dryden,' said Dr. Johnson, 'may be properly considered as the father of English criticism, as the writer who first taught us to determine upon principles the merit of composition.'<sup>35</sup> Dryden's method of establishing those principles was to point out that poetry, like painting, has an end, which is to please; that imitation of nature is the general means for attaining this end; and that rules serve to specify the means for accomplishing this end in detail:

I having thus shewn that imitation pleases, and why it pleases in both these arts, it follows, that some rules of imitation are necessary to obtain the end; for without rules there can be no art, any more than there can be a house without a door to conduct you into it.<sup>36</sup>

Emphasis on the rules and maxims of an art is native to all criticism that grounds itself in the demands of an audience, and it survives today in the magazines and manuals devoted to teaching fledgling authors 'how to write stories that sell.' But rulebooks based on the lowest common denominator of the modern buying public are only gross caricatures of the complex and subtly rationalized neo-classic ideals of literary craftsmanship. Through the early part of the eighteenth century, the poet could rely confidently on the trained taste and expert connoisseurship of a limited circle of readers, whether these were Horace's Roman contemporaries under Emperor Augustus, or Vida's at the papal court of Leo X, or Sidney's fellow-courtiers under Elizabeth, or the London audience of Dryden and Pope, while, in theory, the voices even of the best contemporary judges were subordinated to the voice of the ages. Some neo-classic critics were also certain that the rules of art, though empirically derived, were ultimately validated by conforming to that objective structure of norms whose existence guaranteed the rational order and harmony of the universe. In a strict sense, as John Dennis made explicit what was often implied, Nature 'is nothing but that Rule and Order, and Harmony, which we find in the visible Creation'; so 'Poetry, which is an imitation of Nature, must demonstrate the same properties. The renowned masters among the ancients wrote not

to please a tumultuous transitory Assembly, or a Handful of Men, who were call'd their Countrymen; They wrote to their Fellow-Citizens of the Universe, to all Countries, and to all Ages . . . They were clearly convinc'd, that nothing could transmit their Immortal Works to Posterity, but something like that harmonious Order which maintains the Universe . . .'<sup>37</sup>



Although they disagreed concerning specific rules, and although many English critics repudiated such formal French requisites as the unity of time and place, and the purity of comedy and tragedy, all but a few eccentrics among eighteenth-century critics believed in the validity of some set of universal rules. At about mid-century, it became popular to demonstrate and expound all the major rules for poetry, or even for art in general, in a single inclusive critical system. The pattern of the pragmatic reasoning usually employed may conveniently be studied in such a compendious treatment as James Beattie's *Essay on Poetry and Music as they affect the Mind* (1762), or more succinctly still, in Richard Hurd's 'Dissertation of the Idea of Universal Poetry' (1766). Universal poetry, no matter what the genre, Hurd says, is an art whose end is the maximum possible pleasure. 'When we speak of poetry, as an art, we mean such a way or method of treating a subject, as is found most pleasing and delightful to us.' And this idea 'if kept steadily in view, will unfold to us all the mysteries of the poetic art. There needs but to evolve the philosopher's idea, and to apply it, as occasion serves.' From this major premise Hurd evolves three properties, essential to all poetry if it is to effect the greatest possible delight: figurative language, 'fiction' (that is to say, a departure from what is actual, or empirically possible), and versification. The mode and degree in which these three universal qualities are to be combined in any one species of poetry, however, will depend on its peculiar end, because each poetic kind must exploit that special pleasure which it is generically adapted to achieve. 'For the art of every kind of poetry is only this general art so modified as the nature of each, that is, its more immediate and subordinate end, may respectively require.'

For the name of poem will belong to every composition, whose primary end is to please, provided it be so constructed as to afford all the pleasure, which its kind or sort will permit.<sup>38</sup>

On the basis of isolated passages from his *Letters on Chivalry and Romance*, Hurd is commonly treated as a 'pre-romantic' critic. But in the summation of his poetic creed in the 'Idea of Universal Poetry,' the rigidly deductive logic which Hurd employs to 'unfold' the rules of poetry from a primitive definition, permitting 'the reason of the thing' to override the evidence of the actual practice of poets, brings him as close as anyone in England to the geometric method of Charles Batteux, though without that critic's Cartesian apparatus. The difference is that Batteux evolves his rules from the definition of poetry as the imitation of *la belle nature*, and Hurd, from its definition as the art of treating a subject so as to afford the reader a maximum pleasure; and this involves his assuming that he possesses an empirical knowledge of the psychology of the reader. For if the

end of poetry is to gratify the mind of the reader, Hurd says, knowledge of the laws of mind is necessary to establish its rules, which are 'but so many MEANS, which experience finds most conducive to that end.'<sup>39</sup> Since Batteux and Hurd, however, are both intent on rationalizing what is mainly a common body of poetic lore, it need not surprise us that, though they set out from different points of the compass, their paths often coincide.<sup>40</sup>

But to appreciate the power and illumination of which a refined and flexible pragmatic criticism is capable, we must turn from these abstract systematizers of current methods and maxims to such a practical critic as Samuel Johnson. Johnson's literary criticism assumes approximately the frame of critical reference I have described, but Johnson, who distrusts rigid and abstract theorizing, applies the method with a constant appeal to specific literary examples, deference to the opinions of other readers, but ultimately, reliance on his own expert responses to the text. As a result Johnson's comments on poets and poems have persistently afforded a jumping-off point for later critics whose frame of reference and particular judgments differ radically from his own. For an instance of Johnson's procedure which is especially interesting because it shows how the notion of the imitation of nature is co-ordinated with the judgment of poetry in terms of its end and effects, consider that monument of neo-classic criticism, Johnson's *Preface to Shakespeare*.

Johnson undertakes in his *Preface* to establish Shakespeare's rank among poets, and to do so, he is led to rate Shakespeare's native abilities against the general level of taste and achievement in the Elizabethan age, and to measure these abilities in turn 'by their proportion to the general and collective ability of man.'<sup>41</sup> Since the powers and excellence of an author, however, can only be inferred from the nature and excellence of the works he achieves, Johnson addresses himself to a general examination of Shakespeare's dramas. In this systematic appraisal of the works themselves, we find that mimesis retains for Johnson a measure of authority as criterion. Repeatedly Johnson maintains that 'this therefore is the praise of *Shakespeare*, that his drama is the mirror of life,' and of inanimate nature as well: 'He was an exact surveyor of the inanimate world. . . . *Shakespeare*, whether life or nature be his subject, shews plainly, that he has seen with his own eyes. . . .'<sup>42</sup> But, Johnson also claims, 'The end of writing is to instruct; the end of poetry is to instruct by pleasing.'<sup>43</sup> It is to this function of poetry, and to the demonstrated effect of a poem upon its audience, that Johnson awards priority as aesthetic criterion. If a poem fails to please, whatever its character otherwise, it is, as a work of art, nothing; though Johnson insists, with a strenuous moralism that must already have seemed old-fashioned to contemporary readers, it must please without violating the standards of truth and virtue. Accordingly,

Johnson discriminates those elements in Shakespeare's plays which were introduced to appeal to the local and passing tastes of the rather barbarous audience of his own time ('He knew,' said Johnson, 'how he should most please'),<sup>44</sup> from those elements which are proportioned to the tastes of the common readers of all time. And since in works 'appealing wholly to observation and experience, no other test can be applied than length of duration and continuance of esteem,' Shakespeare's long survival as a poet 'read without any other reason than the desire for pleasure' is the best evidence for his artistic excellence. The reason for this survival Johnson explains on the subsidiary principle that 'nothing can please many, and please long, but just representations of general nature.' Shakespeare exhibits the eternal 'species' of human character, moved by 'those general passions and principles by which all minds are agitated.'<sup>45</sup> Thus Shakespeare's excellence in holding up the mirror to general nature turns out, in the long run, to be justified by the superior criterion of the appeal this achievement holds for the enduring tastes of the general literary public.

A number of Johnson's individual observations and judgments exhibit a play of the argument between the two principles of the nature of the world the poet must reflect, and the nature and legitimate requirements of the poet's audience. For the most part the two principles cooperate toward a single conclusion. For example, both the empirical nature of the universe and of the universal reader demonstrate the fallacy of those who censure Shakespeare for mixing his comic and tragic scenes. Shakespeare's plays, Johnson says, exhibit 'the real state of sublunary nature, which partakes of good and evil, joy and sorrow, mingled with endless variety.' In addition, 'the mingled drama may convey all the instruction of tragedy or comedy' by approaching nearer 'to the appearance of life'; while the objection that the change of scene 'wants at last the power to move' is a specious reasoning 'received as true even by those who in daily experience feel it to be false.'<sup>46</sup> But when the actual state of sublunary affairs conflicts with the poet's obligation to his audience, the latter is the court of final appeal. It is Shakespeare's defect, says Johnson,

that he seems to write without any moral purpose . . . He makes no just distribution of good or evil, nor is always careful to shew in the virtuous a disapprobation of the wicked . . . It is always a writer's duty to make the world better, and justice is a virtue independant on time or place.<sup>47</sup>

The pragmatic orientation, ordering the aim of the artist and the character of the work to the nature, the needs, and the springs of pleasure in the audience, characterized by far the greatest part of criticism from the time of Horace through the eighteenth century. Measured either by its duration or the number of its adherents, therefore, the pragmatic view,

broadly conceived, has been the principal aesthetic attitude of the Western world. But inherent in this system were the elements of its dissolution. Ancient rhetoric had bequeathed to criticism not only its stress on affecting the audience but also (since its main concern was with educating the orator) its detailed attention to the powers and activities of the speaker himself—his 'nature,' or innate powers and genius, as distinguished from his culture and art, and also the process of invention, disposition, and expression involved in his discourse.<sup>48</sup> In the course of time, and particularly after the psychological contributions of Hobbes and Locke in the seventeenth century, increasing attention was given to the mental constitution of the poet, the quality and degree of his 'genius,' and the play of his faculties in the act of composition. Through most of the eighteenth century, the poet's invention and imagination were made thoroughly dependent for their materials—their ideas and 'images'—on the external universe and the literary models the poet had to imitate, while the persistent stress laid on his need for judgment and art—the mental surrogates, in effect, of the requirements of a cultivated audience—held the poet strictly responsible to the audience for whose pleasure he exerted his creative ability. Gradually, however, the stress was shifted more and more to the poet's natural genius, creative imagination, and emotional spontaneity, at the expense of the opposing attributes of judgment, learning, and artful restraints. As a result the audience gradually receded into the background, giving place to the poet himself, and his own mental powers and emotional needs, as the predominant cause and even the end and test of art. By this time other developments, which we shall have occasion to talk about later, were also helping to shift the focus of critical interest from audience to artist and thus to introduce a new orientation into the theory of art.

### *Expressive Theories*

Poetry,' Wordsworth announced in his Preface to the *Lyrical Ballads* of 1800, 'is the spontaneous overflow of powerful feelings.' He thought well enough of this formulation to use it twice in the same essay, and on this, as the ground-idea, he founded his theory of the proper subjects, language, effects, and value of poetry. Almost all the major critics of the English romantic generation phrased definitions or key statements showing a parallel alignment from work to poet. Poetry is the overflow, utterance, or projection of the thought and feelings of the poet; or else (in the chief variant formulation) poetry is defined in terms of the imaginative process which modifies and synthesizes the images, thoughts, and feelings of the poet. This way of thinking, in which the artist himself becomes the ma-

for element generating both the artistic product and the criteria by which it is to be judged, I shall call the expressive theory of art.

Setting the date at which this point of view became predominant in critical theory, like marking the point at which orange becomes yellow in the color spectrum, must be a somewhat arbitrary procedure. As we shall see, an approach to the expressive orientation, though isolated in history and partial in scope, is to be found as early as Longinus' discussion of the sublime style as having its main sources in the thought and emotions of the speaker; and it recurs in a variant form in Bacon's brief analysis of poetry as pertaining to the imagination and 'accommodating the shows of things to the desires of the mind.' Even Wordsworth's theory, it will appear, is much more embedded in a traditional matrix of interests and emphases, and is, therefore, less radical than are the theories of his followers of the 1830's. The year 1800 is a good round number, however, and Wordsworth's Preface a convenient document, by which to signalize the displacement of the mimetic and pragmatic by the expressive view of art in English criticism.

In general terms, the central tendency of the expressive theory may be summarized in this way: A work of art is essentially the internal made external, resulting from a creative process operating under the impulse of feeling, and embodying the combined product of the poet's perceptions, thoughts, and feelings. The primary source and subject matter of a poem, therefore, are the attributes and actions of the poet's own mind; or if aspects of the external world, then these only as they are converted from fact to poetry by the feelings and operations of the poet's mind. ('Thus the Poetry ...' Wordsworth wrote, 'proceeds whence it ought to do, from the soul of Man, communicating its creative energies to the images of the external world.'<sup>49</sup> The paramount cause of poetry is not, as in Aristotle, a formal cause, determined primarily by the human actions and qualities imitated; nor, as in neo-classic criticism, a final cause, the effect intended upon the audience, but instead an efficient cause—the impulse within the poet of feelings and desires seeking expression, or the compulsion of the 'creative' imagination which, like God the creator, has its internal source of motion. The propensity is to grade the arts by the extent to which their media are amenable to the undistorted expression of the feelings or mental powers of the artist, and to classify the species of an art, and evaluate their instances, by the qualities or states of mind of which they are a sign. Of the elements constituting a poem, the element of diction, especially figures of speech, becomes primary; and the burning question is, whether these are the natural utterance of emotion and imagination or the deliberate aping of poetic conventions. The first test any poem must pass is no longer, 'Is it true to nature?' or 'Is it appropriate to the requirements either of the best judges or the generality of mankind?'

but a criterion looking in a different direction, namely, 'Is it sincere? Is it genuine? Does it match the intention, the feeling, and the actual state of mind of the poet while composing?' The work ceases then to be regarded as primarily a reflection of nature, actual or improved; the mirror held up to nature becomes transparent and yields the reader insights into the mind and heart of the poet himself. The exploitation of literature as an index to personality first manifests itself in the early nineteenth century; it is the inevitable consequence of the expressive point of view.

The sources, details, and historical results of this reorientation of criticism, in its various forms, will be a principal concern of the rest of this book. Now, while we have some of the earlier facts fresh in mind, let me indicate what happened to salient elements of traditional criticism in the essays 'What Is Poetry?' and 'The Two Kinds of Poetry,' written by John Stuart Mill in 1833. Mill relied in large part on Wordsworth's Preface to the *Lyrical Ballads*, but in the intervening thirty years the expressive theory had emerged from the network of qualifications in which Wordsworth had carefully placed it, and had worked out its own destiny unhindered. Mill's logic in answering the question, 'What Is Poetry?' is not *more geometrico*, like that of Batteux, nor stiffly formal, like Richard Hurd's; nonetheless, his theory turns out to be just as tightly dependent upon a central principle as theirs. For whatever Mill's empirical pretensions, his initial assumption about the essential nature of poetry remains continuously though silently effective in selecting, interpreting, and ordering the facts to be explained.

The primitive proposition of Mill's theory is: Poetry is 'the expression or uttering forth of feeling.'<sup>50</sup> Exploration of the data of aesthetics from this starting point leads, among other things, to the following drastic alterations in the great commonplaces of the critical tradition:

(1) *The poetic kinds*. Mill reinterprets and inverts the neo-classic ranking of the poetic kinds. As the purest expression of feeling, lyric poetry is 'more eminently and peculiarly poetry than any other ...' Other forms are all alloyed by non-poetic elements, whether descriptive, didactic, or narrative, which serve merely as convenient occasions for the poetic utterances of feeling either by the poet or by one of his invented characters. To Aristotle, tragedy had been the highest form of poetry, and the plot, representing the action being imitated, had been its 'soul'; while most neo-classic critics had agreed that, whether judged by greatness of subject matter or of effect, epic and tragedy are the king and queen of poetic forms. It serves as an index to the revolution in critical norms to notice that to Mill, plot becomes a kind of necessary evil. An epic poem 'in so far as it is epic [i.e. narrative] ... is not poetry at all,' but only a suitable frame for the greatest diversity of genuinely poetic passages; while the interest in plot and story 'merely as a story' characterizes rude stages of so-

ciety, children, and the 'shallowest and emptiest' of civilized adults.<sup>51</sup> Similarly with the other arts; in music, painting, sculpture, and architecture Mill distinguishes between that which is 'simple imitation or description' and that which 'expresses human feeling' and is, therefore, poetry.<sup>52</sup>

(2) *Spontaneity as criterion.* Mill accepts the venerable assumption that a man's emotional susceptibility is innate, but his knowledge and skill—his art—are acquired. On this basis, he distinguishes poets into two classes: poets who are born and poets who are made, or those who are poets 'by nature,' and those who are poets 'by culture.' Natural poetry is identifiable because it 'is Feeling itself, employing Thought only as the medium of its utterance'; on the other hand, the poetry of 'a cultivated but not naturally poetic mind,' is written with 'a distinct aim,' and in it the thought remains the conspicuous object, however surrounded by 'a halo of feeling.' Natural poetry, it turns out, is 'poetry in a far higher sense, than any other; since . . . that which constitutes poetry, human feeling, enters far more largely into this than into the poetry of culture.' Among the moderns, Shelley represents the poet born and Wordsworth the poet made; and with unconscious irony Mill turns Wordsworth's own criterion, 'the spontaneous overflow of feeling,' against its sponsor. Wordsworth's poetry 'has little even of the appearance of spontaneousness: the well is never so full that it overflows.'<sup>53</sup>

(3) *The external world.* In so far as a literary product simply imitates objects, it is not poetry at all. As a result, reference of poetry to the external universe disappears from Mill's theory, except to the extent that sensible objects may serve as a stimulus or 'occasion for the generation of poetry,' and then, 'the poetry is not in the object itself,' but 'in the state of mind' in which it is contemplated. When a poet describes a lion he 'is describing the lion professedly, but the state of excitement of the spectator really,' and the poetry must be true not to the object, but to 'the human emotion.'<sup>54</sup> Thus severed from the external world, the objects signified by a poem tend to be regarded as no more than a projected equivalent—an extended and articulated symbol—for the poet's inner state of mind. Poetry, said Mill, in a phrasing which anticipates T. E. Hulme and lays the theoretical groundwork for the practice of symbolists from Baudelaire through T. S. Eliot, embodies 'itself in symbols, which are the nearest possible representations of the feeling in the exact shape in which it exists in the poet's mind.'<sup>55</sup> Tennyson, Mill wrote in a review of that poet's early poems, excels in 'scene-painting, in the higher sense of the term'; and this is

not the mere power of producing that rather vapid species of composition usually termed descriptive poetry . . . but the power of creating scenery, in keeping with some state of human feeling; so

fitted to it as to be the embodied symbol of it, and to summon up the state of feeling itself, with a force not to be surpassed by anything but reality.<sup>56</sup>

And as an indication of the degree to which the innovations of the romantics persist as the commonplaces of modern critics—even of those who purport to found their theory on anti-romantic principles—notice how striking is the parallel between the passage above and a famous comment by T. S. Eliot:

The only way of expressing emotion in the form of art is by finding an 'objective correlative'; in other words, a set of objects, a situation, a chain of events which shall be the formula of that particular emotion; such that when the external facts, which must terminate in sensory experience, are given, the emotion is immediately evoked.<sup>57</sup>

(4) *The audience.* No less drastic is the fate of the audience. According to Mill, 'Poetry is feeling, confessing itself to itself in moments of solitude . . . The poet's audience is reduced to a single member, consisting of the poet himself.' 'All poetry,' as Mill puts it, 'is of the nature of soliloquy.' The purpose of producing effects upon other men, which for centuries had been the defining character of the art of poetry, now serves precisely the opposite function: it disqualifies a poem by proving it to be rhetoric instead. When the poet's

act of utterance is not itself the end, but a means to an end—viz. by the feelings he himself expresses, to work upon the feelings, or upon the belief, or the will, of another,—when the expression of his emotions . . . is tinged also by that purpose, by that desire of making an impression upon another mind, then it ceases to be poetry, and becomes eloquence.<sup>58</sup>

There is, in fact, something singularly fatal to the audience in the romantic point of view. Or, in terms of historical causes, it might be conjectured that the disappearance of a homogeneous and discriminating reading public fostered a criticism which on principle diminished the importance of the audience as a determinant of poetry and poetic value. Wordsworth still insisted that 'Poets do not write for Poets alone, but for Men,' and that each of his poems 'has a worthy purpose'; even though it turns out that the pleasure and profit of the audience is an automatic consequence of the poet's spontaneous overflow of feeling, provided that the appropriate associations between thoughts and feelings have been established by the poet in advance.<sup>59</sup> Keats, however, affirmed roundly that 'I never wrote one single line of Poetry with the least shadow of public thought.'<sup>60</sup> 'A poet is a nightingale,' according to Shelley, 'who sits in darkness and sings to cheer its own solitude

with sweet sounds; his auditors are as men entranced by the melody of an unseen musician . . .<sup>61</sup> For Carlyle, the poet utterly replaces the audience as the generator of aesthetic norms.

On the whole, Genius has privileges of its own; it selects an orbit for itself; and be this never so eccentric, if it is indeed a celestial orbit, we mere star-gazers must at last compose ourselves; must cease to cavil at it, and begin to observe it, and calculate its laws.<sup>62</sup>

The evolution is complete, from the mimetic poet, assigned the minimal role of holding a mirror up to nature, through the pragmatic poet who, whatever his natural gifts, is ultimately measured by his capacity to satisfy the public taste, to Carlyle's Poet as Hero, the chosen one who, because he is 'a Force of Nature,' writes as he must, and through the degree of homage he evokes, serves as the measure of his *reader's* piety and taste.<sup>63</sup>

### Objective Theories

All types of theory described so far, in their practical applications, get down to dealing with the work of art itself, in its parts and their mutual relations, whether the premises on which these elements are discriminated and evaluated relate them primarily to the spectator, the artist, or the world without. But there is also a fourth procedure, the 'objective orientation,' which on principle regards the work of art in isolation from all these external points of reference, analyzes it as a self-sufficient entity constituted by its parts in their internal relations, and sets out to judge it solely by criteria intrinsic to its own mode of being.

This point of view has been comparatively rare in literary criticism. The one early attempt at the analysis of an art form which is both objective and comprehensive occurs in the central portion of Aristotle's *Poetics*. I have chosen to discuss Aristotle's theory of art under the heading of mimetic theories, because it sets out from, and makes frequent reference back to the concept of imitation. Such is the flexibility of Aristotle's procedure, however, that after he has isolated the species 'tragedy,' and established its relation to the universe as an imitation of a certain kind of action, and to the audience through its observed effect of purging pity and fear, his method becomes centripetal, and assimilates these external elements into attributes of the work proper. In this second consideration of tragedy as an object in itself, the actions and agents that are imitated re-enter the discussion as the plot, character, and thought which, together with diction, melody, and spectacle, make up the six elements of a tragedy; and even pity and fear are reconsidered as that pleasurable quality

proper to tragedy, to be distinguished from the pleasures characteristic of comedy and other forms.<sup>64</sup> The tragic work itself can now be analyzed formally as a self-determining whole made up of parts, all organized around the controlling part, the tragic plot—itsself a unity in which the component incidents are integrated by the internal relations of 'necessity or probability.'

As an all-inclusive approach to poetry, the objective orientation was first beginning to emerge in the late eighteenth and early nineteenth century. We shall see later on that some critics were undertaking to explore the concept of the poem as a heterocosm, a world of its own, independent of the world into which we are born, whose end is not to instruct or please but simply to exist. Certain critics, particularly in Germany, were expanding upon Kant's formula that a work of art exhibits *Zweckmässigkeit ohne Zweck* (purposiveness without purpose), together with his concept that the contemplation of beauty is disinterested and without regard to utility, while neglecting Kant's characteristic reference of an aesthetic product to the mental faculties of its creator and receptor. The aim to consider a poem, as Poe expressed it, as a 'poem *per se* . . . written solely for the poem's sake,'<sup>65</sup> in isolation from external causes and ulterior ends, came to constitute one element of the diverse doctrines usually huddled together by historians under the heading 'Art for Art's Sake.' And with differing emphases and adequacy, and in a great variety of theoretical contexts, the objective approach to poetry has become one of the most prominent elements in the innovative criticism of the last two or three decades. T. S. Eliot's dictum of 1928, that 'when we are considering poetry we must consider it primarily as poetry and not another thing' is widely approved, however far Eliot's own criticism sometimes departs from this ideal, and it is often joined with MacLeish's verse aphorism, 'A poem should not mean But be.' The subtle and incisive criticism of criticism by the Chicago Neo-Aristotelians and their advocacy of an instrument adapted to dealing with poetry as such have been largely effective toward a similar end. In his 'ontological criticism,' John Crowe Ransom has been calling for recognition of 'the autonomy of the work itself as existing for its own sake';<sup>66</sup> campaigns have been organized against 'the personal heresy' 'the intentional fallacy' and 'the affective fallacy'; the widely influential handbook, *The Theory of Literature*, written by René Wellek and Austin Warren, proposes that criticism deal with a poem *qua* poem, independently of 'extrinsic' factors; and similar views are being expressed, with increasing frequency, not only in our literary but in our scholarly journals. In America, at least, some form of the objective point of view has already gone far to displace its rivals as the reigning mode of literary criticism.

According to our scheme of analysis, then, there have been four major orientations, each one of which has seemed to various acute minds adequate for a satisfactory criticism of art in general. And by and large the historic progression, from the beginning through the early nineteenth century, has been from the mimetic theory of Plato and (in a qualified fashion) Aristotle, through the pragmatic theory, lasting from the conflation of rhetoric with poetic in the Hellenistic and Roman era almost through the eighteenth century, to the expressive theory of English (and somewhat earlier, German) romantic criticism.

Of course romantic criticism, like that of any period, was not uniform in its outlook. As late as 1831 Macaulay (whose thinking usually followed traditional patterns) still insists, as an eternal rule 'founded in reason and in the nature of things,' that 'poetry is, as was said more than two thousand years ago, imitation,' and differentiates between the arts on the basis of their diverse media and objects of imitation. Then, in an essay packed with eighteenth-century catch-words, he ungratefully employs the mimetic principle to justify his elevation of Scott, Wordsworth, and Coleridge over the eighteenth-century poets because they imitate nature more accurately, and attacks the neo-classic rules of correctness on the ground that they 'tend to make . . . imitations less perfect than they otherwise would be . . .'<sup>67</sup> The mode of criticism which subjects art and the artist to the audience also continued to flourish, usually in a vulgarized form, among influential journalists such as Francis Jeffrey, who deliberately set themselves to voice the literary standards of the middle class and to preserve unscathed what Jeffrey called 'the purity of the female character.'<sup>68</sup>

But these are not the innovative critical writings which contributed to the predominant temper of what Shelley, in his 'Defence of Poetry,' called 'the spirit of the age'; and the radical difference between the characteristic points of view of neo-classic and romantic criticism remains unmistakable. Take such representative productions of the 1760's and '70's as Johnson's *Preface to Shakespeare*, Kames's *Elements of Criticism*, Richard Hurd's 'On the Idea of Universal Poetry,' *The Art of Poetry on a New Plan* (of dubious authorship), Beattie's *Essays on Poetry and Music*, and the first eight *Discourses* of Sir Joshua Reynolds. Place these next to the major inquiries into poetry and art of the romantic generation: Wordsworth's Prefaces and collateral essays, Coleridge's *Biographia Literaria* and Shakespearean lectures, Hazlitt's 'On Poetry in General' and other essays, even Shelley's Platonistic 'Defence of Poetry'; then add to this group such later documents as Carlyle's 'Characteristics' and early literary reviews, J. S. Mill's two essays on poetry, John Keble's *Lectures on Poetry*, and Leigh Hunt's 'What Is Poetry?'. Whatever the continuity of

certain terms and topics between individual members of the two eras, and however important the methodological and doctrinal differences which divide the members within a single group, one decisive change marks off the criticism in the Age of Wordsworth from that in the Age of Johnson. The poet has moved into the center of the critical system and taken over many of the prerogatives which had once been exercised by his readers, the nature of the world in which he found himself, and the inherited precepts and examples of his poetic art.

## NOTES

- 1 Foreword to *Philosophies of Beauty*, ed. E. F. Carratt (Oxford, 1931), p. ix.
- 2 14th ed.; London, 1934], pp. 6-7. Richards' later change of emphasis is indicated by his recent statement that "'Semantics" which began by finding nonsense everywhere may well end up as a technique for widening understanding' (*Modern Language Notes*, LX, 1945, p. 350).
- 3 For a subtle and elaborate analysis of diverse critical theories, see Richard McKeon, 'Philosophic Bases of Art and Criticism,' *Critics and Criticism, Ancient and Modern*, ed. R. S. Crane (The University of Chicago Press, Chicago, 1952).
- 4 *Republic* (trans. Jowett) x. 596-7; *Laws* ii. 667-8, vii. 814-16.
- 5 See Richard McKeon, 'Literary Criticism and the Concept of Imitation in Antiquity,' *Critics and Criticism*, ed. Crane, pp. 147-9. The article exhibits those multiple shifts in Plato's use of the term 'imitation' which have trapped many later commentators as successfully as they once did the rash spirits who engaged Socrates in controversy.
- 6 *Republic* x. 597.
- 7 *Laws* vii. 817.
- 8 *Republic* x. 603-5; *Ion* 535-6; cf. *Apology* 22.
- 9 *Republic* x. 608.
- 10 *Poetics* (trans. Ingram Bywater) l. 1447, 1448. On imitation in Aristotle's criticism see McKeon, 'The Concept of Imitation,' op. cit. pp. 160-68.
- 11 *Poetics* 6. 1449<sup>b</sup>, 14. 1453<sup>b</sup>.
- 12 *Ibid.* 8. 1451<sup>a</sup>.
- 13 *Ibid.* 6. 1450<sup>b</sup> - 1450<sup>b</sup>.
- 14 *Ibid.* 4. 1448<sup>b</sup>, 17. 1455<sup>a</sup> - 1455<sup>b</sup>.
- 15 *Republic* iii. 398, x. 606-8; *Laws* vii. 817.
- 16 *The Works of Richard Hurd* (London, 1811), II, 111-12.
- 17 Edward Young, *Conjectures on Original Composition*, ed. Edith Morley (Manchester, 1918), pp. 6, 18. See also William Duff, *Essay on Original Genius* (London, 1767), p. 192n. John Ogilvie reconciles creative genius and original invention with 'the great principle of poetic imitation' (*Philosophical and Critical Observations on the Nature, Characters, and Various Species of Composition*, London, 1774, I, 105-7). Joseph Warton, familiar proponent of a 'boundless imagination,' enthusiasm, and 'the romantic, the

- wonderful, and the wild' still agrees with Richard Hurd that poetry is 'an art, whose essence is imitation,' and whose objects are 'material or animate, extraneous or internal' (*Essay on the Writings and Genius of Pope*, London, 1756, I, 89-90). Cf. Robert Wood, *Essay on the Original Genius and Writings of Homer* (1769), London, 1824, pp. 6-7, 178.
18. 'Originality' *Gleanings* (London, 1785), I, 107, 109.
19. Charles Batteux, *Les Beaux Arts réduits à un même principe* (Paris, 1747), pp. i-viii.
20. *Ibid.* pp. 9-27.
21. *Ibid.* p. xiii. For the important place of imitation in earlier French neo-classic theories, see René Bray, *La Formation de la doctrine classique en France* (Lausanne, 1931), pp. 140ff.
22. Lessing, *Laokoon*, ed. W. G. Howard (New York, 1910), pp. 23-5, 42.
23. *Ibid.* pp. 99-102, 64.
24. *Three Treatises*, in *The Works of James Harris* (London, 1803), I, 58. Cf. Adam Smith, 'Of the Nature of that Imitation which Takes Place in What Are Called the Imitative Arts,' *Essays Philosophical and Literary* (London, n.d.), pp. 405ff.
25. Henry Home, Lord Kames, *Elements of Criticism* (Boston, 1796), II, 1 (chap. xviii).
26. Thomas Twining, ed., *Aristotle's Treatise on Poetry* (London, 1789), pp. 4, 21-2, 60-61.
27. Sir Philip Sidney, 'An Apology for Poetry,' *Elizabethan Critical Essays*, ed. G. Gregory Smith (London, 1904), I, 158.
28. *Ibid.* I, 159.
29. *Ibid.* I, 159, 161-4, 171-80, 201.
30. See, e.g., his use of Aristotle's statement that poetry is more philosophical than history (I, 167-8), and that painful things can be made pleasant by imitations (p. 171); and his wrenching of Aristotle's central term, *praxis*—the actions which are imitated by poetry—to signify the moral action which a poem moves the spectator to practise (p. 171).
31. Cicero, *De oratore* II, xxviii.
32. 'The Concept of Imitation,' op. cit. p. 173.
33. Horace, *Ars Poetica*, trans. E. H. Blakney, in *Literary Criticism, Plato to Dryden*, ed. Allan H. Gilbert (New York, 1940), p. 139.
34. *Essays on Poetry and Music* (3d ed., London, 1779), p. 10.
35. 'Dryden,' *Lives of the English Poets*, ed. Birkbeck Hill (Oxford, 1905), I, 410.
36. 'Parallel of Poetry and Painting' (1695), *Essays*, ed. W. P. Ker (Oxford, 1926), II, 138. See Hoyt Trowbridge, 'The Place of Rules in Dryden's Criticism,' *Modern Philology*, XLIV (1946), 84ff.
37. *The Advancement and Reformation of Modern Poetry* (1701), in *The Critical Works of John Dennis*, ed. E. N. Hooker (Baltimore, 1939), I, 202-3. For Dennis' derivation of specific rules from the end of art, which is 'to delight and reform the mind,' see *The Grounds of Criticism in Poetry* (1704), *ibid.* pp. 336ff.
38. 'Dissertation on the Idea of Universal Poetry,' *Works*, II, 3-4, 25-6, 7. For a parallel argument see Alexander Gerard, *An Essay on Taste* (London, 1759), p. 40.

- Idea of Universal Poetry,' *Works*, II, 3-4. On the rationale underlying the theory of Hurd's criticism, see the article by Hoyt Trowbridge, 'Bishop Hurd: A Re-interpretation,' *PMLA*, LVIII (1943), 450ff.
40. J. F. Batteux 'deduces' from the idea that poetry is the imitation, not of unadorned reality, but of *la belle nature*, that its end can only be 'to please, to move, to touch, in a word, pleasure' (*Les Beaux Arts*, pp. 81, 151). Conversely, Hurd infers from the fact that the end of poetry is pleasure that the poet's duty is 'to illustrate and adorn' reality, and to delineate it 'in the most taking forms' ('Idea of Universal Poetry,' *Works*, II, 8). For purposes of a specialized investigation into the evidences for plagiarism among poets, Hurd himself, in another essay, shifts his ground, and like Batteux, sets out from a definition of poetry as an imitation, specifically, of 'the fairest forms of things' ('Discourse on Poetic Imitation,' *Works*, II, 111).
41. *Johnson on Shakespeare*, ed. Walter Raleigh (Oxford, 1908), pp. 10, 30-31.
42. *Ibid.* pp. 14, 39. Cf. pp. 11, 31, 33, 37, etc.
43. *Ibid.* p. 16.
44. *Ibid.* pp. 31-3, 41.
45. *Ibid.* pp. 9-12.
46. *Ibid.* pp. 15-17. See also Johnson's defense of Shakespeare for violating the decorum of character-types, by the appeal to 'nature' as against 'accident'; and for breaking the unities of time and place, by the appeal both to the actual experience of dramatic auditors, and to the principle that 'the greatest graces of a play, are to copy nature and instruct life' (*ibid.* pp. 14-15, 25-30). Cf. *Rambler* No. 156.
47. *Ibid.* pp. 20-21. The logic appears even more clearly in Johnson's early paper on 'works of fiction,' in *Rambler* No. 4, 1750 (*The Works of Samuel Johnson*, ed. Arthur Murphy, London, 1824, IV, 23): 'It is justly considered as the greatest excellency of art, to imitate nature, but it is necessary to distinguish those parts of nature which are most proper for imitation,' etc. For a detailed analysis of Johnson's critical methods, see W. R. Keast, 'The Theoretical Foundations of Johnson's Criticism,' *Critics and Criticism*, ed. R. S. Crane, pp. 389-407.
48. See the masterly précis of the complex movements within English neo-classic criticism by R. S. Crane, 'English Neoclassical Criticism,' *Critics and Criticism*, pp. 372-88.
49. *Letters of William and Dorothy Wordsworth: The Middle Years*, ed. E. de Selincourt (Oxford, 1937), II, 705, 18 Jan. 1816.
50. *Early Essays by John Stuart Mill*, ed. J. W. M. Gibbs (London, 1897), p. 208.
51. *Ibid.* pp. 228, 205-6, 213, 203-4.
52. *Ibid.* pp. 211-17.
53. *Ibid.* pp. 222-31.
54. *Ibid.* pp. 206-7.
55. *Ibid.* pp. 208-9. Cf. Hulme, 'If it is sincere in the accurate sense . . . the whole of the analogy is necessary to get out the exact curve of the feeling or thing you want to express . . .' ('Romanticism and Classicism,' *Speculations*, London, 1936, p. 138).

56. Review, written in 1835, of Tennyson's *Poems Chiefly Lyrical* (1830) and *Poems* (1833), in *Early Essays*, p. 242.
57. 'Hamlet,' *Selected Essays* 1917-32 (London, 1932), p. 145.
58. *Early Essays*, pp. 208-9. Cf. John Keble, *Lectures on Poetry* (1832-41), trans. E. K. Francis (Oxford, 1912), I, 48-9: 'Cicero is always the orator' because 'he always has in mind the theatre, the benches, the audience'; whereas Plato is 'more poetical than Homer himself' because 'he writes to please himself, not to win over others.'
59. Preface to the *Lyrical Ballads*, *Wordsworth's Literary Criticism*, ed. N. C. Smith (London, 1905), pp. 30, 15-16.
60. *Letters*, ed. Maurice Buxton Forman (3d ed., New York, 1948), p. 131 (to Reynolds, 9 Apr. 1818).
61. 'Defence of Poetry,' *Shelley's Literary and Philosophical Criticism*, ed. John Shawcross (London, 1909), p. 129.
62. 'Jean Paul Friedrich Richter' (1827), *Works*, ed. H. D. Traill (London, 1905), XXXVI, 20.
63. See *Heroes, Hero-Worship, and the Heroic in History*, in *Works*, v, esp. pp. 80-85, 108-12. Cf. Jones Very's indignant denial of the inference that because the general ear takes delight in Shakespeare, 'his motive was to please ... We degrade those whom the world has pronounced poets, when we assume any other cause of their song than the divine and original action of the soul in humble obedience to the Holy Spirit upon whom they call' ('Shakespeare' (1838), *Poems and Essays*, Boston and New York, 1886, pp. 45-6).
64. 'Not every kind of pleasure should be required of a tragedy, but only its own proper pleasure. The tragic pleasure is that of pity and fear ...' (*Poetics* 14, 1453b).
65. 'The Poetic Principle,' *Representative Selections*, ed. Margaret Alterton and Hardin Craig (New York, 1935), pp. 382-3.
66. See John Crowe Ransom, *The World's Body* (New York, 1938), esp. pp. 327ff., and 'Criticism as Pure Speculation,' *The Intent of the Critic*, ed. Donald Stauffer (Princeton, 1941).
67. 'Moore's *Life of Lord Byron*,' in *Critical and Historical Essays* (Everyman's Library, London, 1907), II, 622-8.
68. *Edinburgh Review*, VIII (1806), 459-60. On Jeffrey's use of an elaborate associationist aesthetics in order to justify the demand that an author or artist have as his aim 'to give as much [pleasure] and to as many persons as possible,' and that he 'fashion his productions according to the rules of taste which may be deduced' from an investigation of the most widespread public preferences, see his *Contributions to the Edinburgh Review* (London, 1844), I, 76-8, 128; II, 53-4. For contemporary justifications, on sociological and moral grounds, for instituting a petticoat government over the republic of letters, see, e.g., John Bowring's review of Tennyson's *Poems*, in *Westminster Review*, XIV (1831), 223; *Lockhart's Literary Criticism*, ed. M. C. Hildyard (Oxford, 1931), p. 66; Christopher North (John Wilson), *Works*, ed. Ferrier (Edinburgh and London, 1857), IX, 194-5, 228.

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### Problems in the Study of Literature and Language\*

1. The immediate problems facing Russian literary and linguistic science demand a precision of the theoretical platform. They require a firm delimitation from the increasing tendency to paste together mechanically the new methodology and the old discarded methods; they necessitate a determined refusal of the contraband offer of naive psychologism and other methodological hand-me-downs in the guise of new terminology.

Furthermore, academic eclecticism, scholastic "formalism"—which replaces analysis by terminology and the classification of phenomena—and the repeated attempts to shift literary and linguistic studies from a systematic science to episodic and anecdotal genres should be rejected.

2. The history of literature (art), being simultaneous with other historical series, is characterized, as is each of these series, by an involved complex of specific structural laws. Without an elucidation of these laws, it is impossible to establish in a scientific manner the correlation between the literary series and other historical series.

3. The evolution of literature cannot be understood until the evolutionary problem ceases to be obscured by questions of episodic, nonsynchronic origin, whether literary (for example, so-called "literary influences") or extraliterary. The literary and extraliterary material used in literature may be introduced into the orbit of scientific investigation only when it is considered from a functional point of view.

4. The sharp opposition of synchronic (static) and diachronic cross-sections has recently become a fruitful working hypothesis, both for linguistics and for the history of literature; this opposition reveals the na-

\* "Problemy izučeniya literatury i jazyka," *Novyj Lef*, 12 (1928), pp. 36-37. Translated by Herbert Eagle.