Fictionalizing Acts in Hawthorne's *American Notebooks*

By

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ABSTRACT

This thesis explores processes of fictionalization in the *American Notebooks*, a volume of diaries written by Nathaniel Hawthorne and first published in 1868. The idea of approaching diaries from the perspective of the fictive comes as a response to common sense and critical views of diaristic writing that consider it as a transparent and mimetic form of representation. Alternatively, it shall be argued that Hawthorne's *American Notebooks* reveal indirect and non-mimetic forms of rendering the world, which will be analyzed within the framework of Wolfgang Iser's literary anthropology.

Such methodology will provide the key concepts used in the analysis of those indirect forms of representation, namely, the *fictive*, the real and the acts of boundary-crossing *selection*, *combination*, *self-disclosure* and *doubling*. The *fictive* is understood here as an intentional act that transforms the real into a sign, and the acts of boundary-crossing are the different types of relationships established between that real and the imagined. Among the processes of fictionalization that shall be discussed in light of these concepts are the recourse to literary, religious and political discourses to interpret experiences, the evocation of the visual arts in landscape descriptions, and the metacommentary.

Such processes of fictionalization will, in turn, be related to periods and traditions in the history of literature and aesthetics, such as Romanticism, the Picturesque and Transcendentalism. The parallels drawn between Hawthorne's diaries and these thought systems will open the text to its context, and reveal a dialogue with the visual arts. These parallels shall eventually bring about a realization of the variety and complexity of signifying procedures in Hawthorne's *AN*. Additionally, they shall enable us to question generic principles and definitions with regard to diaries.

RESUMO

Esta dissertação explora processos ficcionais nos *American Notebooks*, um volume de diários escrito por Nathaniel Hawthorne e publicado pela primeira vez em 1868. A idéia de abordar o diário pelo viés do ficcional representa uma resposta a visões críticas e do senso comum sobre a escrita diarística que a consideram como um modo de representação transparente e mimético. De forma alternativa, defendo que os *American Notebooks* revelam formas indiretas e não-miméticas de representação do mundo. Tais formas serão analisadas dentro do modelo de antropologia literária proposto por Wolfgang Iser.

Tal metodologia fornecerá os conceitos-chave empregados na análise dessas formas de representação, a saber: o *fictício*, o *real* e os atos de transgressão de fronteiras (*seleção*, *combinação*, *auto-indicação*, e *duplicação*). O fictício é entendido aqui como um ato intencional que transforma o real em signo, e os atos de transgressão de fronteiras referem-se aos diferentes tipos de relações estabelecidas entre o real e o imaginado. Entre os processos de ficcionalização que deverão ser discutidos sob a luz desses conceitos estão o recurso aos discursos literário, religioso e político na interpretação de experiências, a evocação das artes visuais nas descrições de paisagem e o metacomentário.

Tais processos de ficcionalização serão relacionados a períodos e tradições na história da literatura e da estética, tais como o Romantismo, o Pitoresco e o Transcendentalismo. Os paralelos entre os diários de Hawthorne e esses sistemas de pensamento devem permitir uma abertura do texto ao seu contexto, e revelar um diálogo com as artes visuais. Esses paralelos prometem uma compreensão da variedade e complexidade dos procedimentos significantes nos *American Notebooks*. Além disso, eles devem possibilitar o questionamento de princípios e definições genéricos com relação ao diário.

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1   Introduction

1.1. A textual and contextual approach to Hawthorne's *American Notebooks*

Hawthorne's fiction has been read from a vast gamut of perspectives, and as often happens to writers in general, some of these perspectives have eventually translated into fixed images of the writer's literary personality. In "Hawthorne at home" Paul Auster offers a concise overview of such images. His list includes: "Hawthorne the allegorist, Hawthorne the high Romantic fabulist, Hawthorne the chronicler of seventeenth-century colonial New England and, most notably, Hawthorne as reimagined by Borges – the precursor of Kafka" (471). As Auster goes on to observe, however:

> … there is yet another Hawthorne who has been more or less forgotten, neglected because of the magnitude of his other achievements: the private Hawthorne, the scribbler of anecdotes and impulsive thoughts, the workman of ideas, the meteorologist and depictor of landscapes, the traveler, the letter-writer, the historian of everyday life. (471)

This private Hawthorne seems conducive to promising lines of inquiry, related not only to the writer's life and methods of composition, but also to the specific status of the writing found in his neglected texts.

For instance, in taking the writer's diaries as an object of study, one could explore how reality is represented in them, and interrogate whether or not there is any fictionalizing drive underlying the writer's accounts of daily events. This thesis provides a positive answer to such question while analyzing *The American Notebooks,* a specific volume of diaries by

Hawthorne. It shall be argued that, contrary to definitions of private journals based on a mimetic criterion, the *AN*[1] reveals the following forms of fictionalization:

1. Use of different discourses and referential fields to interpret lived experiences;

2. De-restriction of lexical meanings;

3. Evocation of painting in descriptions of nature;

4. Recourse to conventions derived from the Picturesque tradition (which endow the viewer and the viewed with performative attributes);

5. Use of mirror-imagery to depict the natural world.

6. Acknowledgment of the gap between representation and reality.

Thus, the development of the argument proposed will inevitably convoke most of the private Hawthornes listed by Auster, with particular emphasis on the "scribbler of anecdotes and impulsive thoughts," and "the meteorologist and depictor of landscapes."

Nevertheless, the thesis proposed here will do more than rescue these Hawthornes from oblivion. It will, first and foremost, show the limits of traditional approaches to private journals in literary criticism. In biographical and genetic criticism, for example, private journals are taken as documents. In the former case, they serve to confirm the empirical existence of the writer or testify to facts about his/her life, whereas in the latter, they are seen as evidence of his/her creative process. Notwithstanding the importance of these two areas, the exclusively documental appropriation of private journals reinforces the idea that these texts belong to a more transparent form of representation, that is, they "do not constitute [their] own world," as K. Eckhard Kuhn-Osius claims while distinguishing diaries from fiction (167).

Countering such view will require an alternative perspective on what is tacitly understood as fiction, and this perspective will be sought in Wolfgang Iser's literary

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[1] Hereafter, the *American Notebooks* will be abbreviated thus.

anthropology. According to Iser, fiction is not synonymous with invention, and just as the so-called non-fictional texts are not necessarily without fiction, the fictional ones "are permeated by a vast range of identifiable items, selected from social and other extratextual realities" (2). Therefore, instead of talking about fiction, he suggests that we talk about the *fictive*, which is an "intentional act" rather than simply "unreality," "lies," or "deceit" (305). The fictive, as Iser conceives it, is what brings about the incorporation and trespassing of the real in the form of fictionalizing acts. And such acts, together with the concept of *doubling*, will be the guiding principles in the analysis of the types of fictionalization seen in Hawthorne's *AN*.

While this thesis focuses primarily on how the real is overstepped and becomes a sign, the real as the vast matrix of discourses "relevant to the author's approach to the world through the text" shall have a decisive role in establishing connections between text and context (Iser 305). Hawthorne's diaries, in this case, shall be seen as incorporating and responding to the cultural influences of their time, namely, Romanticism, the excursionist tradition of the Picturesque, and Transcendentalism. Therefore, the methodology adopted will comprehend, apart from literary anthropology, literary history and history of aesthetics.

Such proposal is inspired by the notion of "culture as text" discussed by Catherine Gallagher and Stephen Greenblatt in the Introduction to *Practicing New Historicism*. According to them, "[t]he deepest sources of art lie not in the skill of the individual maker but in the inner resources of a people in a particular place and time" (7). Moreover, the two authors believe, alongside with Jonathan G. von Herder, that there is a "mutual embeddedness of art and history," and that it is possible to "[treat] all of the written and visual traces of a particular culture as a mutually intelligible network of signs" (7). This belief is in keeping with the analysis of the *AN* to be carried out, especially because it invites interpretation that is not limited to the private and the biographical.

But the notion of "culture as text" has other implications that seem even more pertinent to this thesis. As Gallagher and Greenblatt remark:

> [the notion of culture as text] vastly expands the range of objects available to be read and interpreted. Major works of art remain centrally important, but they are jostled now by an array of other texts and images. Some of these alternative objects of attention are literary works regarded as too minor to deserve sustained interest and hence marginalized or excluded entirely from the canon. Others are texts that have been regarded as altogether nonliterary, that is, as lacking the aesthetic polish, the self-conscious use of rhetorical figures, the aura of distance from the everyday world, the marked status as fiction that separately or together characterize the belles lettres. (9)

Conversely, such texts may reveal, as the authors add, "an unanticipated aesthetic dimension" (10). As this thesis aims to show, such "aesthetic dimension" may be found in the very daily notes kept by the diarist, and in the dialogue they establish with the visual arts.

It should be observed that the notes used in this study have undergone a careful process of selection. This was necessary given the variety and amount of entries, as well as the theme approached. Thus, the choice privileged those passages in which Hawthorne narrates experiences, reflects upon observed scenes, and describes walks and landscapes. Passages that do not show the departure from the real or that do not fit the immediate, or most basic, purpose of diary writing (that is, register lived events and observations), such as, aphorisms, raw literary projects,[2] and transcriptions of readings, have been left out.

Still, acknowledging the presence of these texts in Hawthorne's notebooks may help us understand the function that these objects served for the writer. More than

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[2] I am referring to those projects that have no apparent basis in experience.

autobiographical accounts or supports for self-exegesis, these were *commonplace*[3] or draft

books in which the writer exercised his skill with the pen. Because of this, his diaristic

writing can be as enlightening and elaborate as his fiction, despite the obvious differences

between the two.

One of these differences that deserve to be mentioned is that, while in a novel or short

story the parts usually constitute a whole, the same does not happen in the diary. The sense of

closure and the consistency of style are also absent in the latter. This imposes a different

method of reading that takes into consideration the fragmentary nature of diary-writing. Such

method would seem to bear resemblance to the way Erich Auerbach conducted his readings,

that is, to quote again from *Practicing New Historicism*:

> … the isolation of a resonant textual fragment that is revealed, under the
>
> pressure of analysis, to represent the work from which it is drawn and the
>
> particular culture in which that work was produced and consumed. That
>
> culture in turn renders the fragment explicable, both as something that could
>
> have only been written in a moment characterized by particular circumstances,
>
> structures, and assumptions and as something that conveys the life-world of
>
> that moment. (Gallagher and Greenblatt 35)

In light of this, Hawthorne's fragmentary glimpses of the natural (and human) world will be

seen as representative of his practice of exploring the countryside – and, occasionally, urban

centers as well – in the period comprehended in the volume selected; at the same time, this

practice and the textual production that accompanies it will be related to Romantic,

Picturesque and Transcendentalist assumptions.

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[3] *Commonplace books* were "repositories for arranging notes, excerpts, drawings, and objects" (Dacome 603). Still according to Dacome, "... [these books] were part of a pedagogic tradition related to rhetoric and the art of memory that dated back to the classical period" (603).

I would like to underline that the recourse to these cultural categories has not been done regardless of what was found in the samples chosen for analysis. Links between the *AN* and the "life-world of the moment" have been based not only on the textual elements observed (and on their fictiveness), but also on their constant appearance throughout the volume. Hence, in the chapter that deals with Hawthorne's reference to the visual arts and the Picturesque, it was more than desirable to resort to the method of textual analysis and the concept of "pictural" description put forward by Liliane Louvel.

Below (section 1.2.), I discuss the circumstances of publication of Hawthorne's diaries and some critical appreciations written on them, whether in the form of reviews, or academic essays. This literature review will serve to show the extent to which these texts have been underestimated, misappropriated, or confined within documental boundaries. In the following section (1.3.), I broaden the discussion so as to include theoretical approaches to private journals in general. It shall be highlighted that despite the variety of perspectives adopted, theorists still have not really addressed the status of the referential dimension in private journals as I am proposing in this thesis, with the exception, perhaps, of Catherine Rannoux's *Les Fictions du Journaux Littéraire: Paul Léautaud, Jean Malaquais, Renaud Camus* (2004).

In chapter 2, I present the thesis supporting methodology, and introduce the operative concepts that shall be used in the analysis of fictional elements in Hawthorne's *AN*. In Section 2.1., I discuss Wolfgang Iser's approach to literature as he presents it in *The Fictive and the Imaginary: Charting Literary Anthropology*, and generally relate it to theories that deal with the question of *mimesis*. This section also focuses on the concepts of *real*, *fictive* and *imaginary* (Iser's triad) and on their relevance to the study proposed. The acts of boundary-crossing (or fictionalizing acts) *selection*, *combination*, and *de-restriction*, as well as the concept of *doubling*, will be discussed in section 2.2., while sections 2.3. and 2.4. are

devoted exclusively to analyzing instances of *selection* and *combination* in entries from the *AN*. The samples analyzed in this section will comprehend items 1-3 on the list of forms of fictionalization provided on p. 2. Emphasis will be given to the attitude to the empirical world that selection and combination mediate, and to the referential fields they bring together.

Having identified the painterly metaphorical domain in Hawthorne's landscape descriptions as a specific form of combination, I shall, in chapter 3, examine in more depth how the references to the visual arts work as a semiotic filter, distancing the signifier from the signified, and revealing the fictive in the *AN*. Iser's acts of boundary-crossing will still be kept in perspective, but this time, Liliane Louvel's concept of "pictural" description and her textual analysis parameters will be used to analyze Hawthorne's descriptive habits in the work under analysis (3.1.). From textual analysis we turn to a discussion on Hawthorne's use of the visual arts in his fiction, and then to the history of aesthetics in order to establish parallels between the writer's textual practice in the diaries and the Picturesque tradition (Section 3.2). Finally, examples of mirror-imagery will be analyzed in light of Iser's concept of doubling, and of Transcendentalist ideas (3.3.).

In chapter 4, section 1, I analyze situations in which Hawthorne's journalizing turns on itself, either through metalinguistic interventions or acknowledgment of failure in trying to represent the world (last point on the list on p. 2). Such occurrences will be seen as challenges to the so-called transparency of diaristic writing, and will also serve as a backdrop for a discussion on readership and its relationship with fictionalization. This discussion will lead to theoretical reflections about the limits of generic boundaries and definitions in section 2. Finally, in section 4.3., I will expand the discussion on representation and mimesis in light of the examples analyzed in the other chapters, and of Iser's considerations in the chapter "Mimesis and Performance" from *The Fictive and the Imaginary*. This section shall work as a transition to the concluding chapter.

1.2. History and critical reception of Hawthorne's diaries

Hawthorne's diaristic production comprises a period of at least 25 years, from the early anonymous days in Salem to his public decade as a consul in Europe. The notebooks were first collected, edited and sent to publication in 1868 by the writer's wife Sophia. Mrs. Hawthorne divided the whole material into three volumes corresponding to their places of composition: *Passages from the American Notebooks, Passages from the English Notebooks, and Passages from the French and Italian Notebooks.* The first volume is a mixture of diary and commonplace book and contains the germs of much of the early fiction of the writer, including the first ideas for *The Scarlet Letter* and for short stories such as "The Bosom-Serpent" and "The Artist of the beautiful". *Passages from the English Notebooks* consists mostly of observations on English life and customs, and formed the basis for the collection of essays *Our Old Home*. Finally, *The French and Italian Notebooks* comprehends Hawthorne's *grand tour* of France and Italy, and eventually inspired him to write his last novel, *The Marble Faun*.

While initially the *Notebooks* called major attention for presenting a private Hawthorne to the public shortly after his death, with time they became mere reference books for analyzing his "major" works. This situation has not changed even after Randall Stewart re-edited Hawthorne's *Notebooks*[4] in 1932 and corrected some of Sophia Hawthorne's excisions. On the whole, no major academic study has been carried out having the *Notebooks* as main corpus, with the exception of Kouwenhoven's "Hawthorne's Notebooks and Doctor Grimshawe's Secret," about an abandoned literary project found in the *AN*. The fairly recent

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[4] More complete, the three volumes in Stewart's edition were published as *The American Notebooks, The English Notebooks* and *The French and Italian Notebooks*. The edition of the *American Notebooks* used here is the one from *The Centenary Edition of the Works of Nathaniel Hawthorne*.

"Hawthorne's Winter Dreams" does depart from the *AN* to probe into Hawthorne's psychic responses to seasonal changes, but as one learns in the ensuing pages of the article, such responses serve the purpose of analyzing motifs in his short stories.

Outside academia, one can consult a number of reviews that were written when each of the three editions (including the one prepared for the *Centenary Edition of the Works of Nathaniel Hawthorne)* came out. Among the earlier ones, one critic seems disappointed by the lack of "the biographical element" in the *AN* (Crowley 440), whereas another raises the issue of decorum concerning the publication of the same volume: "We are inclined to think that injustice is done to an author by the publication of a book like this" (Crowley 441).[5] The same author, however, seems to indicate the path to studies connecting Hawthorne's style in his *AN* to the visual arts: "His descriptions of New England scenery under the changing seasons of the year are graphic, and sometimes as elaborate and minute as a water-colour study of William Hunt" (441). Yet, the reviewer fails to give credit to these descriptions as independent texts when he states: "Hence as they stand by themselves they are occasionally tedious; though, if worked up by the literary artist, they would doubtless have added interest and meaning to his tales" (441). When the subject is *The French and Italian Notebooks,* one particular review in Crowley's collection deserves attention: that by Henry James writing for *The Nation.* James's emphasis falls upon Hawthorne's provincialism in his descriptions of art. Despite his judgmental tone, he recognizes Hawthorne's simplicity and honesty of response. Besides this review, he went on to write a whole book on the writer (*Hawthorne)* in which he discusses at length not only the notebooks, but also his whole oeuvre from a biographical perspective.

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[5] Both reviews are unsigned and appear in J. Donald Crowley's *Hawthorne: The Criticial Heritage* (London: Routledge & Kegan Paul, 1970).

The second wave of criticism revolves around the scandal involving Sophia

Hawthorne's editorial alterations in Nathaniel's manuscripts. Thus, in the 1930's, attention

shifts from the *Notebooks* themselves to Randall Stewart's remarkable achievement in

spotting and restoring Sophia's alterations. Most reviewers of the time, writing after

Stewart's critical introduction to the *AN*, comment on Mrs. Hawthorne's latinization of her

husband's style and her extreme prudishness with regard to references to alcohol, tobacco and

sex. Manning Hawthorne, writing an academic review from the University of Maine, takes

the matter a bit further and critiques Sophia Hawthorne's authoritative discourse in her

preface to *Passages from the English Notebooks*. His critique concerns a specific passage in

which she writes:

> The Editor has transcribed the manuscripts just as they were left, without
>
> making any new arrangements or altering any sequence – merely omitting
>
> some passages and being especially careful to preserve whatever could throw
>
> any light upon his character. (85)

Sophia Hawthorne's preface is noteworthy not only because of the false claims of

authenticity she makes with respect to the notebooks, but also because of the aura of presence

she attaches to them. Indeed, while promoting the publication, she states that the notebooks

should provide "a very complete and true picture of [Hawthorne's] individuality" (Sophia

Hawthorne 2). Her preface is of interest here because it illustrates the vulnerability of private

archives to the appropriation of institutionalized discourses such as that of the family.

The literature review of Hawthorne's notebooks provided above confirms my initial

assumptions concerning private journals: most of the texts written on the notebooks focus

either on their biographical content (or lack of it), or on their potential to illuminate aspects of

Hawthorne's processes of composition. Therefore, these texts present a view of the notebooks

as derivative and subsidiary. In addition, in most cases, the referential dimension of the

notebooks – whether that means reference to the empirical writer or to events portrayed by him –seems to be too easily taken for granted. Although the second wave of reviews was responsible for uncovering the circumstances of publication of the notebooks, they still do not touch upon the type of writing present in them. Therefore, the task of analyzing the notebooks in their own right, including their treatment of the referential dimension, seems justified.

1.3. Critical perspectives on private journals

The task of analyzing the referential dimension of Hawthorne's notebooks could be further justified if seen as a response to theoretical approaches to private journals, such as Kuhn Osius's (see p. 2 above). Although in "Making Loose Ends Meet: Private Journals in the Public Realm," Kuhn-Osius is mostly concerned with the "communicative situation of diaristic writing"[6] (166), his view on the status of the referent in journals totally dismisses the imaginative or creative aspect in these texts. To him, in diaries, "[t]he world in which events take place is as meaningful or meaningless as the world in general; it does not carry any specific artistic import" (167). It can be argued that this position merges referent ("the world in general") and representation (the world depicted in diaries), and overlooks the transformation that the diarist's attitude forces upon that referent. Such transparent link between the world out there and the represented world in diaries is precisely what I want to question in my analysis of Hawthorne's *AN*.

Despite coming from a different scholarly background, Philippe Lejeune's perspective seems grounded in similar notions to those seen in Kuhn-Osius's text. As he states with

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[6] To which I shall return in chapter 4.

regard to the diary in "The Diary as 'Antifiction'," "an imaginary reconstruction of the present could only be viewed and experienced as a lie, or insanity" (202). In fact, Lejeune derives such argument from Barthes's suggestion that the novel requires temporal distance to be composed. The present would then be conceived as the realm of truth, even in relation to the autobiography which, being a reconstruction of the past, "lives under the spell of fiction" (201). One of the problems with Lejeune's assessment is that he does not take the temporal gap between living and journalizing into account. Additionally, his views seem to stem from a rather controversial assumption of what fiction is: "What distinguishes fiction from its opposite, and gives the word its meaning, is that someone exercises the liberty of inventing rather than setting out to tell the truth (which may be a naïve project, but then life itself is naïve)" (203). If we adopt a frame of reference in which invention is not the criterion to determine what fiction is, we may, as a result, see diaries under a new light. Although I disagree with Lejeune on this point, I have to acknowledge that his research in the genre diary is thorough and solid. Its focus is actually not on the diaristic production of writers but rather on those of anonymous producers that sent their writings to the French periodical *Le Magazine Littéraire*. Lejeune's writings on journal writing range from the history of the practice to its anthropological motivations, and can be very enlightening especially when the topic is the inscription of time in the diary.[7]

Another theorist that seems inclined to draw a boundary between diaries and fiction is Maurice Blanchot. In "The Personal Diary and the Narrative," he contends that the (fictional) narrative differs from the diary because "it deals with what can not be verified or what can not be the object of a confirmation or an account" (271).[8] At a first glance, Blanchot seems in

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[7] See the excellent collection of Philippe Lejeune's essays *On Diary* (Manoa: U of Hawai'i P, 2009).

consonance with Kuhn-Osius and Lejeune with respect to the referential element in diaries. Moreover, his remark points to the documental status of diaries I have been alluding to here: if verifiability is the criterion by which the diary and the narrative can be distinguished, then the diary would be bound by the law of the real/factual, and by extension of the evidence.

Indeed, Blanchot's contention seems arguable; but one has to understand more about his perspective on the function of the diary to the writer lest he/she should make a hasty judgment. Blanchot conceives the diary as "a protection against madness, against the danger of writing" (273). The diary would then be the neutral space in which the writer would recognize him/herself as a real person living in a real world. He goes on to note that "[w]hat one writes is rooted, thus, want it or not, in the everyday life and in the perspective limited by the everyday life" (270). The need for self-recognition can indeed be perceived in a number of diaries, including those written by Virginia Woolf, as Blanchot himself discusses in "The Essential Solitude," another text dealing with journalistic writing. Yet, self-recognition wouldn't be so adequate to describe Hawthorne's diaries. His writing in the diaries, and more specifically in the *AN*, is very little auto-biographical (as the reviewer in Crowley's collection observes), and his descriptions of the material world often slips on to an immaterial dimension. This is one of the reasons why I chose this particular volume to study. Additionally, the *AN* contains several instances of departure from the real and from constituent discourses, which makes it a plausible choice for a study addressing the question of mimesis in relation to diaristic writing. As for the constraint of the everyday life perspective, this is also the case in Hawthorne's journalistic writing, but couldn't it be ascribed to other forms of writing as well? Therefore, it is not my purpose in this thesis to provide another paradigm that would accommodate all diaries; I am more interested in the analysis of a contingent, particular situation.

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[8] My translation from the Portuguese version: "O diário íntimo e a narrativa." All subsequent quotations by Blanchot will be my translation from the same version.

It was the same impulse to focus on the particular and avoid generalizations that led Louis Hay to write his "A Montante da Escrita." In this text, he carries out a very specific study so as to classify writers' notebooks according to their function and physical characteristics. The result is a taxonomy that includes the diary, the *sketch notebook*, the *research notebook, and* the *composite notebook* (9).[9] Hay's perspective on the diaristic writing must be taken into account because it considers the relationship between the inscriptions of the real and those of fiction as ambivalent and complex (10). Although Hay's text problematizes the "status of the referential dimension" in diaries, his approach does not go beyond the confines of genetic criticism and therefore does not discuss processes of fictionalization in the diaries themselves.

Other approaches to private journals include: Artières' sociological approach (1998), Calligaris' historical perspective (1998), and Oliveira's thesis on the phenomenon of online journals (2007). Artières considers the practice of writing journals as a way to comply with a social demand to archive one's life. In this perspective, one's journals would have the same role as other forms of social documentation, such as birth certificates, family albums, school records, etc. Calligaris inscribes the diary within the scope of the increasing valorization of subjectiviy and sincerity in modernity. To him, this genre, given its focus on the individual, is related to the autobiography and to the autobiographical novel. Oliveira's thesis explores the virtual space of the screen as a new support for diarists, one which enables them to interact and publicize their lives. Despite their invaluable contribution to private journals studies, none of these approaches address the problem I have raised.

By identifying fictionalizing processes in Hawthorne's *American Notebooks* and relating them to their cultural background, I hope to expand the horizon of interpretations

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[9] My translation from the Portuguese version.

with respect to private journals. In the particular case under analysis, that will mean understanding surprising forms of conceiving textual reality in Hawthorne's journalizing.

2   Fictionalizing Acts in *The American Notebooks: selection*, *combination, self-disclosure* and *doubling*

2.1. Iser's triad and the question of *mimesis*

The relationship between literature and reality, or the question of *mimesis*, has always been a key issue in literary theory. Historically, attention has shifted from the platonic view of *mimesis* as imitation of the real – with all the negative implications it entails in the *Republic*[10] – to twentieth-century approaches that affirm the autonomy of the text in detriment to the reference. More recently, however, there have been attempts to neutralize such polarity, as critics have acknowledged that literature is neither the ivory tower advocated by the New Critics, nor simply a mirror reflecting the world and social reality, as the exponents of early Marxist criticism would claim.[11]

One of the most noteworthy attempts in this respect is that by Wolfgang Iser in his *The Fictive and the Imaginary: Charting Literary Anthropology*, in which he provides a plausible alternative to the dichotomies real/copy and reality/invention, by putting forth the idea that literature is the product of a triad: the *real*, the *fictive* and the *imaginary*. As he asserts in the first chapter of the aforementioned book: "The literary text is a mixture of reality and fictions, and as such, it brings about an interaction between the given and the imagined" (1). It has to be noted again that to Iser, fiction, or the fictive, is not synonymous

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[10] That is, as an imitation of the real, poetry would be twice removed from the transcendental idea, and thus from ultimate truth. (Plato 34)

[11] These two extremes may be identified with Cleanth Brooks, on the New Critical side, and György Lukács, on the Marxist one. See, for example, Brook's *The Well Wrought Urn: Studies in the Structure of Poetry* (New York: Harcourt, Brace & World, 1947), and Lukácks's *The Historical Novel* (New York: Penguin, 1969).

with invention or unreality but is rather "an intentional act which has all the qualities pertaining to an event" (305). Moreover, such act is conceived as "an act of boundary-crossing which, nonetheless, keeps in view what has been overstepped" (xiv).

The "overstepped" element in the act of boundary-crossing should be here identified with the real, which according to the author:

> [refers] to the empirical world, which is a 'given'(sic) for the literary text and generally provides the text's multiple fields of reference. These may be thought systems, social systems, and world pictures as well as other texts with their own specific organization or interpretation of reality. Reality, then, is the variety of discourses relevant to the author's approach to the world through the text. (305)

With such definition Iser puts the real into a new perspective, by stretching its meaning so as to include not only the concrete and immediate world, but also the symbolic and less tangible aspects of the referential dimension. By extension, the real that is transposed into the text undergoes a considerable change in the process of boundary-crossing. Indeed, the link that ties the signifier and the signified[12] in Iser's theory is not a transparent one; instead, the real takes on new meanings and associations as it is overstepped, or, as the author puts it: "[it] turns into the sign for something else" (3).

This act of transgression triggered by the fictionalizing act leads us to consider the third element in the triad: the imaginary. A key term in Iser's literary anthropology, the imaginary differs from the fictive in that "[it] has no intentionality of its own but has intentions imposed on it by the demands of its activator" (223). The imaginary is characterized by diffuseness and indeterminacy and is not to be thought of as a human

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[12] The concepts of *signifier* and *signified* adopted here follow Ferdinand de Saussure's theorization in his *Course in General Linguistics* (Glasgow: Fontana, 1977). The signifier refers to the form, or the "sound-image" which the sign takes, whereas the signified is the concept that it represents. (66)

faculty. Therefore, it will only be grasped in its manifestations and not through a concept or definition. Despite its diffuse character, it is the imaginary, through its interaction with the fictive, which enables the irrealization or re-signification of the real. Its ultimate role in Iser's literary anthropology is to reveal human plasticity, that is, the urge to gain shape outside the natural constraints of reality.

One possible objection that could be raised regarding Iser's concept of imaginary is the fact that it is so easily confused with the fictive. Still, one thing that distinguishes the imaginary from the fictive, as we have seen, is intentionality. In addition, the imaginary would provide the contents that would gain shape through the agency of the fictive. Nevertheless, the questions one might ask are: where do these contents come from? And how different would the imaginary be from the unconscious?

Nowhere in the book do we find objective answers to either question. Iser dismisses any affiliation of the imaginary to the traditional concepts of *fantasy*, *fancy* and *imagination*, which to him carry specific connotations associated with the period in which they were formulated. As Iser notes, "[t]he term fantasy, for example, meant something quite different in German Idealism from what it meant in psychoanalysis, and in the latter field Freud and Lacan had quite different notions of it" (305). As for the relationship between the imaginary and the unconscious, the only thing that can be concluded is that both of them are to be grasped only in terms of their products, be they dreams or literature. As to judge from the ill-defined nature of the imaginary and its status as an anthropological category, it would seem that Iser wants to promote it as a transcendental and universal signified, with no points of contact with history or with the individual.

Because of this, in the analysis that I purport to conduct, the imaginary will be relegated to the background, while I place greater emphasis on the notions of real, fictive, and the acts of boundary-crossing. However, in order to discuss such acts, I will need to devote

careful attention to what emerges from the interaction between the fictive and the imaginary: the author's attitude to the world, which I shall address in the next section.

The methodology outlined above seems pertinent to the analysis of texts such as private journals, which have so far been considered "minor" texts for their supposed lack of aesthetic luster or distance from the real. With the revision and re-elaboration of the concepts of real and fictive, these texts may be reconsidered and their treatment of the real reassessed. In the particular case under analysis, such reassessment may yield readings that reveal the departure from the real and the same aestheticizing tendency that is seen in a lot of the so-called fictional texts. That represents a clear challenge to generic hierarchies and boundaries, an issue that I intend to explore further in Chapter 4.

For the moment, I would like to underline that the claims I make concerning the *AN* should not be arbitrarily extended to other private journals or to the entire bulk of the work under analysis. One can not rule out the possibility that other diaries, written for merely archival purposes (differently from writers' journals in the nineteenth century, which were generally written as fictional exercises), do not fictionalize reality. Furthermore, Hawthorne's *AN* contains a number of entries that could be considered as simple note-taking, without any attempt at aestheticization. Notwithstanding the fact that the fictive and the imaginary are also part of everyday life, the interest of this thesis relies on those entries that seem to be "freed from immediate pragmatic needs" (Iser xiv), thus showing the particular mechanisms of *semiosis*[13] that are identified with Iser's acts of boundary-crossing.

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[13] A process in which something functions as a sign.

2.2. The Acts of Boundary-Crossing: *selection, combination, self-disclosure,* and the concept of *doubling*

Section 2.1. was an attempt to trace the contours of Iser's theory of fiction, with particular emphasis on the fictionalizing act, and the transgression that it brings forth. However, the different types of acts of boundary-crossing and the specific relationships they establish between the given and the imagined remain to be examined.

In his exposition of the act of boundary-crossing selection, Iser remarks that:

> Every literary text inevitably contains selection from a variety of social, historical, cultural, and literary systems that exist as referential fields outside the text. This selection is itself a stepping beyond boundaries, in that the elements selected are lifted out of the systems in which they fulfill their specific function. (5)

It follows that, not only are the selected elements "lifted out" of the systems from which they are taken, but in the process they have their semantics modified or distorted. One example of this is intertextuality, which, on creating links between different fields of reference, forces elements from these fields to take on different functions and meanings. Nevertheless, these different functions and meanings do not exclude the former ones, which are kept as background for the assessment of the newly-established relation.

What seems to come to the fore with the act of selection is the very intentionality of the text, or the author's attitude to the given world, as I have anticipated. Once again, it shall be necessary to quote from Iser: "The intentionality of the text thus consists in the way it breaks down and distances itself from those systems to which it has linked itself. The intention, therefore, is not to be found in the world to which the text refers…" (6). It is not a question here of going back to the notorious "intentional fallacy" condemned by William K.

Wimsatt and Monroe C. Beardsly and start pursuing the hidden purposes and meanings envisioned by an author ("Intentional Fallacy" 1954). Yet, the acknowledgment that every text entails a perspective and a world view may help dismiss the mimetic fallacy that seems to befall private journals.

While the act of selection "makes inroads into *extratextual*[14] fields of reference" (227), combination effects changes at the intratextual level. These changes range from the de-restriction of lexical meanings to the ways characters and actions are organized in a narrative. In order to illustrate the de-restriction of lexical meanings, Iser mentions Joyce's neologism *benefiction*, which combines the words *benefaction, benediction and fiction,* thus allowing for a fresh perception of each of the elements combined that goes beyond their denotative meanings. The crossing of boundaries here is mediated by a relational process, and like in the act of selection, it implies an attitude to the given.

Although combination involves other levels of relating, this study will take into consideration only the de-restriction of lexical meanings. My interest relies specifically on the transformation of "the function of denotation" into "a function of figuration" (10), which I intend to explore in section 2.4. Such interest is justified by the premise that in that process the "references … are no longer to be equated with existing systems; their target is expression and representation" (Iser 10). This idea will be in keeping with the project of countering the mimetic criterion for judging private journals.

By contrast, the last act of boundary-crossing presented by Iser – the fictional text's disclosure of its own fictionality – would not seem, at first, so applicable to the aforementioned project. However, discussing such act is of utmost importance not only to understand Iser's theoretical model, but also to acknowledge the limits of this study. According to Iser, "Literary texts contain a range of signals to denote that they are fictive"

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[14] Emphasis added.

(11) and this is the very characteristic that distinguishes literature from more instrumental discourses that try to hide their own fictionality.[15] However, these signals "are not to be equated exclusively with linguistic signs in the text … for these signals can become significant only through particular, historically varying conventions shared by author and public" (11).

The insertion of the reader into the discourse of fiction seems quite promising, since it undermines the idea that fiction is – just like *meaning* in the old days of New Criticism – an inherent aspect of the text alone. Rather, in the case of self-disclosure, the recognition of fictional traces in the text is closely dependent on a change of attitude from the part of the reader. Naturally, the role of the conventions governing such recognition should not be taken for granted. In Iser's words:

> If the reader fails to recognize the contractual sign, an inappropriate reaction
> will ensue, as is frequently thematized by literature. In Fielding's *Tom Jones*,
> for instance, Partridge takes a performance of *Hamlet* for reality and not a
> play, and in view of the dreadful goings-on he finds it necessary to intervene.
> Similarly, in *A Midsummer Night's Dream* Shakespeare provides a perfect
> example when the artisans, acting their play, remind their audience that they
> need not be afraid of the lion, which is not a real lion but one being played by
> Snug the Joiner. (12)

In both cases, what is expected of the reader/audience is that they see the representation "as-if" it were reality and not take it *for* reality. The subtle difference between these two attitudes lies in the fact that, whereas in the former the reader identifies the fictional signals that would

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[15] Iser recognizes that the fictive is also part of the non-literary and of institutional discourses as a whole (12).

prevent him/her from judging the text according to the laws of the real, in the latter this does not happen.

The reason why self-disclosure could not (in theory) be applied to the analysis of private journals would lie, in the first place, in its being a function of "conventions shared by author and public." Arguably, private journals establish no pact with an audience as they are written for self-reference only. However, in the case of Hawthorne, this premise can be refuted in light of some of his *AN* entries. Furthermore, the informed reader may identify conventions borrowed from "thought systems" or traditions which signal that the represented world is not to be taken for reality. In the *AN* these conventions point to the Picturesque tradition and the use of mirror imagery, among other instances of doubling, issues I intend to discuss in the next chapter. What Iser seems to be referring with the concept of self-disclosure, however, is to a kind of *mise en abyme* or, "[an] aspect enclosed within a work that shows a similarity with the work that contains it" (Dällenbach 8). If that were the case, the reader would expect to see the image of journalizing inside the very entries, and this does not happen in the *AN*. The applicability of self-disclosure to the *AN* has proved to be a highly problematic area and, because of this, I shall get back to it when I discuss metalanguage and the problem of representation in chapter 4. Naturally, the question of readership shall also be addressed then.

After having discussed the acts of boundary-crossing put forward by Iser, we may now look at the concept of *doubling*. Despite not being classified among the acts of boundary-crossing, *doubling* appears to have a special place in Iser's *Fictive and Imaginary*. The process is not explicitly defined but one may infer some of its nuances from Iser's discussion on Renaissance Pastoralism. This discussion takes place in the chapter called "Renaissance Pastoralism as a Paradigm of Literary Fictionality," and in it the word *doubling*

(and its derivatives) occur several times. Some of these occurrences must be analyzed before we can determine how the concept of doubling fits into this study.

In reference to Edmund Spenser's eclogues, Iser points out that they contain two worlds: "one that can be represented and another one that cannot, and that therefore, is only to be impinged upon" (44). He explains his observation by noting that the commentator of the eclogues acknowledges the gap between what is expressed and what is meant in them. The idea is that the shepherds represent personages from history and thus are "shadows" of real people. As he concludes: "Doubling, then, is a basic structural feature of the eclogues, and it brings to light fundamental conditions of literary fictionality. It establishes a frame that allows the continued presence of what has been exceeded" (44). Since the supposed signified of the eclogues is cast in shepherds' guise, we have a clear situation of overstepping of both the real and the "shadow." The "shadow" is exceeded because it can not appear as itself – or as a historical personage – and the real is exceeded because it points to that very historical personage in its textual association.

What seems of interest to this study, though, is the way doubling can be conveyed through mirroring, as the example of Philip Sidney's *Arcadia* illustrates. Iser draws special attention to a pond in Kalander's house, which mirrors the garden (standing for arcadia itself). To him, "[t]he metaphor of the pond as a mirror is a vivid example of the intended deceit through which Art and Nature are made to seem interchangeable: this indeed shows the extent to which mimesis as the imitation of Nature has changed to mastery of nature through Art" (58). This premise can be carried over to the analysis of mirror-imagery in Hawthorne's diaries. In that case, the motivations underlying the mirroring procedure and the differences that are established between reflection and reflected shall be given due consideration.

All in all, the fictionalizing acts discussed above open up new interpretive channels to approach private journals. Selection gives access to the dialogue established between the text

and the world, and allows for an analysis that takes into consideration intertextuality in the process of writing. Combination invites one to investigate the "function of figuration" in the text, by which lexical units are de-restricted and acquire new meanings. Self-disclosure engages the reader in the process of identification of fictional signals in the text, and connects these signals to the conventions that enable such identification. Finally, mirroring as a form of doubling places representation at the center of the semiotic process while consigning imitation to the background. Thus, the acts of boundary-crossing figure as useful tools to address the several instances of meaning production in the *AN*.

2.3. Instances of selection in the *AN*

Bearing in mind that the act of selection constitutes a particular form of *semiosis*, we should now proceed to analyze instances of selection in our object of study. Ultimately, analyzing entries that contain selection will give us access to Hawthorne's attitude to the empirical world as he described it from his observations of the New England scenery. Such analysis will also help us identify the different referential fields and discourses he turned to in order to interpret and elaborate on his experiences.

A rather prosaic account derived from the observation of a herd of pigs – which one encounters right at the opening of the *AN* – can be taken as a departure point for our identification of selection in this volume of journals. The entry is from June 15th, 1835 and reads as follows:

> Returning by the almshouse, I stopped a good while to look at the pigs, – a
> great herd, – who seemed to be just finishing their suppers. They certainly are
> types of unmitigated sensuality, – some standing in the trough, in the midst of

their own and others' victuals, – some thrusting their noses deep into the food

– some rubbing their backs against a post – … Notwithstanding the

unspeakable defilement with which these strange sensualists spice all their

food, they seem to have a quick and delicate sense of smell. What ridiculous

looking animals! Swift himself could not have imagined anything nastier than

what they practice by the mere impulse of natural genius. Yet the Shakers keep

their pigs very clean, and with great advantage. The legion of devils in the

herd of swine,– what a scene it must have been. (3-4)

What begins as a downright mimetic description of an experience soon transforms into a

reflection about the sensuality of the pigs; subsequently, Hawthorne projects the image of the

pigs onto two different discourses: the literary and the religious ones. Whereas the allusion to

Jonathan Swift sets the observed scene (or the referent) against a different context,

heightening the feeling of disgust provoked on the narrator, [16] the references to the Shakers[17]

and to the biblical passage[18] add symbolic meaning to the animals, now associated with moral

uncleanliness and depravity.

      The passage quoted above illustrates both the transgression of the act of selection and

the attitude that it brings about. The transgression evidenced in the passage is a product of the

mixing of elements from different referential fields (namely, the observed pigs, Swift's

literature, the social context of the Shakers, and the Bible) that come to establish connections

with each other. Naturally, as Iser points out, the order of these elements is disassembled in

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[16] Swift's descriptions of bodily functions and other eschatological processes in *The Voyages of Gulliver* constitute the referential field alluded to by Hawthorne

[17] A Shaker was a "member of the United Society of Believers in Christ's Second Appearing, a celibate millenarian group that established communal settlements in the United States in the 18th century." ("Shaker").

[18] *The New Jerusalem Bible*, Lk. 8:32-33.

the act of selection (5). The unfolding implication of this act is that "it turns [the elements selected] into objects for observation" (5), and – still following Iser's argument – "observability is not a component of the systems concerned" (5). Thus, it seems clear that the passage goes way beyond the mere reproduction of an empirical event.

Nonetheless, one could argue that this does not make the passage aesthetically relevant and that this type of fictionalizing act is also found in everyday speech. As a matter of fact, what makes literature possible, that is, the imaginary, is also found in other realms of human activity, as Iser insists in the *Fictive and the Imaginary.* And, although the passage may indeed lack in aesthetic appeal,[19] what I wanted to underline by examining it is its very treatment of the referent, which brings together the familiar and the unfamiliar (that which is not part of the reality portrayed, but which is a product of the writer's interpretation and knowledge of the world).

The following passage brings one more illustration of the mixing of the biblical and the literary discourses in the *AN*. This time, Hawthorne reveals his alignment with fellow American poets in the observation and description of nature:

> I returned by the high-road. On my right, separated from the road by a level
> field, perhaps fifty yards across was a range of young woods, dressed in their
> garb of autumnal glory. The sun shone directly upon them; and sunlight is like
> the breath of life to this pomp of autumn. In its absence, *you doubt whether*
> *there is any truth in what poets have told about the splendor of an American*
> *autumn*; but when this charm is added, you feel that the effect is beyond
> description. As I beheld it today, there was nothing dazzling, but gentle and

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[19] The question of what is aesthetic or not is always subject to frames of reference.

mild, though brilliant and diversified – it had a most quiet and pensive

influence.[20] (212)

The biblical discourse may be perceived strictly in the use of the phrase "the breath of life,"

but the adjectives *quiet* and *pensive* also carry religious connotations. The reference to the

nature poets, on the other hand, adds another layer of meaning to the passage. Although in the

highlighted phrase it seems as if Hawthorne were putting the accuracy of such poets'

descriptions to the test, it is clear that their production has supplied him with aesthetic models

on which to look at and conceive of nature. It follows that when he describes nature, he does

not describe it as it is, but he superimposes a pre-established view of what it should be like on

it. We have then three separate referential fields that are brought together and that act upon

each other in the manner of Iser's selection: the woods as seen by the narrator in autumn, the

poems previously written about the season, and the religious and biblical perspective.

Another example in which the religious discourse is evoked appears in an entry dated

April 27th, 1843. In this entry, the writer enthuses about the coming of spring and the swelling

of the rivers as follows:

> I ascended the hill, and had a wide prospect of the swollen river, extending
>
> around me in a semicircle of three or four miles, and rendering the view much
>
> finer than in summer, had there only been foliage. It seemed like the formation
>
> of a new world; for islands were everywhere emerging, and capes extending
>
> forth into the flood; and these tracts, which were thus won from the watery
>
> empire, were among the greenest in the landscape. The moment the deluge
>
> leaves them, Nature asserts them as her property by covering them with
>
> verdure; … (385)

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[20] Hereafter all the emphases in quotations from the *AN* will be added, unless otherwise
stated.

Here the scenery gains relief through the comparison with the deluge. The allusion to the biblical event gives the natural phenomenon described by the narrator a grandeur and a dramatic quality that might not have been achieved without it. Such allusion enables the landscape observed from the top of the hill to be seen as if it were a manifestation of the divine. To put it in Iser's terms: "The one discourse becomes the theme viewed from the standpoint of the other …" (227). In light of this, we may conclude that not only is the landscape seen as embodying the divine presence, but the biblical reference loses its aura and mythological distance on being transposed to a an earthly event.

In addition to the religious discourse, there seems to be another referential field underlying Hawthorne's description of the changing scene. Identifying this referential field depends on the interpretation of "the formation of a new world" from a political perspective. In that case, the landscape would be seen as a microcosm of the colonial world at the time of the maritime discoveries by the Europeans, and the islands emerging in the flood could be seen as the newly discovered lands. The use of the words "empire" and "property" sustains this reading, and the last line of the passage assigns a different role to Nature: that of colonizer and/or conqueror. As the immediate referent (the scenery observed) is overstepped in this entry, the colonial or imperial referential field also changes in this process, now seen as a natural (and not human) transformation. In addition, if we read the religious in tandem with the political, that naturalized imperialism would gain an even stronger *raison d'être*: divine will/intervention.

Assuming that landscape as the embodiment of the divine was a distinctive *topos* of Romanticism, and that Hawthorne was writing at the dawn of the Romantic period in North America, it seems pertinent that we establish parallels between his approach to the world in the diaries and Romanticism. Naturally, this is a highly complex task, since there isn't a consensus about the use of this term. It is often used either as a school of thought or

movement, or as a period in the history of aesthetics, and in either case the idea of unity imposed by the singular form of the word poses an enormous challenge to our using it. Although I acknowledge that there are several Romanticisms and that the so-called Romantic writers did not think of themselves as such (Wellek 194), I share René Wellek's belief that one may still identify "very similar views of nature, of the imagination and of symbol and myth" in the European literature of the late eighteenth and early nineteenth century (195). And if we consider that Hawthorne was well read in the main English and North American writers of the time, the parallel may be justified.

According to Roy R. Male, "Hawthorne did... fully accept the basic assumption of Romanticism – a deeply grounded belief in organicism, with its resultant emphasis upon symbolism, psycho-physical parallels and the Unconscious" (qtd. in Holmes 476). The "emphasis upon symbolism" is evident in the representation of nature seen in the passages discussed above. And if this symbolism is pantheistic, as is often the case in Romantic poetry, it is also influenced by the religious background of New England, as we could see in the recurrence of biblical allusions.

Another recurrent feature of the *AN,* and which may illustrate Male's "psycho-physical parallels," is the thematization of the imaginary and of other processes of the mind through descriptions of the physical world. This tendency is relevant here because it can be seen as a blatant departure from simple mimesis. Indeed, what matters to the poet or the journalist is less the faithful rendering of the experience than what it can come to symbolize in relation to perception and the workings of the mind. For instance, Hawthorne thus writes about the effect of moonlight in his sitting-room:

> Moonlight produces a very beautiful effect in the room; falling so white upon the carpet, and showing its figures so distinctly; and making all the room so visible, and yet so different from a morning or noontide visibility. There are all

the familiar things – every chair, the tables, the couch, the bookcase, all the

things that we are accustomed to in the daytime; but now *it seems as if we*

were remembering them through the lapse of years rather than seeing them

with the immediate eye. A child's shoe – the doll, sitting in her little wicker-

carriage – all objects, that have been used or played with during the day,

though still as familiar as ever, are invested with something like strangeness

and remoteness. (283)

Firstly, one should note that the material world in the passage above is not ontologically

grounded, but is rather presented as a phenomenological event, as it changes according to the

light that is cast upon it. Moreover, the so-called "familiar things" listed by the author acquire

an immaterial nature when they are compared to a recollection. Naturally, the effect of

"remoteness and strangeness" is not part of the reality portrayed; instead, it attests to the

overstepping of the familiar through the summoning of the unfamiliar, that is, the metaphor

of the recollection.

　A possible source of inspiration to Hawthorne's approach to the world in this passage

could be the English romantic poet William Wordsworth. In fact, the "immediate eye" to

which Hawthorne refers could be related to the "inward eye" celebrated by Wordsworth in

the poem "I Wandered lonely as a cloud." Such comparison finds support in the fact that in

both the poem and the entry, recollection is capable of endowing the object with a special

quality:

> I gazed---and gazed---but little thought
>
> What wealth the show to me had brought:
>
> For oft, when on my couch I lie
>
> In vacant or in pensive mood,

> They flash upon that inward eye
>
> Which is the bliss of solitude;
>
> And then my heart with pleasure fills,
>
> And dances with the daffodils. (284)

In both cases, recollection works as a semiotic device, distancing the signifier from the signified and bringing difference to the system.

The link between the two writers, albeit little explored in specialized scholarship, can be confirmed in at least two other occasions: one in the *English Notebooks*, when Hawthorne extensively narrates his visit to Wordsworth's burial ground, and another in a striking entry from the *AN* whose topic is again recollection: "Julian [the writer's son] now falls into a reverie, for a little space – his mind seeming far away, lost in reminiscences – but what can they be about? Recollections of a pre-existence" (400). Hawthorne most likely had Wordsworth's "Ode: Intimations of Immortality from Recollections of Early Childhood" in mind when he wrote this, an opinion which the editors endorse in the explanatory notes of the *Centenary Edition* of the *AN*. In that case, we would have one more example of intertextuality, and consequently, of selection in the journals.

If Hawthorne was keenly interested in the "inward eye," as the entries analyzed before attest, his concern with the "immediate" one, as he puts it, was no less evident. For the sake of our discussion on selection, it could be anticipated that the entries in which Hawthorne describes landscapes are not devoid of semiosis. In fact, they seem to engage the natural and the artificial in a way that noticeably promotes their overstepping.

This happens specifically when Hawthorne evokes painting to describe the scenery, as I have anticipated. Further in the same autumn entry quoted in this section, one may read:

> … there were some trees that seemed really made of sunshine, and others of a
>
> sunny red, and *the whole picture was painted with but little relief of darksome*

hues – only a few evergreens. But there was nothing inharmonious; and, on

closer examination, it appeared that all the *hues* had a relationship among

themselves; and this, I suppose, is the reason, that, while Nature seems to

scatter them so carelessly, they still never shock the beholder by their

contrasts, nor disturb, but only soothe. The brilliant yellow, and the brilliant

scarlet, are different hues of the maple leaves, and the first changes into the

last. I saw one maple-tree, its centre yellow as gold, *set in a frame-work of red*.

(212)

The words and phrases in italics above testify to the assumption that, far from describing the

referent in a mimetic way, the journalist opts for presenting it as if it were a picture. As a

result, the natural object loses its naturalness and is seen as if it were a man-made object. At

the same time, painting is presented as if it were inherent to nature. The same type of

overstepping appears throughout the *AN*, and because of this it is treated in this thesis as a

representation pattern that will deserve special attention in the next sections. Here is another

example: "In some places, along the borders of low and moist land, a whole range of trees

were clothed in the perfect gorgeousness of autumn, of all shades of brilliant color, looking

like the palette on which Nature was arranging the tints wherewith to paint a picture" (394).

Such procedure has far-reaching implications. Firstly, it points to a peculiar mode of seeing

which has its roots in the tradition of the Picturesque. Secondly, it establishes relationships

not only between nature and painting, but also between the verbal and the visual. Finally, it

illustrates the de-restriction of lexical meanings, which is the subject of section 2.4.

The concept of selection provided by Wolfgang Iser has been quite helpful in the

identification of mechanisms of fictionalization in Hawthorne's *AN*. The instances of

selection identified in this volume of journals reveal different forms of incorporation and

trasncoding of the real, such as: the use of the literary, the religious, and the political

discourses to interpret empirical experiences; the foregrounding of mental processes in observations that privilege perception in detriment to the literal rendering of the world; and the reference to the visual arts in the description of natural scenery. As we could see, when elements from different referential fields meet in the text, their original *gestalts* fade in order to give way to new relationships. Thus, semiosis is produced and the former links between signifier and signified are disrupted.

Because the analysis carried out above was centered upon the concept of selection, it was possible to establish links between the instances of such act of boundary-crossing found in the *AN* and the larger historical and cultural background with which they are identified. The outcome was a realization that Hawthorne was in tune with the Romantic perspective when he journalized. This translates not only into the use of *tropes* and *topoi* generally associated with the period, but also in implicit and explicit allusions to Romantic poets.

The same type of connection established in this chapter between the *AN* and the Romantic discourse shall allow us to broaden the scope of interpretation with regard to private journals in the next chapter. Despite being *private*, these writings are not divorced from the larger contextual and historical influences that pervade other texts, practices and cultural manifestations. Far from being a matter of summoning up an overarching and rigid "spirit of the times" surrounding the work, my goal in this thesis is to show the interrelatedness of the several layers of meaning production, be they considered artistic or not.

2.4. Combination: painting as a referential field

As we have seen in the examples of selection in the previous section, Hawthorne's "palette" in his American journals includes tints from a variety of referential fields, and the mixture of such tints produce new hues in the diarist's entries. As a result, the lived experiences – which are the departure points for the journalizing – lose their determinacy and factualness as they are engaged in semiotic processes.

Something similar happens in the act of combination, albeit at linguistic level. As I have mentioned before, in such act the denotative or literal meaning of a word gives way to a function of figuration or, as Iser puts it: "The lexical meaning of a particular word is faded out and a new meaning faded in, without the loss of the original meaning. This establishes a figure-and-ground relationship that allows both the separation of the individual elements and a continuous switching of the perspective between them" (7). As in the act of selection, combination effects a crossing of boundaries and foregrounds the attitude of the writer to the referential world. Because of this, selection and combination should be seen less as mutually exclusive processes, and more as complements to each other. Thus, while combination is conceived as an intratextual realization, it is also a function of selection at the extratextual level, that is, it is also subject to the imprint of historical and contextual influences.

In what follows, I will examine some examples of combination in the *AN,* and carry out an initial evaluation of Hawthorne's dialogue with painting. Such evaluation will serve as a backdrop for understanding the cultural implications of Hawthorne's use of that referential field in the next chapter.

Besides personifying nature in several occasions (including the one in which it appears as a colonizer: p. 27), Hawthorne also seems to have insistently portrayed natural and

inanimate objects as if they were in human attire. Two examples of such portrayals are

provided below:

> A clear, breezy morning, after nearly a week of cloudy and showery weather.
>
> The grass is much more fresh and vivid than it was last month, and the trees
>
> still retain much of their verdure; though here and there is a shrub or bough
>
> *arrayed* in scarlet and gold. (196)

> I must mention again the very beautiful effect produced by the masses of
>
> blueberry bushes (or whortle-berry) lying like scarlet islands in the midst of
>
> withered pasture-ground, or crowning the tops of barren hills. Their hue, at a
>
> distance, is a lustrous scarlet; although it does not look nearly so bright and
>
> beautiful, when examined close at hand. But, at a proper distance, it's a
>
> beautiful fringe on Autumn's *petticoat*. (220)

It should be noted that both italicized words above constitute figures, since their referents are

taken for something which they are not. Or, to put it in other words, these figures personify

the elements which they are modifying: the "shrub or bough" in the first entry, and "Autumn"

in the second one. It follows that the denotative meanings of *arrayed* and *petticoat* slide into

latency, giving way to an appreciation of the observed elements as living and aesthetic

objects.

Also seen from the perspective of the artificial, but not personified, is the field

described in an entry from 1841: "A good view from an upland swell of our pasture across

the valley of the river Charles. There is the meadow as level as a floor and *carpeted* with

green, perhaps two miles from the rising ground on this side of the river…" (215). Here, it is

the use of the word *carpeted* that indicates the act of combination. Although such use could

be regarded as a cliché, it testifies to the superimposition of man-made objects onto

landscapes in the *AN*, and illustrates the departure from the real that underlies all acts of boundary-crossing. Indeed, the idea of the lawn being "carpeted" can only be conceived metaphorically, even if the image of an actual carpeted floor hovers over the reading of the sentence.

Notwithstanding the presence of combination in the three entries discussed above, there seems to be a clear difference in the level of linguistic accomplishment between the second, and the first and third entries. Whereas the latter ones seem more matter-of-fact and fragmented (notice the verbless, sketch-like introductory sentences), the entry beginning with "I must mention again" is much more elaborate throughout, including other unexpected and metaphorical phrases such as "like scarlet *islands*" and "*crowning* the tops of barren hills." Arguably, such use of language is less instrumental and therefore less mimetic than in the other entries. This is a reminder of the lack of unity and consistency of language in private journals. My intention here is not to implode that type of writing and fictional literature as a whole, or Hawthorne's journals and say, his short stories, but rather to show that these texts may partake of similar procedures of boundary-crossing and of non-instrumental language use, no matter how elaborate they are.

What about the references to painting that I introduced as constituting a representation pattern in the *AN*? In one of the entries analyzed in the previous section, the word *painted* in the phrase "the whole picture was painted with but little relief of darksome hues" already set the tone for the type of procedure I shall explore. While in that phrase the lexical meaning of the word can not be literally employed in relation to the landscape, it provides the diarist with a point of view from which to look at it. This is in consonance with what Iser called "the continuous switching of perspective" (7), or the notion that the literal meaning is not totally discarded in the act of boundary crossing, but is kept in the background of the semiotic process. Just as in the act of selection, such procedure underlies an attitude to the empirical

world; such attitude, as I have noted before, consists in seeing the natural objects as aesthetic ones.

The painterly metaphorical domain reverberates in other lexical units, such as *tinged*, *picture* (see example above), and *frame-work,* as in the sentence: "I saw one maple-tree, its centre yellow as gold, set in a frame-work of red" (212). In all these situations, the same principle of combination is operative and the same result is achieved. In one particular entry, Hawthorne uses the technical terms *composed, volumes, and lines* to make the comparison between the landscape and a painting even more explicit:

> Last evening, on a walk, Graylock and the whole of Saddleback was at first *tinged* with a mild, half-sunshine tinge; then it grew almost black – a huge mass, lying on the back of the earth, and encumbering it. Stretching up from behind the back mountain, over a third or more of the sky, there was a heavy, somber blue mass or *ledge* of clouds – looking almost as solid as rock. The *volumes*, of which it was *composed*, were perceptible by *lines* and fissures being translucent; but the mass, as a whole, seemed as solid, voluminous, and ponderous in the cloud world, as the mountain was on earth.[21] (137)

Naturally, the sense of composition that is conveyed in this entry is not inherent in the landscape but is projected on it by the narrator. Therefore, despite the references to what we may assume are real places (Graylock and Saddleback), such real is overstepped in the way it is rendered in the passage.

All in all, the concept of combination has proved useful in the identification of instances of personification and of the controlling metaphor of painting in Hawthorne's descriptions of nature in his *AN*. However, the interart parallel that is established in those

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[21] Emphasis in *ledges* in the original.

entries calls for another theoretical model that can help us support our thesis from a different

perspective.

3   The interart parallel and the Picturesque in the *American Notebooks*

3.1. "Pictural" description and the interart parallel

The relationship between the image and the text has been the object of extensive research in the fields of Arts and Literature. The modalities of such relationship comprehend both the physical appearance of images in verbal texts[22] (and the other way round), be they in the form of illustrations, in the former case, or legends in the latter, and the evocation (*in absoentia* relationship) of images through descriptions or references to the visual arts in literature. Whereas Romantic writers, such as Coleridge, seem to have enriched their diaries with drawings to accompany landscape descriptions (Baker 651-70), Hawthorne opted for presenting the visual strictly through the verbal in his *AN.* In turn, his tendency to allude to painting in his depictions may justify our fitting such entries within Liliane Louvel's category "pictural."

Before we examine Louvel's category, it should be noted that the history of the analogy between literature and painting is intimately linked with the *ut pictura poesis* tradition. This expression, which can be translated as "as is painting so is poetry," or the reverse "as is poetry, so is painting," has been widely used since Horace's *Ars poetica*, but with time theorists and commentators have attributed different meanings and applications to it. As John Graham points out, with *ut pictura poesis* "Horace is quite simply saying that poetry is like painting in that a particular poem has its own virtues and so, like a particular

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[22] Or "*in proesentia* relationship*."* My translation. For a more detailed classification of the different types of relationship between text and image, see Márcia Arbex, *Poéticas do Visível: Ensaios sobre a Escrita e a Imagem* (Belo Horizonte: Programa de Pós-Graduação em Letras, Estudos Literários da FALE/UFMG, 2006) 52-54.

painting, needs to be considered under different physical conditions and with different expectations" (467). Whereas Horace seems to have used the phrase to highlight the particularities of each medium, Renassaince theorists have appropriated it to suggest a superiority of one medium over the other, with painting ranking lower in the comparison for appealing more to the senses and less to reason (associated with poetry). Eventually, the *ut pictura poesis* would be incorporated by the Picturesque in the eighteenth century, and the Picturesque interest in landscapes that were "suitable for painting" (Graham 473) would reverberate in the literary and diaristic production of writers like Hawthorne. In light of this, the question we might ask is: how can we objectively identify pictorial signs in the production of those writers? The answer may be provided by Louvel's methodology.

In "Nuances du pictural," Louvel defines the pictural as "the appearance of a reference to the visual arts in a literary text, under more or less explicit forms, with the value of citation, producing an effect of textual metapicturality"[23] (175). In the same text, she provides another definition, this time by Viola Winner, according to whom "The pictural description consists in describing people, places, scenes, as if they were paintings, or themes of paintings, and the use of aesthetic objects to emphasize thematic developments" (175). Although Louvel objects to Winner's use of the phrase "as if," which could lead to subjective approaches, we may keep both definitions in perspective in order to discuss the *AN*.

Still, lest we should base our readings on subjective or extra textual elements, we shall adopt Louvel's classification of the different textual signals of picturality. These would encompass:

> the technical lexis (colors, nuances, perspective, glacis, forms, layers, lines,
>
> etc.); the reference to the pictorial genres (still life, portrait, marines); the

---

[23] All the citations from Louvel's texts will be my translation from the French or Portuguese versions.

recourse to framing effects; the placement of opening and closing markers of

pictural description (deictics, textual framings such as embedded narratives,

punctuation, the typographic blank, the repetition of the motif "It was"); the

use of vision focalizers and operators; the recourse to explicit comparisons –

"like in a painting;" the suspension of time identified by the *–ing* form. (177)

Some of these signals have already been identified in the previous section, namely, the

presence of the technical lexis in the passage on Graylock and Saddleback (p. 35), and the use

of the word *painted* to describe the colors in the landscape. Below, we will discuss other

instances of "pictural" description in the volume under examination, and eventually we shall

relate Louvel's view of such procedure to our thesis.

Still on the references to colors, it should be observed that Hawthorne employed a rich

vocabulary to describe the subtle modulations of appearance he observed in the scenery. Such

vocabulary included words that could be considered part of, or at least derived from, the

terminology of painting, as can be seen in the following passage:

The woods present a very diversified appearance, just now, with perhaps more

varieties of *tint*, though less marked ones, than they are destined to wear at a

somewhat later period. There are some strong yellow *hues*, and some deep red;

there are innumerable *shades* of green; some few having the depth of summer;

others, partially changed towards yellow, look freshly verdant, the delicate

tinge of early summer, or of May. Then there is the solemn dark green of the

pines. The effect is, that every tree in the wood, and every bush among the

shrubbery, seems to have a separate existence, since, confusedly intermingled,

each wears its peculiar hue, instead of being lost in the universal verdure of the

summer. And yet there is a oneness of effect, likewise, when we choose to

> look at a whole sweep of woodland, or swamp shrubbery, instead of analyzing
>
> its component trees. (206-7)

A lot can be made of this passage, especially because much of what I have already discussed is condensed here. Indeed, the idea of nature's *palette* is here implicit, and the verb *wear* acts as a personifying agent in a similar fashion to the entries discussed in the section on combination. Furthermore, four different synonyms for *color* are used (*tint, hue, shade and tinge*), which points to an aestheticizing intention on the part of the diarist. Interestingly, the colors in this passage are not used only as mere modifiers of nouns, but stand as nuclei of nominal phrases: "some deep red," "shades of green." To a certain extent, and particularly in the excerpt that goes from "There are some" to "The effect is," one could easily forget the real referent of the colors ("woods") at the opening of the entry, and imagine the description as if it were of an abstract painting by a painter or a connoisseur.

The phrase *oneness of effect* in the same entry works as a further signal of the "pictural" element in the description, immobilizing the scene and giving the reader the sense of whole that one normally associates with painting. The "oneness of effect" also points to a viewing subject and to a particular vantage point from which the subject looks at the scene. One could indeed relate such phrase to what Louvel calls "vision focalizers and operators," already mentioned in this section. In the *AN*, several other operators are used to remind the reader of the inescapable act of seeing before the reality represented and of the perspective that engenders, and not only chronicles, that very reality. Let us take, for instance, one passage in which the verb *see* and the phrase *at a distance* play that role:

> … I *saw* also a long flat-bottomed boat go up the river, with a brisk wind and
>
> against a strong stream. Its sails were of curious construction; a long mast,
>
> with two sails below, one on each side of the boat, and a broader one
>
> surmounting them. The sails were colored brown and looked like leather, or

skins, but were really cloth; *at a distance*, the vessel looked like, or at least I

compared it to, a monstrous water insect, skimming along the river. If the sails

had been crimson, yellow &c, the resemblance would have been much better.

(47)

The focalizers highlighted above help us create a mental image of the scene as it was viewed

by the diarist, but they also help the diarist go beyond simple mimesis. The last three lines

show a gap between the reality out there and what is possible to make of it. This time, we can

see the operation of the fictive in its very origin: had the writer not used the phrases *looked*

like and *I compared it to*, instead of a comparison we would have a metaphor. Yet, the image

of the "monstrous water insect" becomes part of the visual horizon of the description as do

the colors that would make the resemblance more striking. The distance, therefore, is not only

a vehicle for the production of a pictural effect, but it is also a means by which difference and

the fictive are manifested.

If the indications of "picturality" analyzed above are not unequivocal enough for us to

regard those entries as "pictural" descriptions, the following fragment provides a definitive

illustration of such procedure. On May 9th, 1845, Hawthorne writes: "Towards the dimness of

evening, a half-length figure appearing at a window: – the blackness of the back ground and

the light upon the face cause it to appear like a Rembrandt picture" (259). Whether this entry

resulted from an actual occurrence or was simply the product of the writer's imagining

remains ambiguous. What is at stake, though, is the number of pictural signs that one may

identify in it. Firstly, the window works as a framing device, providing the scene with the

necessary limits for it to be seen as a picture. Secondly, the diarist uses what we may consider

to be painting technical terms: *background* and *light.* The *–ing* in "appearing" is a further

indication of the picturality of the description, even though it suggests a tension between the

action and the suspension of the action. Last but not least, there is the obvious comparison

between the scene and a "Rembrandt picture," introduced by the comparative *like*. By extension, since the name of the painter is mentioned, we can talk about intertextuality (in a broader sense), and selection in relation to such entry.

We can conclude that the "pictural" descriptions in Hawthorne's American diaries work as semiotic devices, encoding the visual in the verbal and endowing landscapes with painterly qualities. As Louvel proposes in "'A Descrição Pictural:'por uma Poética do Iconotexto:"

> The *iconotexto*[24] wouldn't be in a situation of attachment to the real, but would be twice removed, evolving at the center of representation and no longer in a normative system, in which the representation plane is still in intersection with the reality plane. The question is not the relationship signifier/signified anymore, but rather the relationship signifier/signifier/signified. (193)

This is another argument that can corroborate the thesis I am proposing. If the pictural filter interposes the representation of reality in the diaries, then what these texts reveal is less a reflection than a manipulation of the referent.

After having examined the textual elements that evidence the interart parallel in Hawthorne's *AN*, we may now proceed to relate such parallel to the author's approach to the visual arts in his fiction, and to the tradition of the picturesque.

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[24] Louvel's concept of *iconotexto* encompasses "the presence of a visual image evoked by the text and not only the use of a visible image for illustration or as a departure point for creation" (218).

3.2. Hawthorne, the visual arts and the picturesque

Hawthorne's relationship with the visual arts holds an obvious appeal to scholars of the author. Several of his short stories feature artists, such as Drowne in "Drowne's Wooden Image," and Owen Warland in "The Artist of the Beautiful," and his novels abound in descriptions of works of art – his last novel *The Marble Faun* was inspired by the Faun of Praxiteles, which the writer saw in a Roman sculpture gallery on his *grand tour* of Europe. In fact, his sojourn in Europe and the image of Hawthorne as a would-be connoisseur that emerges from his *French and Italian Notebooks* (1858-59) have been at the center of discussions on the author's approach to art.[25]

Nevertheless, as the pictural descriptions analyzed here suggest, Hawthorne's interest in art dates back to a much earlier period than that. Rita K. Gollin informs us that "[in 1836] Hawthorne read [William] Dunlap's *History of the Rise and Development of the Arts of Design in the United States* and allusions to art began to enter into his writing" ("Hawthorne and the Visual Arts" 112). A more thorough investigation will not only confirm Gollin's statement, but also shift that time reference further back. In "Sir William Phips," a sketch originally published in a periodical in 1830, Hawthorne shows awareness of the genre of landscape painting in a passage that can be considered especially relevant to our analysis of landscape descriptions in the *AN*:

> Few of the personages of past times (except such as have gained renown in
> fireside legends as well as in written history) are anything more than mere
> names to their successors. They seldom stand up in our imaginations like men.

---

[25] See Rita K. Gollin and John L. Idol, Jr.'s chapter "The European Experience" in *Prophetic Pictures: Nathaniel Hawthorne's Knowledge and Uses of the Visual Arts (*New York: Greenwood P, 1991) 69-82, one of the most important evaluations of Hawthorne's responses to art in his *grand tour* of Europe.

> The knowledge communicated by the historian and biographer is analogous to
>
> that which we acquire of a country by the map,--minute, perhaps, and accurate,
>
> and available for all necessary purposes, but cold and naked, and wholly
>
> destitute of the mimic charm produced by landscape-painting. (12)

In order to fully grasp the distinction made between the map and landscape painting, we shall

have to interpret the word *mimic* as a kind of creative transposition or translation, instead of

merely imitation, or copy, which would be better associated with the map. By extension, I

would contend that the scenery descriptions analyzed in this thesis also produce this "mimic

charm" of landscape-painting, and are closer to the period's nature poetry than to more

"naked" or fact-based genres, such as the news report.

If Hawthorne was aware of late eighteenth and early nineteenth century poetry and

landscape painting, he was also aware of the tradition from which those two genres sprung:

the Picturesque. This can be confirmed not only in the descriptive procedures he employed

(and in the explicit references to painting already discussed), but also in the striking number

of occurrences of the term *Picturesque* in both his fiction and his notebooks.

The *Picturesque* refers to a whole set of theories and practices associated with the

aestheticizing of nature and the appreciation of natural scenery. Its origins can be traced back

to the excursionist books of William Gilpin (1724-1804) about the English countryside, but,

as Dabney Townsend points out, "[i]n its basic sense of "looking like a picture" or "being

suitable for painting," the picturesque was a common term much earlier in the eighteenth

century" (365). Nevertheless, the qualities of roughness, intricacy and decay that came to be

attached to it would have to wait until the late 1760s to become popular. And such qualities

are precisely what distinguish the Picturesque from Edmund Burke's categories of the

beautiful and the sublime which were based on the idea of smoothness (Marshall 415).

Although there is no evidence that Hawthorne read William Gilpin or any of the other major Picturesque theorists, such as Uvedale Price or Richard Payne Knight, he was probably familiar with its principles from, say, Walter Scott's novels or Wordsworth's poetry. His readings, on the other hand, included influential works on the field of aesthetic theory, such as Archibald Alison's *Essays on the Nature and Principles of Taste*, Francis Hutcheson's *An Inquiry into the Original of Our Ideas of Beauty and Virtue*, and Edmund Burke's *Enquiry into the Sublime and Beautiful* (Gollin and Idol *Prophetic Pictures* 15). By extension, Leo B. Levy devotes two essays to the exploration of the Picturesque in Hawthorne's novels *The Scarlet Letter* and *The House of the Seven Gables*. As regards the latter, for example, he asserts that the Picturesque "is an important technique in dramatizing the crisis of a decaying, aristocratic society" and that such technique is necessary for "conveying a sense of the past" (1966 148). Later on, he adds that "Perhaps the most sustained purpose of picturesque imagery in *The House of the Seven Gables* is to establish a mood of extraordinary stillness and repose – the quietness of a pastoral removal from the world" (155). These observations fit in with Tonwsend's conclusion about the Picturesque, according to which "[it] introduces both a temporal and a physical distance that influences the formulation of 'distance' as an aesthetic term" (368).

In the *AN* both the temporal and the physical distance mentioned by Townsend may be seen in several occasions, as the following passage illustrates:

> Looking up the brook, there was a long vista – now ripples, now smooth and glassy spaces, now large rocks almost blocking up the channel; while the trees stood up on either side, mostly straight, but here and there a branch thrusting itself out irregularly, and one tree leaning over, a pine tree, [35] not bending, but leaning at an angle over the brook, rough and ragged; birches, alders; the

tallest of all the trees, an old, dead, barkless pine, rising white and lonely,

though closely surrounded by others; it had been dead for long years. (55)

Here Hawthorne's eye, just like Gilpin's in his travels, falls upon the peculiarities of a scene

met accidentally on a walk. The "long vista," which works as a vision operator, indicates the

distance from which he is looking at the landscape. The sense of temporal distance, on the

other hand, is conveyed by the "old, dead, barkless pine, rising white and lonely" which also

foregrounds the observer's feeling towards the scene. Finally, the attention to irregularity,

roughness and raggedness helps compose a Picturesque image according to Gilpin's

principles (as discussed in Marshall 415).

In addition to the two modes of distance discussed above, let alone the inherent

painterly simile, the Picturesque seems linked with what Townsend has called "the aesthetics

of spectatorhood – the idea that aesthetic experience is above all a pure experience detached

from action, moral commitment, or social and economic class" (372). The aesthetics of

spectatorhood is already implied in the physical distance, but it seems to add a performative

role to the observer of landscapes. In a large number of entries from the *AN*, such aesthetics

may be seen in the use of the terms *spectator*, *beholder* and *observer*, instead of the pronoun

"*I*."

Let us concentrate on the more immediately theatrical term s*pectator*. The passage I

would like to analyze is the continuation of an autumn entry from October 9th, 1841, whose

fragment I quoted on p. 25. In this passage Hawthorne reflects:

Most of the oak-leaves have still the deep verdure of sum[27]mer[26]; but where

a change has taken place, it is of a russet red, a warm, but sober hue. These

colors, infinitely diversified by the progress which different trees have made in

their decay, constitute almost the whole glory of Autumnal woods; but it is

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[26] Numerals in square brackets indicate the beginning of manuscript pages.

impossible to conceive how much is done with such scanty materials. And, as you pass along, every tree seems to be an existence by itself. In summer, the sunshine is thrown away upon the wide, unvaried verdure. Now, every tree seems to define and embody the sunshine. And yet, the *spectator* can diffuse himself throughout the scene, and receive one impression from all this painted glory. (213)

The tone and mood are the same as in several of the other depictions quoted in this thesis. However, what can we make of the use of *spectator* at the end of the entry? Does that point to a hypothetical reader who could identify with the writer's experience? An impersonal self aiming at the expression of a universal experience of communion with nature? It can be argued that the use of *spectator* instead of *"I"* indicates fragmentation in the authorial voice. In any case, there is role playing involved, and the idea that nature is a spectacle to be seen and experienced is present. It follows that the aestheticizing of nature through the theatrical metaphor overlaps with that of painting, producing an interesting case of selection and combination.

In another entry, Hawthorne the spectator prefigures a potential character that would assume a similar position of observer, or one could think, of an omniscient narrator:

> View from a chamber of the Tremont of the brick edifice opposite, on the other side of Beacon Street. At one of the lower windows, a woman at work; at one above, a lady hemming a ruff or some such lady-like thing. She is pretty, young, and married; for a little boy comes to her knees, and she parts his hair, and caresses him in a motherly way. A note on colored paper is brought her; and she reads it, and puts it in her bosom. At another window, at some depth within the apartment, a gentleman in a dressing-gown, reading, and rocking in an easy-chair, &c, &c, &c. A rainy day, and people passing with umbrellas

disconsolately between the *spectator* and these various scenes of indoor

occupation and comfort. With this sketch might be mingled and worked up

some story that was going on within the chamber where the *spectator* was

situated. (179)

This entry mixes factual information with observed and imagined elements. There is, in fact,

a degree of ambiguity in the incorporation of the real, since one can not certify whether the

writer did observe such scenes or not. Assuming that he did, his referring to what he saw as

"this sketch" forces it to acquire a new status. And the prefiguring of the spectator in the

journalist confirms its performative, and I would add fictive, function in the first place.

If the spectator is a textual persona, one who turns collected ephemera into observable

material, then, it is just as fit that what he sees be called *scenes*. Such word is used in both of

the last two entries discussed, although the action that it suggests is not so present in the first

one. We may take it for granted now, but as Marshall tells us:

In the late eighteenth century – a time when "the proscenium frame and the

movable flats were being simultaneously developed" in the theater – the idea

that the landscape itself could be a *scene* became inscribed in the language.

Writers like Uvedale Price had to refer to "natural scenery" and "real scenery"

in order to distinguish the views they were describing from the realm of art,

but the terms "scene" and "scenery" implied a theatrical perspective from the

outset. (414)

We can conclude that the use of *scenes* completes the theatrical metaphor in those entries,

and allows Hawthorne to foreground representation and staging in detriment to the raw

account.

At times, the focus of representation is not the observer or the scene, but rather the

human figures that participate in it. This happens specifically in the following two entries:

The red light which the sunsets at this season diffuse; there being showery

afternoon, but the sun setting bright amid clouds, and diffusing its radiance

over those that are scattered all over the sky. It gives a rich tinge to all objects,

even to those of somber hues, yet without changing the hues. The complexions

of people are exceedingly enriched by it; they look warm, and kindled with a

mild fire. The whole *scenery* and *personages* acquire, methinks, a passionate

character. A love-scene should be laid on such an evening… (170)

Beneath the moon and the horizon, the commencement of its track of

brightness, there was a cone of blackness, or of very black blue. It was after

nine before we finished our supper, which we ate by firelight and moonshine,

and then went aboard our decked boat again, - no safe achievement in our

ticklish little dory. To those remaining in the boat, we had looked very

picturesque around our fires, and on the rock above them, - our statures being

apparently increased to the size of the sons of Anak. (174)

In the first entry, we can observe the same thin line between the actual and the non-actual

which I have pointed out with respect to the Tremont entry. In both of them, Hawthorne's use

of the diary as a savings bank for literature is made evident. However, what seems of interest

in the first entry is not so much the fact that the atmospheric conditions observed should be

conducive to a romantic story, but rather that the lexical choice produces overstepping in the

very reference to a "real" situation. This situation is conceived as *scenery* and the people as

personages; in either case, the referents can no longer be identified with their original

contexts, as they are projected, staged and perspectivized.

Likewise, in the second entry (a boat trip to Baker's island), a group of people are

seen as "picturesque" from a particular vantage point. Interestingly, in this case, Hawthorne is

not the viewer but the viewed. He sees himself through the eyes of an other who was situated at that viewing point, and imagines the effect they had made on him/her. Although the theatrical lexis is absent here, the idea that people in a landscape may be seen as embodying special attributes to an outside observer is also a characteristic of this entry. One should note the image of "the sons of Anak" used to describe the effect produced in the people's heights: another interxtextual element that transforms the reality portrayed, establishing a strong visual reference and adding an archaic feeling to the "scene."

Although the Picturesque was not an official school of thought or a unified body of principles, its influence was undeniable in the arts of the 18th and 19th centuries. Some of its characteristics, as put forward by different theorists, find parallel in Hawthorne's textual practice both in his fiction and notebooks, as we could see. Among these are the obvious and pervasive "seeing as painting" metaphor, the interest in irregular features in landscapes, the physical and temporal distance, and the metaphors derived from drama. More than mere clichés, these characteristics or motifs enable Hawthorne to engage the imaginary in descriptions and narratives, and at times even blur the borders among observation of real life, literary project and literary product.

If the picturesque was a strong influence in the development of Hawthorne's visual imagination, the genres of landscape painting and nature poetry (which have origins in, and share motivations with the Picturesque) were also extremely important to the writer as references for production. Therefore, Gallagher and Greenblatt's previously quoted suggestion that "it is possible to [treat] all of the written and visual traces of a particular culture as a mutually intelligible network of signs" finds in Hawthorne its illustration and validation.

3.3. Mirror-imagery, doubling and Transcendentalism

Mirrors are among the most common artifices employed in painting and literature, and their use as fictional devices has been associated with the technique known as *mise en abyme*, by which a work can be enclosed within itself.[27] It follows that the appearance of mirrors in works of art is determined by context-bound assumptions that attribute specific meanings and functions to them. In the eighteenth century, for example, mirror-imagery in the form of reflections on water "usually symbolize[d] a harmonious relationship between the mind and the world based upon the analogy of the reflecting water and the reflective mind" (Spector 85). Nonetheless, other possibilities of symbolization arise when we investigate different works from the same period. In any case, doubling is a suitable paradigm on which to discuss the recourse to mirrors in representation.

Hawthorne's use of mirror-imagery in the *AN* is evocative of the eighteenth century convention of portraying images projected onto the surface of lakes and rivers. Again, the writer's sources in using this type of representation point to the Picturesque tradition. While the Picturesque seems to have provided Hawthorne with the formal schemata to depict nature, the underlying metaphors in his mirrors may indicate the influence of Romantic and Transcendentalist ideas as well.

Under the date September 7th, 1835, one may read:

> Last evening, from the opposite shore of the North River, a view of the town
> mirrored in the water, which was as smooth as glass, with no perceptible tide
> or agitation, except a trifling swell and reflux on the sand, although the shadow
> of the moon danced on it. The picture of the town perfect in the water, - towers

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[27] For a comprehensive study of the *myse em abyme*, its origins and uses, see Lucien Dällenbah's *The Mirror in the Text* (Chicago: U of Chicago P, 1989).

of churches, houses, with here and there a light gleaming near the shore above, and more faintly glimmering under water, - all perfect, but somewhat more hazy and indistinct than the reality. There were many clouds flitting about the sky; and the picture of each could be traced in the water, - the ghost of what was itself unsubstantial. The rattling of wheels heard long and far through the town. Voices of people talking on the other side of the river, the tones being so distinguishable in all their variations that it seemed as if what there said might be understood; but it was not so. (12)

To some extent, this entry echoes a well-known Picturesque description written by John Brown in a 1758 letter about Kenswick's lake. I quote a fragment from this letter exactly as transcribed by Spector in his text "Wordsworth's Mirror Imagery and the Picturesque Tradition:" "in calm weather the whole scene becomes new; the lake is a perfect mirror; and the whole landscape in all its beauty, islands, fields, woods, rocks, and mountains, are seen inverted and floating on its surface" (88). In both descriptions, the "perfection" of the reflected image is expressed, but Hawthorne seems to go a bit further in showing the distortions in that reproduction.

In fact, his reflection is characterized by indistinctness and thinness, which is conveyed by the words "faint," "hazy" and "ghost." To the end of the passage (which I quote in its entirety) he introduces an auditory element in order to communicate even more vividly the gap between the reality and the representation. The immediate analogy is that the image in the water is as misleading as the sounds heard at the distance. Although the world reflected does not stand for a social-historical world as we saw in Spenser's eclogues, one could see it as standing for the very realm of representation, as happens in the reflection of the garden in Sidney's *Arcadia* (see p. 23). If we extend such interpretation to the verbal level of the entry,

we could conclude that it does not aim at mimesis; rather, it stages the very process of representation through overstepping and doubling.

In the following entry, indistinctness and thinness are also features of the reflected image, but other comparisons and metaphors are brought into the picture:

> Standing in the cross-road that leads by the Mineral Spring, and looking towards an opposite shore of the lake, an ascending bank, with a dense border of trees, green, yellow, red, russet, all bright colors, brightened by the mild brilliancy of the descending sun; it was strange to recognize the sober old friends of spring and summer in this new dress. By the by, a pretty riddle or fable might be made out of the changes in apparel of the familiar trees round a house, adapted for children. But in the lake, beneath the aforesaid border of trees,- the water being, not rippled, but its glassy surface somewhat moved and shaken by the remote agitation of the breeze that was breathing on the outer lake, - this being in a sort of bay, - in the slightly agitated mirror, the variegated trees were reflected dreamily and indistinctly; a broad belt of bright and diversified colors shining in the water beneath. Sometimes the image of a tree might be almost traced; then nothing but this sweep of broken rainbow. It was like the recollection of the real scene in an observer's mind, - a confused radiance. (158)

Firstly, one should note the intertwining of the experience level with the creative or aesthetic level which is so pervasive in the *AN*, as we have seen. Secondly, the doubling observed in this passage produces an even more striking difference between the reflected and the reflection in comparison with the North River entry. This difference lies in the transformation of the "actual" image into an almost abstract display of colors. On that account, the poetic and non-pragmatic use of language should be mentioned, especially in the phrases "a broad

belt of bright," and "a sweep of broken rainbow" (both of which constitute combination and generate interesting sound and image effects). Finally, the Wordsworthian metaphor of recollection is again employed, endowing the reflection with a meaning that was not predicted in the original image. And that metaphor coincides with the aforementioned analogy between "the reflecting water and the reflective mind" which Spector attributes to the eighteenth century incorporation of mirror-imagery.

Hawthorne's musings upon reflected images take on Transcendentalist overtones when he narrates one of his boat "voyages" on September 18th, 1842. Previously in the same period, he had devoted several pages to his encounters with his neighbor Thoreau, from whom he acquired the "Musketaquid." This legendary boat had taken the philosopher and his brother on the trips celebrated in *A Week on the Concord and Merrimack Rivers,* which has a lot in common with Hawthorne's *AN* in terms of descriptive procedures. [28] On reaching a thickly wooded spot along the Concord river, Hawthorne ponders:

> I scarcely remember a scene of more complete and lovely seclusion than the passage of the river through this wood; even an Indian canoe, in olden times, could not have floated onward in more com[67]plete solitude than mine did. I have never elsewhere had such an opportunity to observe how much more beautiful the reflection is than what we call reality. The sky, and the clustering foliage on either hand, and the effect of sunlight as it found its way through the shade, giving lightsome hues in contrast with the quiet depth of the prevailing tints – all these seemed unsurpassably beautiful when beheld in upper air. But, on gazing downward, there they were, the same even to the minutest

[28] Chiefly in the use of painting as a comparative element and in the attention to color and light in autumnal landscapes. See Conron's "Bright American rivers": The Lumínist Lanscapes of Thoreau's *A Week on the Concord and Merrimack Rivers*" (*American Quarterly* 32.2 1980) 144-66.

particular, yet arrayed in ideal beauty, which satisfied the spirit incomparably

more than the actual scene. I am half convinced that the reflection is indeed the

reality – the real thing which Nature imperfectly images to our grosser sense.

At all events, the disembodied shadow is nearer to the soul. (360)

As in the other entries, we can perceive the thematization of the crossing of planes: the image

as seen in "upper air" – or the "actual scene" – on the one hand, and the "downward" view

"arrayed in ideal beauty" on the other hand. Such crossing functions by means of a reversal:

while the former plane is repeated in the latter, it loses its privileged status as originary and

transcendental, now attributed to the ideal plane. As Iser writes in his chapter on Renaissance

Pastoralism: "doubling appears as the hallmark of fictionalizing acts that put in brackets

whatever is, in order to allow a repetition under different circumstances and conditions" (54).

Clearly, this process of doubling is intimately dependent on the device of the mirror for its

fulfillment. Therefore, we may connect the mirror entries analyzed here to another statement

made by Iser about doubling: "the doubling of fictionality may be conceived as a place of

manifold mirrorings, in which everything is reflected, refracted, fragmented, telescoped,

perspectivized, exposed, or revealed" (79). In light of this, the question that arises is: what

assumptions may justify such perspectivization? As anticipated, we shall find reasonable

answers in Transcendentalism, the New England school of thought that championed

individual intuition and a holistic view of spirituality.

Transcendentalism aggregated ideas from a wide array of sources, including German

Idealism, English Romanticism, Orientalism, Platonism, French Fourierism, and

Christianism, and its main exponents were Ralph Waldo Emerson, Henry David Thoreau and

Margaret Fuller (Elder 4). Although Hawthorne was not an official member of the

"Transcendental Club," he participated in meetings (having lived in Brook Farm, the

Transcendentalist communal enterprise), and was constantly in touch with Emerson, Thoreau

and Fuller. Moreover, references to Transcendentalism can be found in his notebooks (as I mentioned earlier), in his short stories and novels.

To begin with, the ideas that "the reflection is the reality" and that "the disembodied shadow is nearer to the soul" find correspondence in the Emersonian version of Transcendentalism, especially in the text "The Spiritual Laws." In it, Emerson exposes his concept of the Over-Soul which is closely linked with the ideas of Truth, Beauty and Goodness. The Over-Soul can be defined as "[t]he Unity or the Whole which unifies the particulars seen in Nature and Man" (Elder 16). Such element transcends matter at the same time that is shadowed in it. As the Higher Truth, it is evanescent and indescribable. Likewise, Hawthorne's reflection is intangible or "disembodied", which makes it "nearer to the *soul*." By extension, we can interpret his reversal of the reality/reflection binary in light of the same concept: the reflection, then, is conceived as the ultimate Truth behind things.

The same rationale is found in a number of other entries in the *AN*. In most of these entries, the attention to the immateriality of reflections and shadows indicate an aesthetic principle underlying the metaphysical motivation. In order to illustrate this, I quote another "long vista" of a rural landscape seen from the top of a hill:

> It was visible through a course of two or three miles, sweeping in a semi-circle round the hill on which I stood, and being the central line of a broad vale, on either side. At a distance, it looked like a strip of the sky set into the earth, which it so etherealized and idealized that it seemed akin to the upper regions. Nearer the base of the hill, I could discern the shadow of every tree and rock, imaged with a distinctness that made them even more charming than the reality; because, knowing them to be unsubstantial, they assumed the ideality which the soul always craves, in the contemplation of earthly beauty.

> All the sky, too, and the clouds of sunset, were reflected in the peaceful bosom
>
> of the river… (321)

Two types of doubling are operative here: the shadows of the trees and rocks and the reflection of the sky. As for the latter, it echoes the observation made earlier in the passage and that connected the landscape, or the earthly realm, to the "upper-regions." What needs to be understood, apart from this, is the ideality that is sought in those projections. In Emerson's *Journals*, the reader finds a principle that parallels what Hawthorne does in those entries. According to Emerson, this principle should be applied to the portrayal of pictures and should mingle the actual with the ideal representation, "which, by selection and much omission, and by adding something not in Nature, but profoundly related to the subject, and so suggesting the heart of the thing, gives a higher delight, and shows an artist, a creator" (*Journals* 424-25). In one of his essays, he complements this idea by writing that the artist's imagination is what transforms "every dull fact into pictures and poetry, by making it an emblem of thought" (*Works* 78). Finally, this idea should make sense when seen in relation to the mirror, which heightens the beauty found in Nature: "Every one may see, as he rides on the highway through an uninteresting landscape how a little water instantly relieves the monotony: no matter what objects are near it, - a gray rock, a grass-patch, an alder-bush, or a stake, they become beautiful by being reflected" (*Works* 45). The opposition actual/ideal gives extra meaning to Hawthorne's mirror entries and attests to the writer's aesthetic posture when looking at and portraying nature. The purpose in representing reflections, then, has a lot to do with an ideal of beauty and with the will to transform the seen and the lived into the symbols of a transcendental view, which can be seen as a form of fictionalization in itself.

Mirror-imagery has proved to be a rich ground for understanding Hawthorne's incorporation of aesthetic and philosophical principles into his journalizing. Additionally, the representation of reflections discussed here showed that Hawthorne went beyond the formula

inherited from the Picturesque tradition, and used the reflectivity of natural surfaces as a

source for semi-metalinguistic and metaphysical considerations. As a result, his text reveals

textual and cultural meaningfulness at the same time that it evidences departure from

imitative mimesis.

4   **The problem of representation and the problem of genre**

4.1. The gap between reality and representation

So far I have focused primarily on situations in which the immediate referent of the journal entries is outside the text, with no connection with the intratextual or representational level. However, in some of the examples of mirror-imagery analyzed in the previous chapter, we could see the thematization of the process of representation or referencing through the reflection metaphor. It follows that the inscription in the text of the representing space through cohesive devices or self-referential interventions undermines the supposed transparency of diaristic writing, especially when the medium itself is problematized. Below, I will examine entries in which this happens. Such examination will be followed by a discussion on the question of readership in relation to private journals, and on the concept of self-disclosure to which it is related.

It was not uncommon for Hawthorne to admit failure in verbally conveying his impressions of natural scenery. The writer would often communicate such failure quite directly and succinctly, as in the closing of an elaborate winter entry from 1845: "All the above description is most unsatisfactory" (255). At other times, the acknowledgement of failure deserved more than a single sentence:

> And now how narrow, scanty, and meager, is this record [29] of observation,
> compared with the immensity that was to be observed, within the bounds
> which I prescribed to myself. How shallow and scanty a stream of thought –
> compared with the broad tide of dim emotions, ideas, associations, which were

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[29] The referred record is actually 5 pages long.

> flowing through the haunted regions of imagination, intellect and sentiment,
> sometimes excited by what was around me, sometimes with no perceptible
> connection with them. When we see how little we can express, it is a wonder
> that any man ever takes up a pen a second time. (250)

We can argue that such utterances disrupt the referential illusion, calling attention to the expressive medium that creates it in the first place. Moreover, in the particular situation of the latter entry, the phenomenological world is privileged over the representational one, which creates a gap between what is written and what is taken in by the senses. As a result, the signified is presented as unattainable, and all one is left with are fragments of its verbal re-signification by the diarist.

In another entry, Hawthorne goes on to assert the ontological nature of the reality observed in detriment to his ability to represent it:

> But it is in vain for me to attempt to describe these autumnal brilliancies, or to
> convey the impression which they make [141] on me. I have tried a thousand
> times, without the slightest self-satisfaction. Luckily, there is no need of such a
> record; for Nature renews the scene, year after year; and even when we shall
> have passed away from the world, we can spiritually create these scenes; so
> that we may dispense now and hereafter with all further efforts to put them
> into words. (395)

Interestingly enough, Hawthorne does not keep to his promise and carries on describing and narrating, which points again to the function he attached to the notebook, that is, that of support for literary exercise. We have to note, above all, that there is a great deal of transcendent (and platonic) ideality ascribed to the images of nature in this entry. As a matter of fact, the scenes exist as eternal entities independent of their materiality. Thus, representation is not necessary, since these scenes can always be retrieved by the human

mind. The transcendent quality attributed to the scenes evinces once again the writer's attitude to the given. This attitude, in turn, seems related to discourses (such as the Transcendentalist one) which are not part of that given.

When failure is not attributed to inability, it is the very linguistic medium that is accounted for the difficulty in representing the world: "The sunsets of winter are incomparably splendid; and, when the ground is covered with snow, no brilliancy of tint, *expressible by words*, can come within an infinite distance of the effect" (303). By extension, painting, which is often the substratum of descriptive expression in the *AN*, sometimes proves to be inefficient as well: "It was a picture that can never be painted nor described, nor, I fear, remembered with any accuracy" (255). Hawthorne thus reinforces the gap between experience and representation (both through words and evocation of painting):

> No language can give an idea of the beauty and glory of the trees, just at this
> time. It would be easy, by a process of word-daubing, to set down a confused
> idea of gorgeous colors, like a bunch of tangled skeins of [33] bright silk; but
> there is nothing, in the reality, of the glare which would thus be conveyed.
> (217)

Once more, we can see the real lose its determinacy and become rarefied in abstraction ("a bunch of tangled skeins of bright silk"). In turn, such real becomes the departure point for a metadiscursive argument. This argument promotes the suspension of the natural development of the description, moving it to the center of the discussion.

Assuming that these entries work as rhetorical excuses or *captatio benevolentia*, we could interrogate who they are targeted to. That would prompt us to re-evaluate the place of readership in private journals. Indeed, if in the diary one writes only for self-reference, there would be no need for corrections or *mea culpas*. In addition, there would be no need for

cohesive devices, such as the ones found in the *AN*: "the above description," "which I have described" (17), "above mentioned" (234), etc.

Kuhn-Osius's view concerning this issue seems worth noting:

> In light of the common belief that the diarist speaks only to himself, of himself, for himself (at least under ideal circumstances), that he gives authentic expression to experience, let it be stressed that the experience itself in its privacy is speechless. As soon as something can be verbalized, it has found its place in the cognitive universe of all language users. The diarist must entrust his experience to all the shortcomings of a public language which have been so keenly felt in this century. And there is no way of avoiding this, since the very act of naming an experience drags it into the public realm. If an author were to refuse this public element of speaking he would be reduced to silence. The 'network' of language not only binds and confines him but it also carries him and permits of conceptualization of his experiences. Without it there might be no experience to record, or, if so, it probably could neither be committed to memory nor be expressed. (170)

However, the mere fact of using a common language does not make writing wholly accessible to readers. As Kuhn-Osius acknowledges later on in the text, the writer has to decide "how explicit he wants to be, how much he wants to name and how much he wants to describe, how much, in short, he wants his writing to be accessible to others" (171). That being the case, Hawthorne's *AN* can be considered as quite reader-friendly, since he describes profusely, refers back to what he has written, and tries to build rapport by showing the limits of his own skills.

That would constitute an exception to Kuhn-Osius's distinction between diaristic writing and fiction, according to which the latter would impose fewer difficulties on the

reader, and would try to bridge the gap between experience and account (172). On the other hand, Kuhn-Osius's identification of methods by which diarists reach their readers seems applicable to the case under analysis. One of these methods is the use of "well-known story lines, especially travel and historical events" (173), which can be related to Hawthorne's tapping into the conventions of Picturesque descriptions already discussed. Another one is fictionalization, which – despite not so clearly defined by the critic – can be interpreted as an indirect way of approaching reality, a key feature in the *AN*. Lastly, there is the tendency of commenting on different areas of life, also prominent in that volume. With reference to this last method, Kuhn-Osius remarks:

> Commentary may be a trait of the literary journal as opposed to the 'real' one. While the private diarist uses general reflections to bolster his evaluations of and reactions to events, the literary diarist may use events as a backdrop for general ruminations. In using general commentary, the diarist has a possibility of overcoming some of the limitations of language insofar as he no longer tries to express private experience but rather deals with that experience in terms of rational discourse (and assumes that the same type of experience has been accessible to the readers). (173)

With the proposed subdivision of the diary into "literary" and "real", we begin to see cracks in the generic boundaries (to which I shall return in the next section). For the moment, I would like to stress that the commentary method is the vehicle by which the writer's attitude, which is not part of the world portrayed, can be communicated.

Whereas in Kuhn-Osius's text, tapping into conventional modes of representation approximates diarist and reader, in Iser's discussion of the act of boundary-crossing de-restriction, the reader's recognition of such conventions is what enables him/her to identify the very fictionality of the text. As we could see, the reader must identify the clues that call

for a change of attitude towards the represented world. If we look back at the conventional evocation of painting in the entries analyzed in this thesis, we can easily see de-restriction in the *AN*. In that case, the reader would have to suspend his view of the landscape represented as a mere natural fact and start seeing it as an artistic object. The same would apply to the category of the spectator and to the mirror-imagery examples discussed. Additionally, the acknowledgment of the gap between reality and portrait in the entries examined in this section could also be seen as pointing to the reader, in the sense of reminding him/her of the limits of representation.

Nevertheless, these examples do not really coincide with the ones presented by Iser for this type of fictionalizing act. Obviously, this is due to the fact that Iser provides examples from plays and novels. An application of the concept to a different genre, such as the diary, would inevitably involve adjustments imposed by its specificities. Therefore, I admit I am stretching the concept so as to accommodate my object of study, but I am not trying to equate self-disclosure as it is seen in those other genres with the situations observed in the diary. Indeed, one can not find in the latter any situation such as the one thematized in Fielding's *Tom Jones,* in which a character takes a performance for reality. Ultimately, the application of de-restriction to the *AN* is personal, limited and subject to revisions.

At any rate, the concept of de-restriction and the ideas put forward by Kuhn-Osius have contributed to the discussion on readership and fictionalization in the *AN*. The outcome of such discussion was the realization that Hawthorne employed several techniques in order to guide a virtual reader of his diaries. Among these techniques are the use of cohesive devices, commentary, indirect approaches to the referent, and the acknowledgment of failure in depicting the world. The last technique was seen as a recognition of the gap between reality and representation, which should provoke a change of attitude to what has been depicted, promoting a revision of the given and the foregrounding of the text as a symbolic

construction. With such technique the text goes from strictly referring to the empirical world, to referring to itself, and the writer goes from being self-absorbed to being aware of his reader.

4.2. The problem of genre

Let us consider the following questions right at the outset: Can generic definitions and boundaries help us understand the textual production seen in private journals? What happens to these definitions and boundaries when we analyze writers' samples?

The fact is that the diary is a "genre" that greatly resists generalizations. In Kuhn-Osius's words: "To define the term 'diary,' one would have to start from a Wittgensteinian theory of *Familienähnlichkeiten* and assume that many traits belong to the diary but that not all diaries have all of them all of the time" (166). Arguably, this premise does not hold true for diaries only, but can be extended to most (if not all) genres.

Still with respect to Kuhn-Osius's statement, it should be observed that it subscribes to two very common assumptions about genres: the idea that they can be defined by "traits," and the fact that these traits "belong" to those particular genres. An alternative view would be that of Derrida, according to whom "a text cannot belong to no genre, it cannot be without or less a genre. Every text participates in one or several genres, there is no genreless text; there is always a genre and genres, yet such participation never amounts to belonging" (65). This view seems to make sense especially when related to his belief that the law of the genre is indeed "a principle of contamination, a law of impurity, a parasitical economy" (59). From this perspective, the aforementioned "traits" do not really "belong" to one particular genre; instead, they may or may not be diffused over several of them.

As we have seen, Hawthorne's *AN* challenge some of the defining traits of private journals, namely, the lack of imagination, the absence of readership signals, and the strictly pragmatic orientation of their texts. On the other hand, some of the traits ascribed to diaries can be found in other genres as well: the everyday life perspective (see p. 13) is found in much of romantic and modernist poetry, and the departure from the real (especially in Iser's broad conceptualization) can be seen as one of the conditions of artistic production in general.

Moving on to the more specific traits of our corpus: if instrumental discourses are the ones that try to hide their fictionality, what can we say about the metalinguistic comments we discussed in the previous section? Would they make Hawthorne's *AN* literary? For that matter, if the scenery descriptions here analyzed were found in the writer's short stories or novels, would they be considered more "fictive" because of that? These questions show the limits of generic boundaries and reinforce the importance of examining a text in its own right.

In this respect, Paul de Man's considerations about autobiography are largely applicable to Hawthorne's *AN:*

> … each specific instance seems to be an exception to the norm; the works themselves always seem to shade off into neighboring or even incompatible genres and, perhaps most revealing of all, generic discussions, which have such powerful heuristic value in the case of tragedy or of the novel, remain distressingly sterile when autobiography is at stake. (920)

That may explain why Kuhn-Osius prefers to create a subgenre of the diary. The "literary" diary comes to accommodate the anomalies that escape the "real" diary, and functions as a hedge against claims of the type: "But that is not a real diary!"

Nonetheless, we should not forget that we are looking at a writer's volume of journals, and that it includes commonplace notes as well as diaristic entries. If Hawthorne treated his

notebooks as supports for literary exercises, then their writing was naturally contaminated by the language and imaginative twist of the "literature" he produced in the same period. By contrast, the corpora studied by Lejeune – which includes diaries written by non-writers in the nineteen and twentieth centuries – do not reveal the same contamination. That does not mean they do not contain their own particularities, or that they are altogether unimaginative.

It has to be added that tagging Hawthorne's American diaries "literary" will not obliterate the formal diaristic marks present in them. Here, I am referring specifically to the calendar, which is for the most part the ruling principle in them. However, even if such ruler provides rhythm and regularity, it does not contain the freedom of the writing which can trespass the limits of what could possibly be written on a single day. Moreover, at times the same dated heading may contain accounts of events from different days. Last but not least, it should be noted that the dated format of the diary has been appropriated by novelistic writing since *Robinson Crusoe*, which enables us to say it is not an exclusive trait of diaries anymore.

Overall, the traits used to define genres are insufficient and inappropriate to analyses that take individual works into account. These traits are not exclusive fixtures of the genres to which they are attached, and alternatively, end up revealing a whole spectrum of possibilities of "participation" and sharing among genres, instead of inflexible identities. This seems to be the case of Hawthorne's private journals, which do not fit within some of the categories used to define the genre, and at the same time seem contaminated by less "instrumental" textual modes.

In what follows, I will carry out a final discussion of the specific issue of mimesis and referentiality, which has been the main theoretical problem identified in private journals discourses, and which has been the key element in the analysis of Hawthorne's *AN*.

4.3. A note on mimesis and referentiality

I have in this thesis taken the liberty to use the terms *mimesis* and *mimetic* to refer to processes of representation that aim at copying the reality, and that do not produce semiosis or interpretation. However, this use has little to do with the Platonic or Aristotelian theorizations of the phenomenon of mimesis, and concerns the specific definitions of private journals formulated by Kuhn-Osius, Blanchot and Philippe Lejeune, as well as the general attitude towards these texts evidenced in the reception of the *AN*. In fact, although both Plato and Aristotle referred to mimesis as imitation, they seem to have considered the differences between representations and their objects. In articulating their views with the ideas of contemporary theorists, such as Iser and De Man, we may expand the theoretical discussion on mimesis and referentiality incited by this thesis, and further support the claim made in relation to Hawthorne's private journals.

As much as poets are called imitators in Plato's *Republic*, the referents of their poems can not be confused with the truth. As is well known, in the platonic model the originals of every earthly object can only be ascribed to God. Man's reproductions of such originals, no matter how faithful, can not be equated with them. Still, when a carpenter makes a bed, his reproduction of the ideal bed follows the principle of usefulness, whereas when a painter or a poet represents that bed, it is "only a kind of play or sport" (35). Because of this, the artistic imitation is inferior to the instrumental one and is further removed from the truth. What needs to be emphasized with regard to this model is that between the reference and the representation, there is always an unbridgeable gap; but such gap is less a function of the representation than of the priority of the signified (or ideal forms) over the imitation.

By contrast, Aristotle did not altogether dismiss the role of the representing space in the production of referentiality. His mimesis is still imitative, but what the artist imitates is

less nature as it is, than what it ought to be according to some potentiality hidden in it (Iser 282). Although there is an element of ideality in this hidden potential of nature to become something else, it can not unveil such potential by itself. As Iser explains:

> Thus mimesis has a dual reference: as imitation of Nature it performs what is performed in Nature; but this does not happen for Nature's sake – it is for the sake of humankind. Nature does not need mimesis, and even if *techne* were the perfect extrapolation of Nature's principle of production, it would still be an extrapolation that differs from Nature. (283)

Therefore, we can conclude that Aristotle paved the way for a shift in the view of mimesis from completely centered on the unchanged pre-given referent, to one that is based on transformation and completion, and that hints at the performative role of the artist in representing reality.

As a natural development of the reflections on the question of mimesis, the idea of a transcendent referent gave way to the notion of the "illusion of the object" produced by works of art (Iser 286). To Iser, this change was historically motivated and responded to the the demands of an increasingly complex world order that could no longer be represented through strictly imitative models. In fact, the rise of perception comes to destabilize the ancient view of mimesis, and as a consequence, the "imitation" of a given object can no longer be identified with that object: "what is to be imitated is not objects so much as conditions of perception; by this means, natural phenomena can be viewed in the manner intended by the artists. For even the simple act of perception teaches us that we can never see objects as whole but only as 'something'" (286).

If this is so, then the referent loses its determinacy and independence from representation. "Mimesis produces its own reference," Iser concludes in his chapter on mimesis and performance. Naturally, the "real" is still a departure point for production both

as a source of subject matter and schemata. However, this real, as we saw in the acts of boundary-crossing, will be overstepped once it is re-conceptualized or re-contextualized in the text. In that case, selection, combination and derestriction will transform such real into textual objects whose functions or meanings are no longer identified with their original contexts.

The idea that "mimesis produces its own reference" coincides with Paul de Man's claim about autobiography, a genre that also carries the burden of reference. In the aforementioned "Autobiography as De-facement," he poses the following question:

> But are we so certain that autobiograhy depends on reference, as a photograph depends on its subject or a (realistic) picture on its model? We assume that life *produces* the autobiography as an act produces its consequences, but can we not suggest, with equal justice, that the autobiographical project may itself produce and determine the life and that whatever the writer *does* is in fact governed by the technical demands of self-portraiture and thus determined, in all its aspects, by the resources of his medium? And since the mimesis here assumed to be operative is one mode of figuration among others, does the referent determine the figure, or is it the other way round: is the illusion of reference not a correlation of the structure of the figure, that is to say no longer clearly and simply a referent at all but something more akin to a fiction which then, however, in its own turn, acquires a degree of referential productivity? (920)

I would argue that De Man's assumptions about autobiography are equally valid for the journal. Thus, the reference of the entries analyzed in this thesis –or the lived experiences of the journalist – should not be seen as hard, unchangeable realities that are simply voiced by the journalist in his notebooks, and that would remain the same if someone else narrated

them. Rather, they are produced in the act of journalizing, and more often than not determine our view of the "facts" narrated while imparting the writer's perception of them.

More than communicating the journalist's perception of things, the passages discussed testify to his visionary character that transforms everyday life into material for artisitic creation and philosophical considerations. Therefore, fitting Hawthorne's diaries within a totalizing definition of diaries based on a "mimetic" or simply transparent correspondence between reference and representation (as the aforementioned theorists suggested) would be inappropriate. The criterion of uninventiveness could also be seen as questionable. Furthermore, truth would not be a reliable criterion to draw a boundary between the dairy and more "artistic" genres that are based on "falsehood" and invention.

Ultimately, if Hawthorne's private journals are to be tagged mimetic, the mimesis there implied could only be identified with the way Iser and DeMan conceived of the term: as an imitation of perception in the former case, and as a figure of the given in the latter. The classical mimesis, with its stress on the trascendence of the referent, would not explain Hawthorne's re-signication of the reality in his writing. Instead, the idea that the representation produces its referent seems more in keeping with the situations analyzed. Finally, this idea may help us counter the definitions of private journals to which this thesis responds.

5   Conclusion

This thesis has originated from a suspicion of totalizing definitions of private journals based on transcendental categories such as reality, reference and truth. Eventually, it constituted an opportunity to rethink those same categories, and to promote reflection on the limits governing the mundane and the poetic, the literary and the non-literary, the private and the public or the historical, the visual and the verbal. It was concluded that these limits are malleable and subject to more or less deformation depending on the situation analyzed and the perspective adopted.

From the perspective of Wolfgang Iser's literary anthropology, some of these limits were actually shown to be fragile in relation to Hawthorne's American diaries. Moreover, with the concept of fictive (the intentional act which transforms reality into a sign) it was possible to see distortions in the representation of daily life in Hawthorne's writing. These distortions evinced the relationship between the given and the imagined in such writing, and were interpreted as the products of selection, combination, self-disclosure and doubling.

Selection gave us access to the referential fields and discourses summoned by the writer to interpret experiences. Combination, by contrast, allowed us to see the lowering of the boundary between the mundane and the poetic, as we analyzed Hawthorne's unpragmatic choice of vocabulary in describing the natural world. The same concept enabled the identification of references to the visual arts in such descriptions, and helped in the discussion of the role these references play in distancing signifier and signified. Sef-disclosure enabled us to discuss the limits between the private and the public, and also between the private and the historical. It was shown that the diaristic text may also have an addressee and that the use of historically determined conventions, such as mirror-imagery, may suggest that the

reference is not transparent and that a change of attitude is necessary in order to interpret the text. In turn, doubling was seen as a paradigmatic procedure in the examples of mirror-imagery, and such procedure pointed to aesthetic and philosophical assumptions.

The lack of transparency of diaristic writing was confirmed in those situations in which the writer questions his very ability to represent the world. In such situations, as we saw, the reference is not the world, but rather the medium that produces referentiality in the first place. This aspect of Hawthorne's diaries revealed the level of reflexivity that these texts could reach, and foregrounded the function of supports for literary exercises that his notebooks seem to have had. As was argued, if the writer used the notebooks as supports for exercises, there is contamination between the so-called non-literary writing of the diary, and the fictional production observed in the same period. It was not within the scope of this study, however, to spot specific examples of this contamination, which might be explored in another research.

If there was contamination between Hawthorne's own literary and "non-literary" production, there was also contamination between entries in the *AN,* and ideas coming from other realms of meaning production of the period. Thus, parallels were established between: Hawthorne's pantheistic outlook on nature and Romanticism; his "psycho-physical" approach to the world and Wordsworth's take on recollection; the recurrent painterly metaphorical domain and the Picturesque; and the depictions of reflected surfaces and Transcendentalism. Although these parallels enriched the discussion about Hawthorne's diaries and enabled us to move beyond the biographical, as I anticipated, they should be seen here as figures of reading and not as rigid comparisons based on any "spirit of the age" agenda. Still, as I mentioned before, I believe in what Auerbach calls "the life-world" of the moment, which I interpret as the sharing of ideas and procedures among artists living in the same historical moment. What

I tried to do here was to derive the parallels discussed from the text, and avoid imposing them on it from the outside.

The parallel between the verbal and the visual observed in the *AN* gave us the opportunity to evaluate not only Hawthorne's aestheticizing view of landscapes, but also his general interest in aesthetic theories and in the visual arts. As I tried to show, in his "pictural" descriptions, Hawthorne tapped into his knowledge of the jargon of painting, and tried to impart the visual impression he had of the landscapes seen. However, in doing so he did not seem to have meant to reproduce images faithfully as in photographs, but was rather seeking, as he himself suggested in "Sir William Phips," "the mimic charm of landscape painting." It follows that, no matter how close to the real Hawthorne's diaristic entries may be, they do not render reality as a fact or reflection; instead, they try to convey that charm of painting whose reference has lost its concreteness through the subjectivity of the artist.

Therefore, I maintain that if there is mimesis in the *AN* entries analyzed here, this mimesis is not the one theorized by Plato and Aristotle, in which the reference has priority over the representation. This mimesis would be better identified with the formulations of Wolfgang Iser and Paul de Man, according to which the reference is produced in the act of representation and by the figures used in that representation. However, the "production" of reference does not mean that the writer is "lying" or "insane;" the raw material of experience that serves as subject matter for the writer is not totally discarded in this process, but is kept in the background of the signifying process.

This thesis should be seen as a contribution to an ongoing discussion, and not as a definitive answer to the problem of the referential dimension in diaries. Clearly, the identification of fictionalization in Hawthorne's *AN* is determined by the concept of fiction adopted. Should the criterion of inventiveness be adopted instead, this thesis would not be equally valid, since there are no "invented" settings or characters in Hawthorne's American

diaries (at least not in the stricly diaristic entries). However, at times it seems difficult to pinpoint what is invented and what is not, even in the most supposedly fictional works. Therefore, that criterion does not seem to solve the problem of the fictive in literary or non-literary works; conversely, it generates problems related to the definitions of genres and to their more or less privileged status as art-works.

One drawback to approaching any work from the perspective of the *fictive* is that it could easily be inferred that such category is being used in the place of *literary* or *aesthetic*, but this thesis has no intention of legitimizing the diary based on these subjective categories. What I tried to argue for is that there may be points of contact between a writer's diaristic writing and the writing of the so-called literary works, and that, in the particular case of Hawthorne, there is an *aestheticizing* effort in the superimposition of paintings over landscapes, for example.

Although this thesis represents an effort to illuminate some aspects of Hawthorne's less known production, a lot remains to be explored in this area. For instance, *The American Notebooks* offers rich material to understand Hawthorne's views of art and literature. Furthermore, this volume contains entries that reveal the writer's awareness of the emerging literary field of his time, which could be studied from a sociological perspective such as that of Pierre Bourdieu's.[30]

The English Notebooks, on the other hand, is open to investigations not only of textual elements of Hawthorne's later production, but also of his national consciousness in describing English society. This last area could be approached from the perspective of Benedict Anderson's *Imagined Communities*, and could yield insightful readings into

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[30] See *The Rules of Art: Genesis and Structure of the Literary Field* (Stanford: Stándford UP, 1996), in which the author discusses the relationship between the literary standards of a given period of time and the social context that gives shape to these standards. (105)

Hawthorne's incorporation of ideological assumptions associated with the discourses of the nation.

Finally, Hawthorne's use of the visual arts could be further studied in his *French and Italian Notebooks*. In this case, the emphasis would fall once again upon the descriptive, but this time, the concept of *ekphrasis* should be used to understand Hawthorne's incorporation of the visual arts in his text. Last but not least, studies comparing Hawthorne's descriptive procedures in his fiction and in his diaristic production seem promising as well.

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