THE PLEASURE OF THE INTERTEXT:
TOWARDS A COGNITIVE POETICS OF ADAPTATION

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by

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ABSTRACT OF DISSERTATION

Submitted in partial fulfillment of the requirements for the degree of Doctor of Philosophy in English Literature in the College of Social Sciences and Humanities of Northeastern University
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ABSTRACT

The field of adaptation studies has been diagnosed as lacking consensus around its main tenets, especially those that would build a strong ontological foundation. This study participates in the burgeoning critical approach that places cognitive science in conversation with literary theory, looking towards the start of a cognitive turn in adaptation studies. Specifically, I offer the axiom that adaptations are analogies. In other words, I advance the original argument that adaptations are the textual expression of the cognitive function of analogy. Here, I’m using a cognitive theory of analogy as the partial mapping of knowledge (objects and relations) from a source domain to a target domain. From this vantage point, I reassess the theoretical tensions and analytical practices of adaptation studies. For instance, the idea of essence is an anathema within academic studies of adaptation, yet it continues to hold sway within popular discourse. My approach allows for a productive return to essence, not as some mystical quality inherent in an original text and then indescribably transmitted to its adaptation, but as the expression of a key sub-process of analogical reasoning – what Douglas Hofstadter refers to, conveniently, as “essence” or “gist extraction.” This line of argument demonstrates the degree to which André Bazin’s 1948 theorization of adaptation is in line with this cognitive version of essence. In so doing, it valorizes an alternative genealogy of criticism that looks to French cinematic theory and Russian formalism in lieu of the infamously problematic American line of evaluative adaptation criticism noted to have begun with George Bluestone’s 1957 Novels into Film.

Following this redress of the field, I offer two case studies that put my theory into practice and explore this renewed theoretical landscape. They stand as the kinds of readings
supported by a cognitive model and framework – both work to establish a dense network of
alignable similarities between my designated source texts (or domains) and target works. A
key element of the theory present in both chapters is the structuring of intertextuality – the
privileged source to target relationship (which I term the adaptive dominant) that functions
to pull in other outside texts in service of that primary systematic mapping.

The first study addresses D.H. Lawrence’s *Lady Chatterley’s Lover* as an adaptive
work. While this novel has served as the *source* text for numerous adaptations, my chapter
takes the novel as its *target* text. In the 90 years since its publication, the novel has never
been discussed as an adaptation in this way. The primary source text I examine in my
chapter is Lawrence’s own *Etruscan Places*. The second study examines Radiohead’s *In
Rainbows* as a dual adaptation of Faust, first mapping the album to a *cultural* source
domain and then to its *artistic* (or literary) source domain. The first approach builds on my
theory chapter’s discussion of the career of analogy and adaptation, which traces the
evolutionary path of analogies and adaptations from novel and unfamiliar to conventional
and well-known. Traversing this path entails a shift in mode of mapping from comparison
to categorization as analogies and adaptations are conventionalized. Ultimately, these close
or adaptive/analogical readings illustrate how an understanding of the cognitive processes
underlying both the creation and consumption of adaptations may inform our criticism of
the form and function of adaptation.
ACKNOWLEDGEMENTS

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This is dedicated to you.
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It’s Analogies all the Way Down

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INTRODUCTION

Frequently the most narrow and provincial area of film studies…
  Dudley Andrew, 1984

In view of the nearly sixty years of writing about the adaptation of novels into film… it is depressing to find at what a limited, tentative stage the discourse has remained.
  Brian McFarlane, 1996

The critical literature on adaptations… has not, even now, reached a happy compromise.
  Imelda Whelehan, 1999

Long regarded as the bastard offspring of literary studies and film theory, adaptation studies has struggled to achieve academic respectability since its inception in the 1950s.
  Simone Murray, 2008

After years of being stuck in the backwaters of the academy, adaptation studies is on the move.
  Thomas Leitch, 2008

Adaptation theory has progressed very little since the 1950s.
  Christa Albrecht-Crane and Dennis Cutchins, 2010

Lack of theory about adaptation studies stands in direct contrast to the rise of theory in and of itself, at least in the academic academy, where it has become a field in its own right.
  Brett Westbrook, 2010
Adaptation Studies: A Diagnostic

The oeuvre of modern and contemporary adaptation studies seems to exists in a fugue. At its onset, coinciding with the birth of cinema wherein the study of literary to filmic text galvanized into a concrete field of discipline, we were introduced to several subjects (principal themes central to the study of adaptation). Since then, we’ve seen the systematic imitation of those principal subjects echo throughout a century in counterpoint – simultaneously sounding theoretical lines have transposed and altered our initial subjects, but we’ve never quite moved beyond cycles of imitative repetition or opposition.

The repetition of like claims and counterclaims has kept the field mired in what Simone Murray once diagnosed as “intellectual dolours.” Both this fugue form and dolours are reflected in our epigraphic series of quotations. Here, each scholar of adaptation studies repeats the same lamentations, malcontent indictments on the state of the field. The field’s core tenets were introduced at the start of the 20th century, yet continue to be debated well into the 21st. Furthermore, many recent theoretical treatments purport to advance “new” theories for the field, yet merely fail to call upon past iterations of their subject. In 2013, Kamilla Elliott composed an illustrative table of over 20 such themes that have been repeated throughout the history of adaptation studies, with later iterations rarely calling upon prior or originating works. I have outlined some of these, specifically those which will come to bear in this work, in figure 1.1, following (Bruhn 29).

This works seeks to redress the predominant theoretical clusters found in current adaptation research through the lens of cognitive theories of analogy. In so doing, I attempt to account for
the theoretical ouroboros in which we are situated, by examining the cognitive underpinnings of the field’s existing tensions. These include the lingering plague of fidelity, the question of opening adaptation studies beyond the novel-film paragon, adaptation as a two way dialogic process, and more.

Figure 1.1

**Quoted Selections from Kamilla Elliott's *Repeated Claims in Adaptation Studies***

<table>
<thead>
<tr>
<th>Year</th>
<th>Quote</th>
<th>Source</th>
</tr>
</thead>
<tbody>
<tr>
<td>1912</td>
<td>Melville declares the impossibility of complete fidelity in literature to film adaptation.</td>
<td>So too does every scholar who has addressed the topic, e.g. Bluestone, 1957; Stam, 2000; Elliott, 2003; MacCabe, 2011.</td>
</tr>
<tr>
<td>1915</td>
<td>Lindsay objects to privileging literature and print over visual arts and the high-art dismissal of film adaptation.</td>
<td>Cartmell et al., 1996; Ray, 2000; Aragay, 2005.</td>
</tr>
<tr>
<td>1979, 1984</td>
<td>Cohen and Orr advocate intertextuality rather than one-to-one translation.</td>
<td>Ray, 2000; Stam, 2000; Cardwell, 2002; Leitch, 2012; and many others.</td>
</tr>
<tr>
<td>1979</td>
<td>Beja asks, should a film be faithful to its original source: ‘Can it be? To what?’, critiquing accusations of ‘betrayal’ as being ‘needlessly or distractingly moralistic.’</td>
<td>Boyum, 1985; Stam, 2000.</td>
</tr>
<tr>
<td>2000</td>
<td>Naremore calls scholars to consider the ‘commercial apparatus, the audience, and the academic culture industry.’ 77 (also Bazin 1948;78 Bluestone 1957)</td>
<td>Murray, 2008; 2011.</td>
</tr>
<tr>
<td>2002</td>
<td>Cardwell advocates considering adaptation as process, not just as product.</td>
<td>Hutcheon, 2006; Frus and Williams, 2010.</td>
</tr>
</tbody>
</table>
Cognitive Studies: A Case for Analogy

Cognitive Approaches to the Arts

The discipline of cognitive science is an amalgam of converging fields. These include a core network of cognitive psychology, neuroscience, philosophy, linguistics, evolutionary biology, computer science, and artificial intelligence. The transdisciplinary field seeks to illuminate how and why the human mind works the way it does. A vast array of knowledge has arisen out of this endeavor, providing new theories for a diverse host of subjects, such as human rationality, consciousness, theory of mind, perception, emotions, desires, concept formation, categorization, and metaphor, to name a few. Cognitive approaches to the arts, from literature and music to film and the visual arts, have subsequently taken various pathways through this disciplinary and conceptual matrix, offering lenses that can be and have been enlisted in analyses ranging from individual works and authorial oeuvres to wider examinations of genre and the nature of specific mediums. Thus, there is no unified methodology or overarching transmedial discourse addressing “cognitive approaches to the arts.” Rather, there are multiple traditions within individual academic disciplines of the arts and humanities, such as the cognitive film theory espoused by Noel Carroll and David Bordwell as a rebuff to the presiding psychoanalytic paradigm of the eighties. Within literature alone, approaches and applications are numerous and diverse, from theory of mind and the novel (Zunshine) to facial expression theory and Romanticism (Richardson).

Cognitive poetics is one of these new inroads, it offers a way of theorizing and analyzing literature and the arts that applies cognitive linguistics and/or cognitive psychology to a formalist
study of artistic works. This agenda operates through the determination of the reasoning processes underlying various structures of art. In this, it provides a fertile theoretical landscape that connects the form of texts to the cognitive strategies artists employ to create them and that consumers undergo to experience them. This essential connection between artwork, artist, and audience is a great benefit of the approach, assimilating formalism to concerns of reception and creativity.

Despite a healthy variety of well-established cognitive agendas in academic film, literature, and music criticism, adaptation studies has not yet arrived at its cognitive turn. This work looks to start a dialogue around the implications cognitive science has for the ontology of adaptation. I aim to show how a cognitive model of analogy constitutes the cognitive ability activated in the creation and interpretation of adaptations and thus provides for a theory of their formal/ontological existence. Furthermore, I posit that a cognitive analogy approach will substantiate and deepen the recent insights of contemporary adaptation criticism while also serving to illuminate the underlying causes of its presiding tensions and aporias.

*The Study of Analogy in Cognitive Science*

In the early 1980s, a multidisciplinary approach influenced by the history of science, philosophy, psychology, and linguistics arose in which analogy was seen as a complex component of human thought. This burgeoning field was inspired by work like that of Mary Hesse’s 1966 treatise on the role of analogy in the history of science, which outlined the impressive way in which analogies have acted as powerful vehicles for numerous conceptual
advancements and scientific discoveries. Whereas past cognitive research in analogy was commonly focused on simple four-term analogy problems (x is to y as z is to ___), this new crop of study came to understand analogy as a key mental process and worked to develop analogical models for these complex representations.

There have been many cognitive accounts of the interpretation process of analogy, such as the multidimensional space account, the salience imbalance theory, the pragmatic account, and structure mapping theory (Gentner and Clement 308-9). Currently, there is a consensus among cognitivists that Dr. Dedre Gentner’s structure mapping theory is the most adequate representational description of the phenomena. Gentner, the recipient of the 2016 Rumelhart Prize for Contributions to the Theoretical Foundations of Human Cognition, is a leading figure in Cognitive Science and a pioneer of the study of analogy. This study will pair Gentner’s structuralist view of analogy with Douglas Hofstadter's influential works on the place of analogy in cognition and culture.

Douglas Hofstadter’s contribution to thinking about analogy is twofold, advancing both AI through his Copycat model and through more theoretical discourse on the nature of analogy in human thought. Our study will take up the latter approach, which for Hofstadter looks to “make a scientific contribution mostly by suggesting to readers a shift of viewpoint — a new take on familiar phenomena.” (“Epilogue” 499). This is very much the work I attempt here, to make a contribution to the field of adaptation studies mostly by suggesting to critics a shift of viewpoint – a new take on the phenomena of adaptation. For Hofstadter, his shift worked to “suggest that every concept we have is essentially nothing but a tightly packaged bundle of analogies, and to
suggest that all we do when we think is to move fluidly from concept to concept — in other words, to leap from one analogy-bundle to another — and to suggest, lastly, that such concept-to-concept leaps are themselves made via analogical connection, to boot.” In other words, it is analogies all the way down (“Epilogue” 500). What I attempt to show, is that adaptations are analogies, that every move we make from source to target text and beyond is structured by the cognitive principles of analogy making.

Hofstadter claims analogy to underly everything from the formation of words and categories\(^1\) to the subject of our study – the work of artistic adaptation (specifically, those of translation). He traces the work of analogy from “seeing single words as analogs to perceived situations, and end[s] up by seeing sonnets in different languages as each other’s analogs.” Thus, on the far end of his spectrum of analogy, we find adaptation. Hofstadter cites the act of analogy making as “the triggering of prior mental categories by some kind of input — whether sensory or more abstract.” To paint this action as analogy, Hofstadter turned to Willis Barnstone’s 1993 *The Poetics of Translation*, in which poet and translator Barnstone claimed that “every perceived metamorphosis of a word or phrase within or between languages, every decipherment and interpretation of a text, every role by each actor in the cast, every adaptation\(^2\) of a script by a director of opera, film, theater, ballet, pantomime, indeed every perception of movement and

\(^1\) To provide some color to this claim, one can frequently see this process in action when around small children, as they’re in the process of building the most foundational of concepts and categories, those housed in their mental lexicon. For example, after settling in for a journey on a Megabus recently, I watched as a small girl boarded and, upon seeing a long board set between two sets of facing seats, joyfully and proudly pointed and exclaimed: “Mom, that’s like a table” to which her mother replied “no, that is a table.” “Ooh… yeah” the little girl replied after a while. I smiled to myself thinking of how this little girl just analogically expanded her concept of tables past those four legged kitchen objects to include those with a single leg on busses, or maybe even anything you can put things on with seats around it.

\(^2\) emphasis mine
change, in the street or on our tongues, on the page or in our ears, leads us directly to the art and activity of translation,” or, as Hofstadter would see it, analogy.

As Dedre Gentner has noted, “analogy is ubiquitous in cognitive science.” It is prominent in most areas of the field, from cognitive development to cognitive linguistics. Furthermore, it has been shown to be of the utmost relevance and importance to creativity and innovation. Gentner has noted that “analogy was a frequent mode of thought for such great scientists as Faraday, Maxwell, and Kepler” (“Analogy” 107). So too was adaptation a frequent mode of artistic output throughout literary and artistic history. Perhaps the most striking instance of its presence lies in the fact that the overwhelming majority of Shakespeare’s oeuvre is the product of adaptation. Of course, so too are some of the oldest surviving and singularly foundational texts of the western canon adaptations, namely The Iliad and Odyssey of Homer – their themes and events adapted from the oral tradition, having been retold and reimagined from generation to generation until their ultimate transcription and transformation by Homer. So too do our great modernist novels operate through adaptation, as James Joyce’s Ulysses and, as we shall see, D.H. Lawrence’s Lady Chatterley’s Lover, stand testament.

A Case for Ontology & Formalism

In the early 2000’s, the status of adaptation studies was lamented for its aversion to the theoretical turn, but now, a decade later, it is criticized for an overabundance of theoretical perspectives. For instance, in 2010, Brett Westbrook decried the impossibility of theorizing adaptation, writing that in the wake of the theoretical turn in adaptation studies, “a grand
unifying theory for adaptation studies is not, in fact, possible; the sheer volume of everything involved in a discussion of film adaptation is virtually immeasurable, which means that no one single theory has the capacity to encompass every aspect of an adaptation” (Albrecht-Crane and Cutchins 42). Also in 2010, Cartmell and Whelehan find that current approaches fail to “produce the holy grail of the definitive critical model which helps us further analyze the process of adaptation” (21). While I don’t advocate the existence of a single critical model, the aim of this work is to offer a ‘definitive’ model of adaptation – in that it works to offer a definition of artistic adaptation grounded in cognitive models – a place for the (re)engagement of past and current theoretical criticism and, I hope, a way forward for future criticism and theory.

Classic film theory was primarily concerned with ontological issues, in defending a burgeoning medium through the explication of its essence and structure. For Sergei Eisenstein, cinema was “first and foremost, montage,” and “montage form, as structure, [was] a reconstruction of the laws of the thought process” (106). For Andre Bazin, depth of field and a realist aesthetic allowed for a relationship between spectator and screen that was closer to our relationship with reality, due to its increased ambiguity. These theorists were intimately concerned with the ways in which their subject may be shown to reflect the way we interact with and think about the world around us. This work takes up similar concerns, posing analogy as the essence of adaptation. Here, adaptation is first and foremost, analogy. As such, as an aesthetic, it allows for a relationship between consumer and text tied to our relationship with reality – with how we parse the world around us.
PART 1

ANALOGY AS THE CORE OF ADAPTATION
Section Abstract:

I propose, that a cognitive turn for adaptation studies could work to provide us with a better understanding of the nature of adaptation. Thus, my project looks to contribute to adaptation studies by putting forth the claim that adaptation *is* analogy – that the cognitive function of analogy underlies both the processes (of creation and comprehension) and product (the texts) of adaptation. In this endeavor, I first discuss some of the ways that adaptation is already understood and studied as analogy within the field of cognitive science. Then, I discuss how the leading cognitive model of analogy, as developed mainly in the work of cognitive scientist Dedre Gentner, may be applied to a working definition of adaptation. From there, I continue to oscillate between the two fields: I map concepts from my source domain (of cognitive science) to my target domain (of adaptation studies) in order to make inferences about my subject and target. This analogical method of inquiry allow me to reassess some of the underlying assumptions and outlying tensions within the field of adaptation studies.
The Pleasure of the Intertext

This is Your Brain on Adaptation

Cognitive Science acknowledges and studies adaptations as analogy. In the sections that follow, we will examine several recent studies that engage with the study of analogy through experiments that take on adaptations and adaptive texts as their subject. However, it is relevant to note that work in cognitive science has been fruitfully conducted in English and Linguistics departments as well. As an example, Theory of Mind (ToM) has been explored through studies that have revealed that the additional embedding of perspective in narrative is correlated with increased reading and higher comprehension rates (Whalen et al 2012). Further studies went on to test for a “sweet spot” in literature with regard to the specific level of perspective embedding most desirable to readers. Three levels of embedded intentionality, the “triangularization of minds,” was found to be optimal (“Peter said that Paul believed that Mary liked chocolate”), while authors like Virginia Woolf often require readers to contend with six levels.3

This vein of scholarship begins with the question of why we read literature and starts from the premise that “part of the reason seems to be that we are biologically predisposed to interpret the intent of others, even those who exist only in fiction” (Whalen et al 2012). Our line of enquiry starts with a parallel question; it looks to explore why we consume adaptations specifically. I’d offer that part of the reason stems from our biological predisposition to both create and seek out analogies to make sense of the world around us. While to my knowledge

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3 Experiments have shown a 60 percent drop off in understanding occurs at the fifth level.
there are no quantitative studies geared towards this specific query out of literature or linguistics, there is a healthy and robust scholarship out of cognitive science that we may enlist in this endeavor.

The work of Holquist, Zunshine, and Whalen above begins “by assuming that there is a difference between the kind of reading that people do when they read Marcel Proust or Henry James and a newspaper, that there is a value added cognitively when we read complex literary texts.” In our day to day lives, we are constantly thinking analogically. When we stutter and produce some nonsensical portmanteau of two synonyms, our minds not having yet been made up which to choose, this is our analogical mind faltering, slowing or stumbling on one of an infinite number of analogical matches we make unconsciously in the course of thinking throughout the day. I propose that adaptive art harnesses and exploits our analogical mind, relying upon and displaying analogical thinking in various levels of form, generation, and consumption.

Again, while the axiom that adaptations are analogies is a new perspective within the field of adaptation studies, it is a given in cognitive science. In addition to qualitative and philosophical studies like those of Douglas Hofstadter (as in *Surfaces and Essences*), much quantitative research in cognitive psychology links adaptation and analogy. For instance, in outlining four main ways in which thinking by analogy is currently investigated in the field of cognitive science, Alessandro Antonietti illustrates the key role played by (the generation and consumption of) adaptations. Photographic series studies, spatial analogy tasks, and problem solving are set alongside a way to investigate analogy that takes adaptation as its subject; this
method of investigation “consists in telling a story and then asking respondents to map the narrative schema embedded in such a story onto a novel set of characters so to produce a new, but similar, tale” (“Analogy” 234-5).

Computational studies also implicitly assume the process of analogy as underwriting adaptation. For instance, Jichen Zhu and Santiago Ontañón have created Riu, an interactive narrative system that algorithmically generates stories through the application of SME (Structure Mapping Engine), a symbolic analogy system based on Gentner’s structure mapping theory that computes both the surface and structural similarity of two domains. Currently, Riu generates small story snippets, but Zhu and Ontañón plan to extend their system for use with larger stories, working to map plots (sequences of scenes) instead of single isolated scenes. To improve their system, they analyze existing story representation formalisms. Essentially, Riu works to create adaptations, new stories based on existing stories, by applying a computer model of analogy (Zhu 2010, 2014). Here, we see that the field of cognitive science has given rise to an analogy-based story generation (ASG) approach in the Riu system, generating adaptations through analogy via artificial intelligence. I find that this is significant evidence for analogy as the human cognitive process underlying the artistic generation of adaptations.
Spoiler Alert! Spoilers Don’t Spoil Stories

Why read the book when you’ve already seen the movie?

In 2011, Nicholas Christenfeld and Jonathan Leavitt conducted a study to examine the effects of spoilers on the enjoyment of stories. Leavitt and Christenfeld set the great lengths at which people avoid prematurely discovering endings before experiencing a book, film, or television episode against our tendency to reread stories or to read stories in which frameworks like genre strongly imply the ending (to which I would add narrative arc, among other characteristics) with undiminished and even increased pleasure. Adaptations are conveniently nestled within this spectrum of rereading and genre narratives, where a knowing reader’s foreknowledge of a source text will set expectations of the target text’s ending and more. In this way, Leavitt and Christenfeld’s experiment works to provide answers as to why we love adaptations.

Their experiment measured enjoyment (using a 10-point scale) of stories by authors such as John Updike, Roald Dahl, Anton Chekhov, and Agatha Christie. It set up three variants of each story: one unspoiled version (no alterations were made to the story), one version in which the spoiler was incorporated within the text and set as the opening, and one version in which the spoiler text was presented separately, before the story.4 We may view the last version as most akin to adaptation, as the spoiler both briefly summarized the story and revealed its outcome. Across all individual stories and types of stories featured – these included evocative/literary stories, mysteries, and ironic twist stories – subjects significantly preferred spoiled stories.

4 Each story and version was read with equal frequency, and story preference variability was controlled through comparing versions of the same story.
Furthermore, the experiment found that “it was only spoilers external to the stories that enhanced readers’ delight; there was no benefit to our editing the stories themselves.” That spoilers presented as part of the stories themselves offered no increased enjoyment, illustrates the pleasure of adaptation (vs merely a story in which the ending is foretold). These experimental spoilers may be assessed as source texts - separate texts that readers subsequently employed as a system of knowledge they were able to map onto their experience of the target texts.

In discussing his findings, Christenfeld noted that he should have seen this outcome all along, alluding to our love of adaptation: “when people go to see Romeo and Juliet, they don't think ‘Don't tell me how it ends!’ … All’s Well That Ends Well? That one ends well. So there isn't any thought that with these great [adaptations]⁵, knowing the ending is going to ruin them.” Leavitt and Christenfeld offer that spoilers, and I would argue adaptations, may enhance enjoyment by increasing tension and by guiding readers to “organize developments, anticipate the implications of events, and resolve ambiguities that occur in the course of reading.” This is the work, and pleasure, of analogy. The first of its kind, this work evidences the relevance of the study of adaptations in media enjoyment (Murdock Online).

A follow up to their study conducted two years later further tied these increases in enjoyment to characteristics of adaptations. While the pair’s second study again targeted spoilers (which included a synopsis and revealed endings), their findings illustrated that the “beneficial effects of spoilers cannot be explained by readers merely reaching the end they expected all along.” Subjects in their second study experienced greater enjoyment of the tested narratives

⁵ “works of fiction”
even at the midpoint if spoiled by an external text. Furthermore, these midpoint studies of “spoiled stories” showed an increase in reader expectations being met, increases in perceived ease of reading, and no effect on the perceived artfulness of the story. Thus, the increased enjoyment may be tied to the specific function of the spoiler text to increase fluency, to aid in the interpretation of the story’s elements vs directly from the aesthetic elements themselves. In their view, this increased fluency associated with spoiled stories does not point to “lazy readers,” but may instead “indicate curious readers seeking comprehension,” where “spoiled stories,” or again adaptations, “may ultimately lead to deeper comprehension of thematic elements, without altering the artful presentations of stories” (Leavitt 2011).

Leavitt and Christenfeld conclude that reading a story with foreknowledge of its outcome, a defining characteristic of adaptation, may be analogous to perceptual fluency – associated with positive affect, aesthetic pleasure, and story engagement. I would offer that the studied spoilers function in a manner analogous to the way in which an adaptation leverages knowledge of a source text to aid the interpretation of a target text and increase the ease at which the target text is processed. Further research is necessary to explore exactly how adaptations (vs their analogous functions as operating through external spoilers) are associated with fluency.6

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6 Furthermore, Leavitt and Christenfeld noted another possibility for this increased enjoyment in schema discrepancy theory. This offers another path for future study aligned with the structure of adaptation as analogy, as schema discrepancy theory dictates that increased predictability with an initial level of uncertainty results in increased positive affect.
Fluency and Aesthetic Pleasure

Determinants of Fluency in Adaptations: Prototypicality & Repeated Stimuli

Processing fluency is defined as “the ease with which information flows through the cognitive system.” The fluency theory asserts the existence of a positive correlation between cognitive fluency and aesthetic pleasure, wherein the more easily a perceiver can process information about an object, the more they feel positive affect. While objective features, such as symmetry, facilitate fluent processing, so does experience with a stimulus, such as prototypicality or repeated exposure.

As noted in our discussion of spoilers, prior exposure to an object or event in a certain environment has been shown to be a key determiner of fluency. Importantly, exact repetition is not required to facilitate processing. For example, someone who views a painting in a particular artistic style, will later be able to identify whether another painting conforms to that of the previously viewed style. Similarly, “people automatically extract prototypes from exemplars” and prototypical stimuli are processed more fluently than non-prototypical stimuli (Shimamura 2012). The environment of experiencing and interpreting an adaptation leverages these positive determinants of fluency – of repetition and prototyping. Attention is guided to the recognition of similar/alignable analogs (repeated stimuli) as the source text acts as prototype for the target text.

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7 This includes perceptual fluency and conceptual fluency. Perceptual fluency addresses the ease of perception while conceptual fluency concerns the ease of processing conceptual information.

8 This has been indicated by psychophysiological findings (Winkielman & Cacioppo 2001).

9 This theory also accounts for inherent vs acquired preference, as owing to objective and experiential fluency, respectively. For instance, repeated exposure (as within a culture or tradition of art) will increase fluency. This supports current theories around music consumption, that early and prior exposure largely dictates later preferences.
A main function of analogy and an entire arm of analogical research, analogical reasoning, is based on analogy’s essential role in aiding cognitive processing. Adaptations, as artistic/textual occurrences of analogy, offer an experience of target texts that increase fluency and thus elicit positive affect.

Fluency owing to familiarity yields positive affect. Essentially, “people prefer repeatedly presented objects to new objects they have never seen before, which is the mere exposure effect.” (Reber 48). This theory provides an intriguing starting point to answer the question of why we love adaptations so much and suggests an explanation for their ubiquitous presence – the repetition and recycling of narratives and art within all cultures, mediums, and genres – throughout history. It details our passion for harnessing the “recognition and remembrance” of adaptive works, and it confirms and deepens claims of adaptation theorists like Linda Hutcheon, who argue that part of the pleasure of adaptations “comes simply from repetition with variation, from the comfort of ritual combined with the piquancy of surprise” (Hutcheon 4).

Acknowledging how analogy (and thus adaptation) engages our human preference for fluency poses an interesting counterpoint to the formalist concept of defamiliarization. I posit that where analogy/adaptation acts to increase pleasure through fluency, defamiliarizing techniques work in opposition (to impede fluency). Viktor Shklyovsky’s ostranenie / defamiliarization looks to disrupt the sort of automated (highly fluent, habitualized) perception employed in day to day activity and instead direct perception to the impeding form(s) of the work itself, its estranging properties. Further study here may look to involve the study of adaptation in the wider assessment of how certain forms and techniques of a work of art tend to
either enhance fluency or impede it, as would defamiliarizing techniques like those of artistic movements such as postmodernism and Dada.

**What is Analogy/Adaptation?**

*What are we talking about when we talk about adaptation?*

Within cognitive studies of analogy it is par for the course to acknowledge that leaps in scientific advancement, through the development of novel theories and perspectives, most often arises from the application of an analogy from a different domain of knowledge. This is also true within the domain of film theory, where analogy has driven many of the major movements of the field – from film’s first ontological definitions having been constructed through analogies to existing arts such as music, painting, and photography, on to the height of Grand Theory and the semiotic film-language analogy or the psychoanalytic film-dream analogy. Subsequently, the field of adaptation studies, driven in large part by film and literature theorists, is no exception to this tendency; its theories and methodologies have long been (implicitly) driven and determined by analogy. This is no more evident than in the current state of the field.

Following the fall of fidelity, the field turned to alternate methodologies and theories to support adaptation criticism. A leading trend in this endeavor was the creation (or recycling) of tropes deployed in the (re)theorization of adaptation. Essentially, once a theoretical trope is introduced, individual works of adaptation are analyzed for their enactment of the “new” model. This has been typical of individual case studies and collections throughout the past decade.

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10 This vein of inquiry could also profitably look to scholarship in film studies that assesses the effect of hollywood vs art cinema aesthetics, which would be relevant to enhancing or impeding fluency, retrospectively. (Bordwell, Carroll, Thompson)
Robert Stam first cited the trend in 2005, and over ten years later, it shows no signs of abating.

Listed here are over 30 instances of tropes deployed in the service of (re)theorizing adaptation:

Figure 1.2

<table>
<thead>
<tr>
<th>Tropes/Metaphors/Analogies of Adaptation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Biological Adaptation</td>
</tr>
<tr>
<td>Cannibalization</td>
</tr>
<tr>
<td>Commentary</td>
</tr>
<tr>
<td>Connection</td>
</tr>
<tr>
<td>Dialogization</td>
</tr>
<tr>
<td>Fluid Text</td>
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<tr>
<td>Interpretation</td>
</tr>
<tr>
<td>Metamorphosis</td>
</tr>
<tr>
<td>Mutation</td>
</tr>
<tr>
<td>Mutual Invagination</td>
</tr>
<tr>
<td>Recomposition</td>
</tr>
</tbody>
</table>

These tropes have come to stand in for a deeper questioning of the nature and definition of adaptation. This over-stocked “archive of tropes and concepts” seeks to, as Stam deduces, “account for the mutation of forms across media” – the very form and function of adaptation (and, I argue, of analogy). However, as Stam conceded, each term is “problematic as a definitive account of adaptation.” Instead, each term merely “sheds light on a different facet of adaptation.” These tropes effectively sidestep defining adaptation, by instead layering it with an analogy. Each term maps the process of adaptation onto other domains. By this, I mean that each
of these tropes is an analogy for adaptation and thus an analogy of analogy itself. And what they all seem to be seeking is a way to escape the framework of fidelity by alternatively addressing the relationship between a source text and its adaptation.

Stam’s assessment of these analogies (tropes and metaphors, as he called them at the time) stated that those which employ the “trans” prefix tend to offer criticisms that emphasis the changes (difference) between an adaptation and its ‘originating’ text, while methodologies opting for the “re” prefix “emphasize the recombinant function of adaptation” (its relative similarity). Each trope offers adaptation, but with a difference, mapping and emphasizing certain functions over others – such as privileging alignable similarities or differences between the texts. We will see that this is the work of analogy.

I argue that a cognitive formalist account of adaptation offers an alternative to being perpetually “mired” in what adaptation theorist Nico Dicecco cites as “the definitional ouroboros that drives so much work in the field,” the layering of trope after trope as illustrated in my table. My approach contradicts those critics who would, exhausted by the aporia of ontology, denounce the need for a definition of adaptation altogether. For instance, Dicecco argues that a formal or aesthetic model of adaptation is all but impossible, and thus urges scholars to abandon the endeavor, instead shifting focus from what the works “under scrutiny are” and “what adaptation is” towards “what adaptation does.”¹¹ I would argue that the two are cognitively linked, that the process underlying adaptation is revealed in its form – that the form of adaptation is a manifestation of the cognitive structure responsible for its production and for its consumption.

¹¹ It is important to note that Dicecco’s argument that we should simply abandon our desire to define the nature of adaptation was published in the leading journal of the field, Oxford’s Adaptation.
Dicecco claims that “it is exceedingly difficult to outline a conceptually coherent and media-inclusive theory regarding why the statement, ‘This is an adaptation’, rings true in certain cases and not in others.” However, this is exactly what I will attempt to do here through the application of a cognitive model of analogy. Furthermore, he cites Kathleen Murray’s previous charge that “the failure of much work on film adaptation is a narrow, or, conversely, a nonspecific definition of the word.” Certainly, despite adaptation’s long century of both theory and practice, the only general consensus in the field rests in the diagnosis of a lack of consensus as to the definition and nature of adaptation. Another current theoretical trend has been to proceed in theorizing specific adaptations while resigning to the assumption that the adaptation is and will always be ontologically mysterious. However, a rising tide of theorists find either option unsettling, and point to how following either method of theorization is problematized by a lack or misinterpretation of adaptation’s ontological nature.

*Establishing a Definition of Adaptation through a Cognitive Model of Analogy.*

As I’ve discussed, cognitive poetics (alternatively referred to as cognitive literary studies), adopts an approach to literature through the viewpoint of cognitive science. Similarly, I adopt an approach to adaptation through the viewpoint of a model of analogy developed in cognitive psychology. I offer that an adaptation, as a formal entity, is an analogy – that the process of the composition and consumption of adaptation may be read as analogical reasoning and mapping, and thus adaptation, as both a structure and dual process of creation and consumption, is a reconstruction of the laws of the thought process. So, I start my study with the axiom that
adaptations are analogies (as defined by cognitive study). This claim is itself an analogy. Thus, I will oscillate between the two fields, mapping concepts from my source domain (of cognitive science) to my target domain (of adaptation studies) in order to make inferences about my subject and target. This vantage point and methodology will enable my reassessment of prior theoretical definitions of adaptation. Ultimately, I propose that this cognitive turn for adaptation studies could provide us with a better understanding of the nature of adaptation.

Many cognitive accounts of analogy begin their definitions of the phenomenon by stating what it is not, which we might do well to attend to here. In so doing, I set aside some of the “misleading” or partial definitions of analogy in popular parlance and literary study and move to the cognitive model of analogy that informs my study. In a parallel endeavor, Douglas Hofstadter begins his recent book on analogy by dispelling an important misleading ‘caricature of analogy-making.’ He refutes the perception of analogy as “the name of a very narrow class of sentences, seemingly mathematical in their precision.” He provides the example:

-west is to east as left is to right.

west : east :: left : right

These are merely proportional analogies of the sort often used in intelligence tests. However, as Hofstadter notes, “there is no scarcity of people who believe that this, no more and no less, is what the phenomenon of analogy is.” He cites that this is due in part to the classical treatment of proportional analogy beginning with Aristotle. Surely, this is also reflected in the primary OED definition of the term as a: “correspondence of quantities, proportion; (Math.) agreement of ratios.” Instead, Hofstadter offers a similarly simple analogical question to begin to unpack the
phenomenon and illustrate that analogies often lack a correct answer and instead rely on our ability to map between concepts: what city is the Paris of the United States? Hofstadter has collected various responses to this question, such as Washington, Boston, and even Paris, Texas (15-16). Each of these responses adopts a different approach to the analogical mapping:

Paris, France — Washington, US
[The capital city of each country.]

Paris, Europe — Boston, US
[If Rome is more like New York, then Paris is more like Boston…]

Paris, France — Paris, Texas
[Two cities in two countries both named Paris.]

What these examples show is that there are multiple paths through an analogy. The first example takes the domain of countries and the relation and attribute of a capital city to bear out its mapping. The second assumes a source domain of Europe and maps this to the US. The last opts for a more surface-oriented mapping, in aligning the disparate cities by their shared nomenclature.

Definitions of analogy as a “literary term” also fail to capture the full extent of analogy as defined in cognitive science. The *Oxford Dictionary of Literary Terms* defines analogy as the “illustration of an idea by means of a more familiar idea that is similar or parallel to it in some significant features, and thus said to be analogous to it.” Here, the definition of the term implies a
specific intended usage in explanation and delineates the move from a more familiar to less familiar domain - neither of which carries into our cognitive model as a necessity, both are merely possible -not defining- characteristics. Other accounts in literary study do fruitfully credit analogy as underlying a score of other literary devices such as metaphor, simile, allegory, parable, exemplification, extended analogies, conceits, etc.. Put simply, it is understood that in these cases, the analogy is what is expressed, while the metaphor (or simile, etc.) is how it is expressed. Furthermore, additional study in literary history from a cognitive perspective would prove illuminating here. Take for instance Robert Frost’s 1931 thoughts on metaphor in Education by Poetry: “I have wanted in late years to go further and further in making metaphor the whole of thinking. I find some one now and then to agree with me that all thinking… is metaphorical.” This line of thought runs quite parallel to Douglas Hofstadter’s writing on analogy. Hofstadter places analogy at the core of cognition – underlying the way we learn, think, and create, from the formation of words and language to high level perception.

Dedre Gentner’s account of analogy is the most widely used in cognitive science and is the one I will use as a model for adaptation. Gentner defines analogies as: “partial similarities between different situations that support further inferences.” Likewise, adaptations offer partial similarities between different texts that support further inferences (such as our interpretation or criticism of a given work of adaptation). She continues, “specifically, analogy is a kind of similarity in which the same system of relations holds across different objects. Analogies thus capture parallels across different situations.” Likewise, adaptations lead us to draw a system of relations across different works of art in a way that captures parallels between those works.
(Gentner 107). In the figure below, we see a visual representation of analogy (or adaptation) highlighting common relational structures across two domains (or texts).

Figure 1.3

Structure Mapping in Analogy & Adaptation

In this way, adaptations, like analogies, offer “repetition without replication” (Hutcheon XVIII). They offer an “inherent sense of similarity and difference between the texts being invoked” (Sanders 25). Here, we find that cognitive definitions of analogy already mirror back to us existing definitions of the form from within adaptation studies, such as those of theorists Linda Hutcheon and Julie Sanders. For Dudley Andrew, an “adaptation delimits representation by insisting on the cultural status of the model, on its existence in the mode of the text or the already textualized” (Andrew 29). Following this delineation, we can offer that an adaptation, as analogy, offers a textual expression of this cognitive function: the perception of a relational pattern across different works of art through a partial mapping of knowledge (objects and

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12 In this figure, the light blue geometrics are objects pertaining to our source domain/text, while the dark blue squares and circles are characteristics of our target text. We are drawn to make connections (a mapping) between these corresponding objects. Furthermore, if the corresponding objects are similar, our alignment will be easier (higher fluency).
relations: narrative, characters, colors, ideas, setting...) from a source text to a target text. From here we might draw an overview of adaptation as analogy. As you can see, this application requires minimal adjustment\(^1\):

For Keith Holyoak, “analogy is a special kind of similarity.” He posits that “two situations are analogous if they share a common pattern of relationships among their constituent elements even though the elements themselves differ across the two situations.” This aligns with and compliments Gentner’s definition.\(^1\) Both Holyoak and Gentner focus on a common pattern of relationships here rather than surface similarities. However, related work in the field has

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\(^{13}\) I’ve listed terms here that I will unpack and apply to the work of adaptation later in the chapter.

\(^{14}\) The two often work and publish together.
developed the idea that surface similarity across domains is processed like analogy. As Gentner herself claims:

the framework developed for analogy extends naturally to ordinary literal similarity. We can think of literal similarity as a more complete match than analogy, where there are two dimensions of completion. First, whereas analogy entails common relational structure, literal similarity entails both common relational structure and common object-descriptors. For example, a white hen and chick are analogous to a mare and foal but literally similar to a red hen and chick. (Gentner 111-147)

For our purposes an adaptation must, like analogy, “have one matching relational system (the deeper the system, the better we will like the analogy” / adaptation). However, an adaptation may also possess similarities in their common attributes (Holyoak 117).

Holyoak developed an oft-cited figure outlining the core cognitive processes of analogical reasoning, which we may alter and apply to further illustrate our definition of adaptation as analogy. His figure sketches the major component processes in analogical transfer (which we may align to the process of adaptation criticism). First, “a target situation serves as a retrieval cue for a potentially useful source analog” (this is analogous to the recognition of an adaptive work and assignation of a source text). Then, one establishes a mapping, “a set of systematic correspondences that serve to align the elements of the source and target” (this is analogous to both our creation and consumption of an adaptation). Following and relying on the constructed

\[15\] I will engage this notion later on in our study of the existing taxonomies of adaptation.

\[16\] For example, in the following figure, we will see that adaptation is both analogous and literally similar to analogy.
mapping, one may “derive new inferences about the target” (for example, written adaptation criticism falls here). Furthermore, it is then possible that one’s mapping might yield a more abstract schema (an essence) that exists and holds true between the source and target, or of which the source and target are both instances (herein lies our return to Bazin’s essence, which we will discuss in more detail later on.)

Figure 1.5

Holyoak’s *Major Components of Analogical Reasoning* (left) is like the *Major Components of Adaptive Analysis* (right)

Moving on from these overviews, we may deepen our applied definition through mapping to the work of adaptation these key subprocesses of analogy: analogical retrieval, analogical mapping, schema or gist abstraction, and inference/meaning making.
The Activation of Adaptation/Analogy

From “Announcing” to “Retrieval”

Retrieval is the initial process of analogical reasoning. As Gentner provides, it begins when, “given some current situation in working memory,” such as the active viewing of a film, a person “accesses a prior similar or analogous example from long-term memory,” such as a past reading of a novel. One of the main findings of research in this area is that memory retrieval is a major “bottleneck.” Study subjects often fail to spontaneously retrieve analogous examples they are known to be aware of (i.e. that they are introduced to earlier in a study) (“Analogy”). For our purposes, this may surface in adaptation when, for instance, a Jane Austen aficionado may watch *Clueless* in its entirety without making any connections to *Emma*. This bottleneck effect is especially present when subjects are lacking in domain-specific knowledge. On the other hand, an expertise in the domain at hand will be much more likely to facilitate retrieval: an expert in Victorian Literature and/or film adaptation will be more likely to activate the mapping of *Emma* in *Clueless*.

Studies have found that *triggering* retrieval can activate an analog. For example, when subjects who did not recall a useful analog in a problem solving task were “simply given a hint to think about the story they had heard,” the percentage of subjects who were able to fashion a correct analogy for the task at hand rose from 30 to 80%. In addition, a 1995 study by Gentner, Forbus, and Law concluded that surface similarity holds sway in retrieval, although stories with structural commonalities were privileged for further and deeper analysis. The study introduced
subjects to a set of stories, and later introduced trigger stories with either surface similarities (such as similar characters and objects) or structural similarities (having similar high order relations like plot). Rates of story recall were generally 2 to 5 times higher with surface similarity.

These findings align with the theories of adaptation critic Thomas Leitch, in his essay *Adaptation, The Genre*, as he sought to uncover which “features of a given film encourage its audience to consider it as an adaptation.” Essentially, Leitch is asking which features best trigger the recognition of a work as a possible adaptation (analogy) and thus hint to viewers that they should pull their knowledge of a prior text (base domain) from their long term memory into their working memory (to use in their interpretation of the target text/domain). Leitch cites three main triggers for adaptation; two are surface details: a period setting (signaled by costumes, etc.) and period music. Leitch’s third retrieval inducer offers either an explicit reference in the opening credits to a film (based on the novel by…) and/or a heavy featuring of and emphasis on books and writing at the onset of a film. We may read this as an act of announcement or, in less direct examples, as a strong hint to the audience to think of a story or book. As we’ve seen, the mere suggestion that one should think of a story serves as a successful trigger for analogical recall.

In using cognitive definitions of retrieval to define and characterize adaptation as I’ve done here, I seek to alter current definitions in the field of adaptation studies. Where Linda Hutcheon posits that adaptations, unlike parodies, *must be announced*, I would offer that they *must be activated*, which means they may be announced (explicitly stated), cued (hinted at), or triggered (unannounced yet discoverable for a knowing audience, usually through -as both Gentner and
Leitch conclude from their respective studies—surface similarities, such as a character name). The film *Easy A*, which in title alone alludes to *The Scarlet Letter*, deftly serves to map the domain of the novel onto current pop culture discourse and hint to viewers that an adaptation is at play. Viewers are led to superimpose the scarlet A of the novel onto the streak of red sharpie at the top of a high-school assignment.\(^{17}\)

**Mapping: The Core of Analogy**

**Oscillation: The Core of Adaptation**

Following retrieval, once two domains (the source and target analogs) are brought into working memory, the subprocess of mapping begins. According to Gentner, mapping consists of ‘aligning’ the representational structures of two domains to (1) derive their commonalities and (2) project inferences from one to the other based on those relations. This is both the ethos of adaptation and the core of analogy.

Gentner’s structure mapping theory further defines and orders the process of analogical mapping. According to structure mapping theory, “an analogy conveys that a system of relations that holds in the base domain also holds in the target domain, whether or not the actual objects in the two domains are similar” (201). Here, we should note that with adaptations the objects in the two domains may be perceived as extremely similar or may offer a remove from surface similarity (for example, one might find a character named Faust or a may find a character to be Faustian). Further, people tend to prefer (to seek out in creation or consumption) alignment that

\(^{17}\) As another example, the appearance of the character names Faust and Mephistopheles in Radiohead’s *In Rainbows*, led many listeners to interpret the work as a full adaptation of the Faust narrative.
is structurally consistent, meaning there is a one-to-one correspondence of base-to-target elements, and a sense of parallel connectivity (relations between elements).

A key finding of structure mapping theory is this desire for systematicity. The systematicity principle holds that “systems of relations connected by higher-order constraining relations… contribute more to analogy than do isolated matches or an equal number of independent matches.” Put to the work of analogy in adaptation, this translates to the larger adaptive analogy holding sway in intertextual interpretations over allusions to domains other than, or not related to, the source text.

As Gentner notes, the “information highlighted by the comparison forms a connected relational system, and commonalities connected to the matching system gain in importance.” This cognitive proclivity explains our interpretive tendency to, once having assigned a higher order relationship between two texts, seek out subsequent elements pertaining to that relationship in lieu of other inferences. Gentner posits this as a “‘no match is an island’ phenomenon,” whereby in analogical matching (and thus the interpretation and creation of adaptation) “people are not interested in isolated coincidental matches; rather, they seek causal and logical connections that give the analogy its inferential force.” This principle will extend as a causal factor in our later discussion of analogy as the dominant of adaptation. Furthermore, it is interesting to note that this principle was tested in cognitive research through its manifestation in adaptation - in pairs of narrative texts (“stories”) (Gentner in Bechtel 109).

Furthermore, this cognitive proclivity valorizes an audience and critic’s implicit drive to compare and contrast, to oscillate between source and target text. However, the field of
adaptation studies has denigrated this practice (one implicit in the very structure of adaptation and analogy). This has been best addressed by adaptation scholar Kamilla Elliott, who exposed the phenomena to be “seriously inhibiting the theorization of adaptations.” For Elliott, this denigration is rooted in a specific “underconstructed hierarchical binarism in humanities academia,” that of “soul and body, mind and matter, abstraction and concretism, philosophy and empiricism (etc.), which deems the former superior to and more valuable than the latter” (Bruhn 34). She continues:

The binarism, which elevates the abstract, the conceptual and the theoretical, while subjugating the concrete, the material and the practical, seeps into every area of scholarship. We tend to equate the best scholarship with either the most abstract philosophical scholarship or with the most evangelical, political polemics. We therefore mine adaptations to prove abstract points or to locate cultural ideologies. We reward student essays for philosophical reflection and downgrade them for descriptive summaries. We value their abstract thinking and discourage comparing and contrasting as a means of generating ideas. This has been a particular problem for adaptation studies, which foregrounds adaptations as concrete cultural forms, paying attention to their construction and consumption, and incites comparisons and contrasts between them.

Elliott is not alone in pinpointing the concretizing function of adaptation. She notes that Simone Murray has also theorized that adaptation “foregrounds practice and resists abstraction.” Locating the source of the impulse to compare and contrast in the very nature of the form and
function of adaptation should serve in favor of Elliott’s call to venerate the practice within the field.

To further bind the processes of analogical mapping and adaptation, we might consider the following theories of Douglas Hofstadter and Linda Hutcheon’s as analogous. Linda Hutcheon writes that adaptations offer us a certain kind of “palimpsestuousness,” which, in her book, *A Theory of Adaptation*, she once describes as the oscillation between a past and present work. I would latch onto this oscillation rather than layering effect. Hutcheon explains, the experience of an adaptation involves “an interpretive doubling, a conceptual flipping back and forth between the work we know and the work we are experiencing” (139). She goes so far as to describe the consumption of an adaptation in the same words and phrasing used by cognitive theorists to describe analogical mapping. To experience an “adaptation as adaptation,” she writes, “we need to recognize it as such and to know its adapted text, thus allowing the latter to oscillate in our memories with what we are experiencing.” This oscillation is the 1-1 mapping of elements between the base or source domain/text and the target domain/text. Where theorists of analogy note its tendency to act as a source of knowledge to be applied to new and less familiar domain, Hutcheon continues that in the process of this oscillation (or, mapping) “we inevitably fill in any gaps in the adaptation with information from the adapted text.” Furthermore, she implicates the work of analogy in the creation as well as the consumption of adaptations, assigning this oscillation as the foundational method taken up by adapters, noting that they “rely on this ability to fill in the gaps when moving from the discursive expansion of telling to the performative time and space limitations of showing,” for example. Likewise, a cognitive view of adaptation as
analogy implicitly aligns the conceptual structure of both creation and consumption - they are one in the same. Thus, I posit that Hutcheon’s “adaptation as adaptation” is truly “adaptation as analogy.”

Additionally, I offer that Hutcheon’s theorized oscillation is a correlative to the perception of a compound analogy, to what Hofstadter deems the “central cognitive loop” and places as the essence of analogy. For him, this entails the “mental mapping onto each other of two entities - one old and sound asleep in the recesses of long-term memory, the other new and gaily dancing on the mind's center stage- that in fact differ from each other in a myriad of ways.” Hofstadter posits that a large scale memory chunk (like an source text) is stored in long term memory as a “node” –something retrievable as a relatively discrete and separable whole-- and placed into short term or working memory where it is available for “scrutiny” – the act of unpacking the node and uncovering within it other nodes linked together by some “fabric of relationships” (plot for instance). This process of unpacking is continued recursively, where these other or inner nodes themselves (like characters or lines of dialogue) are subjected to more detailed scrutiny (Gentner 504). This is effectively a cognitive explication of Hutcheon’s oscillation. It is also the process of structure mapping, or analogical mapping more generally, and may be profitably transferred to a formal method of analysis for adaptations.
Making Inferences / Mapping Analogs

Reconciling Similarity vs Difference in Adaptation Studies

Where the gist of analogical mapping “lies in partially mapping and aligning structures and elements in the source and target,” what Hofstadter calls “extra” or “second” meanings arise from the alignment of similarities and differences – those correlatives or “nodes” within the adaptation or analogy proper. This is the primary act of meaning-making and interpretation for adaptations. This method also applies to the other side of the process – that of creation as opposed to consumption. In the composition of an analogy (and an adaptation) similarities (or correlatives) are consciously constructed yet subject to the constraints of context and medium. So, both inevitable and intentional “slippages” or differences arise between source and target. For instance, a director may work to provide an analog for an author’s treatment of landscape through the repeated use of establishing shots, serving to situate the action of each scene as would an author in beginning each chapter with a passage devoted to setting.

In analogy, similarities and differences are not psychologically independent of each other, nor are they inverses, as determining the differences between a source and target also requires mapping the commonalities. The oscillation of adaptation consists of a mapping of analogs, each of which may be discerned as either an alignable similarity, alignable difference, non-alignable similarity, or non-alignable difference. Alignable similarities and alignable differences are those that are connected to the mapping. Non-alignable differences are attributes of one domain that one can find no correspondence for in the other. Non-alignable similarities are those commonalities not connected to the mapping system. Both similarities and differences are
attributed higher importance, and given more attention, when seen as contributing to the analogical mapping at hand – when they are alignable. Thus, systematicity and structural alignment dictates which similarities and differences are psychologically salient. (Gentner & Markman, 1993b, 1994, 1996, 1997).

In D.H. Lawrence’s *Women in Love*, a character walks towards his death and into the snowy alps of Tyrol. In a 2011 BBC adaptation of the novel, that same character walks into the desert to his end. This offers an alignable difference, putting the desert and snowy mountains in conversation with each other. A viewer might make further inferences based on this alignable difference, inferences dependent on the commonality of the difference – its place within the larger systemic mapping between the novel and film. However, to complicate the reading, in the novel, one is likely to perceive a polarity between the Arctic and the African. This polarity is not present in the film, where the landscape of Africa plays a less symbolic role. So, a viewer might alternatively cite this alternate death setting as part of a larger non-alignable difference (the lack of a symbolic, polarized binary setting). This brief example illustrates the interrelations of similarity and difference as rooted in their alignment and the nuance of nonaligned and aligned difference. These 4 facets of analogical mapping will allow for more nuanced discussions of adaptations. Further, cognitive psychology’s findings that humans logically weigh these facets in importance allows us to form a critical hierarchy based in cognition and the ontology of adaptation, vs a theory external to adaptation.18
In his 1984 treatment of adaptation, Andrew laid a groundwork for viewing the interpretation of adaptations as a form of analogical mapping, without saying as much. In discussing the core process of adaptation, he noted that we “correctly match items from different systems all the time,” where “a tuba sound is more like a rock than like a piece of string; it is more like a bear than a bird…” He rests this ability to make such distinctions in the matching of “equivalents.” Andrew also cited the work of Nelson Goodman and his *The Language of Art*, which dictates “the equivalence not of the elements but of the position elements occupy vis-a-vis their different domains.” This is analogy avant la lettre. To Andrew, this would conjure a “sharper and more consequential” approach, a salve to the “strident and often futile arguments over adaptations issues” in which “adaptation would then become a matter of searching two systems of communication for elements of equivalent position.”

**Source-Target Transmutability**

*A Cognitive Salve to Origin Hierarchy & Bias*

The composition of an adaptation, like that of analogical reasoning (the composition of an analogical map from a starting domain), is inherently one directional. Knowledge of a prior source domain is employed in the construction of a target domain. However, with consumption, the output of which includes criticism and interpretation more generally, the source and target designations may be determined by the consumer's chronology – by which work they encountered first. Alternatively, this assignation may be an act of will, wherein the consumer decides to assign one text as the target of their interpretation and mapping. Thus the so-called
original or its adaptation may be either the source or target domain. This view poses a definitive antithesis to the underlying assumption of the hierarchical binary of chronology known to have influenced the field’s critical discourse. Furthermore, it encourages the reading of an adaptation as a dialogic two-way process, one of the recent movements within adaptation studies. This argument would offer that adaptations have the power to alter our perception of the source text, or even its material existence. This power is one implicitly acknowledged and leveraged in media industries, as shown by the reissue of novels with covers featuring stills from a new film adaptation or the common “now a major motion picture” banner, for instance.

**Evaluation & Schema Abstraction**

*“True to the Spirit”: A Return to Essence as Adaptive Schema / Analogical Gist Extraction*

The subprocess of mapping may be followed by, or occur in tandem with, that of evaluation and transfer. This phase is dependent upon a person’s goals for the analogy at hand. In some cases, judgements may be made based on the inferences of the analogy. In the case of popular adaptation, an audience might be seeking fidelity to the source text, and thus base their evaluation on the depth of the analogy – its systematicity, level of surface similarity, parallel construction, etc. An audience with a goal of fidelity will harness their analogical mapping (similarity and difference) of an adaptation in service of a value judgement based on its perceived similarity to its source. This serves as a diagnosis of fidelity criticism. In contrast, another essential purpose of analogy allows for a more interesting and descriptive (vs
prescriptive) mode of ‘evaluation:’ the discovery of new meanings based off of the relationship between source and target.

A cognitive approach through “schema abstraction” allows for a productive return to the concept of essence as deployed in adaptation criticism, not as some mystical quality inherent in an original text and then indescribably transmitted to its adaptation, but as the expression of a key sub-process of analogical reasoning –what Douglas Hofstadter refers to, conveniently, as “essence” or “gist” extraction. In fact, Hofstadter claims that, “a sense of essence is, in essence, the essence of sense;” as such, its inclusion is imperative to a cognitive theory of adaptation. Gist extraction, for Hofstadter, is “the ability to see to the core of the matter” and is “the key to analogy making –indeed to all intelligence.” Schema abstraction is the subprocess of analogy that occurs when “the common system that represents the interpretation of an analogy” is established. It is also often “retained for later use.” It is the system arising out of the most salient alignable analogs of a mapping. Thus, for an adaptation, it may be viewed as the resulting (mapped) system arising out of someone’s experiences of a text and its adaptation(s). Furthermore, this essence is subject to cultural interference - whereby a culture may influence and dictate the most salient analogs of an adaptive line. (Hofstadter 1995) (Gentner 109).

To develop this theoretical tenet further, we may demonstrate the degree to which André Bazin’s theorization of adaptation is in line with this cognitive version of essence (gist extraction). James Naremore once wrote of Bazin’s “Adaptation, or the Cinema as Digest” as a “relatively little known essay.” Since then, the last decade has seen the work become a focal
point of the re-genealogization of adaptation studies. The generative essay first appeared in the July 1948 issue of *Esprit*. In it, Bazin espoused his belief that the (adaptation) critic of 2050 would not discover a novel from which a film and play had been “‘tiré’” (pulled) but a single work reflected through three art forms, resulting in an “artistic pyramid with three sides, all equal in the eyes of the critic.” The “work” then assumes merely a “point idéal” (ideal point) at the ‘summit’ of this “volume” (fr.), itself “idéal” (ideal). Translated to our definition of adaptation through analogy, Bazin’s hope then may be seen as a time when the adaptive work is known first and foremost as an essence, as a popularly extracted analogical mapping, a system of analogs existing between each iteration of the work rather than residing within in a single or ‘original’ text. I include some of the original French to illustrate what may have been lost in translation: that the “ideal point” may be seen as the work freed of its material form.

In *True to the Spirit*, Colin MacCabe makes a return to Bazin’s “ideal construct” as a way to retheorize adaptation and revitalize the notion of the “spirit” of the work. MacCabe employs the term “true to the spirit” to negate connotations of “any notion of literal fidelity.” He also offers that it captures something important about the work of adaptation. We may read into his phrasing that this important quality of an adaptation is the creation of an essence - a “spirit” existing only between or among the “original” and its adaptations. While he also attributes value to staying “true” to that spirit, we may sift out this prescriptive aim and focus on the descriptive

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19 While Bazin’s work was cited as early as 1980 in Andrew’s taxonomy of adaptation, Naremore’s 2000 inclusion of his essay was followed by an avalanche of citations in the field, from Aragay (2005) and Stam (2006) to Tomasulo (2008), Carroll (2009), Constandinides (2010), DeBona (2010), and Cartmell’s and Whelehan (2010). The latter’s 2010 collection even went so far as to quote Bazin in their volume’s subtitle (“impure cinema”). This perhaps owes to the split in critical attention between film and literature departments.
aspects of his refocusing on Bazin. Here, we separate a privileging of similarity (or non-literal fidelity) from an essential schema characteristic to all adaptations. MacCabe posits that “Bazin’s fundamental insight that a source text and film form an ‘ideal construct’ can be developed independently of the theatrical face of the pyramid.” Here, he notes that the ideal construct may be at play in any adaptive instance regardless of the mediums adapted. Where MacCabe makes a case for a ‘successful’ adaptive pair’s ability (in his example, a Pat McCabe novel and its Neil Jordan film adaptation) to “combine to produce an ‘ideal construct’ greater than the sum of its parts,” I would argue that all adaptations offer this cognitive possibility of an ideal construct. I posit that Bazin’s ideal construct is essentially the essence of Hofsdtater’s gist extraction, the schema abstracted from analogical instances of an adaptive whole. This may be a schema between a single source target pairing, a “pyramid” of three adaptive texts, or even the schema of all one’s experienced instances of a particular narrative. (MacCabe 6-7).

To illustrate how the interpretive mapping process may contribute to the construction of an adaptive essence à la Bazin and analogy, we could look to Colin MacCabe’s exemplar pairing:

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20 I would argue that since its inception in the 1950’s the field of adaptation studies has suffered from the fusing of the prescriptive with the descriptive – its theory and criticism tending to function as an extension of, or in support of, evaluative art criticism. Other critics have noted similar issues within the field. However, this self referential criticism has existed alongside that which it denounces, never quite effecting any evolution in the field. Take for instance, Lester Asheim, writing as early as 1949 that “personal preferences, snap judgments, isolated instances, and random impressions … characterize most of the writing in the field.” Or, Frederic Jameson titularly claiming “Adaptation as a Philosophical Problem” only to argue that the success and value of an adaptation lies in its difference from the “original” text – to argue for the privileging of an adaptive film that “must be utterly different from, utterly unfaithful to, its original.” For Jameson, the alternative to a prescription of fidelity is to one of difference: “the novel must give rise to a filmic adaptation that is not only governed by a wholly different aesthetic, but that breathes an utterly different spirit altogether.” (MacCabe 218)

21 This also allies with concepts of “conceptual blending,” which also offers a perception of adaptational essence as when “integrated aspects of two situations to construct a novel mental representation that goes beyond either one.” Conceptual blends are themselves the result of analogical mappings between the domains involved in the blend. (Fauconnier & Turner 2002).
Pat McCabe’s *The Butcher Boy* and its Neil Jordan film adaptation. Pat McCabe cites *Sight and Sound* magazine as the source for a concept more fitting of his fiction than poetic realism: the “social fantastic.” What Neil Jordan’s film adaptations of MacCabe’s books offer, in part, is a filmic analog of MacCabe’s social fantastic, which has led audiences and critics to perceive this as a core component of the adaptation (which we may extrapolate to stand as part of the essence of the adaptation - the two texts together in analogy). While not having discussed MacCabe’s generic self-labeling, critics Jessica Scarlata, Martin McLoone, and Colin MacCabe, have all eloquently expounded on the heightened socio-political critique of the film. As a particularly suggestive example, we may look to what unfolds from what Frederic Jameson cites as the translation of a character into a flesh and blood star. ‘Stardom’ offers an opportunity for increased intertextual reference, as evidenced in Jordan’s adaptation through the casting of Sinead O’Connor as The Virgin Mary.\(^{22}\) This “fantastic” casting brings O’Connor’s own social agenda into play with that of the film. For example, in “Famine,” a song released before the film and then circulating a single, Sinead analogizes Ireland to a child who “has to drive itself out of its head cuz it’s frightened and still feels all the painful feelings.” For Sinead, this state of events leads to self destructive behavior, alcoholism, and “actual killing.” These lyrics offer an analog in the novel and film, in which Frankie Brady is a young child who descends into madness, alcoholic binges, and eventual killing. Thus, he becomes emblematic of Ireland through analogy to O’Connor’s lyrics. The song also carries an anti-British revelation about the Famine, “that there never really was one,” that the Irish were only allowed to eat potatoes while food was

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\(^{22}\) In the novel, the apparition of the Virgin Mary is merely a ploy of Frankie’s developed in order to gain him favor with priests who control his circumstances. Yet, in the film, she appears.
shipped out of the country under “armed guard” and “the Irish were left to starve.” In the novel/film, Little Frankie Brady comes into conflict with the Nugent family, newly returned from England and characterized in the novel and film as having a certain kind of Englishness about them. He directs all of his hatred towards Mrs. Nugent, who he sees as responsible for all the bad things in his life; this is the kind of evidence the scholars above have cited to argue for a reading of the film as an analogy for the situation of Ireland. Frankie is Ireland, a child in crisis. This reading is made through the mapping of these and other alignable analogs between the novel and film. In adaptation studies, the novel is usually taken as possessing a unity that allows for fidelity criticism; the novel is seen as a static whole against which the adaptation is evaluated. In contrast, the example of this particular adaptation and novel pairing serves to illustrate the deconstruction the static source text. Instead, we find the “ideal construct” is foregrounded. The individual work is overshadowed by analogs. As another example, Bazin notes that a great percentage of the population can describe the character Don Quixote while a very small percentage has read the novel from which he came.

The Intertextual Turn in Adaptation Studies

Another tension in the field is the question of intertextuality. In the early oughts, the field of adaptation studies reached a tipping point, with the bulk of new scholarship transitioning from fidelity criticism to a framework rooted in intertextuality. Robert Stam has supported and inspired the main thrust of the recent reterritorialization of adaptation studies towards “intertextuality,” as an affront against “fidelity,” and has fruitfully mined the Bakhtinian notion
of dialogism as well as Julia Kristeva’s translation of dialogism into intertextuality. Bakhtin defined dialogism as ‘the necessary relation of any utterance to other utterances.’ So, in its broadest sense, dialogism serves to break up the traditional binary of source text (novel) to target text (film adaptation) by emphasizing that not only does every text form an intersection of textual surfaces, but it also calls attention to the entire matrix of utterances within which it is situated, those infinite, open-ended possibilities engendered by the discursive practice of a culture and brought to the work by recognizable influences and more subtle methods of dissemination.

The intertextual turn in adaptation studies found fruitful foundation in Gérard Genette’s 1982 Palimpsestes, which laid out a structuralist approach to intertextuality: transtextuality, or “all that puts one text in relation, whether manifest or secret, with other texts.” While Genette’s work theorized “literature in the second degree,” the field necessarily and fluidly extended his definitions beyond literature to encapsulate cinema and all other media. Genette’s array of transtextual operations have allowed for a more nuanced discussion of the process and product of adaptation, providing a common vocabulary of adaptive elements and strategies aligned with a cognitive view of adaptation as analogy. For instance, transtextual relations may be covert or overt, implicit or explicit, hidden or open. An overt relation acts as a marker, requiring no prior

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23 Robert Stam writes that the words most often used to describe adaptations [betrayal, bastardization, desecration, deformation, infidelity, violation, etc.] reveal that the rhetoric of the field implies that adaptations do a disservice to literature in their lack of fidelity. Brian MacFarlane accurately claims that the fixation on fidelity has “inhibited and blurred” adaptation studies since its inception.

24 Within Genette’s spectrum of transtextuality lies, intertextuality, which includes quotation, allusion, and plagiarism; it stands as “a relationship of co-presence between two texts or among several texts” and offers “the actual presence of one text within another.”
knowledge in order to be identified. On the other hand, a covert relation requires and is triggered by prior knowledge, less it go unnoticed and uninterpreted.

Of critical interest to contemporary (commercial) adaptations, Paratextuality concerns those (para)texts which surround a work. They may be within (peritext) or outside (epitext) the work, composed by the creator of the work (autographic) or by another, such as a publisher or fan (allographic). Within adaptation studies, this structuralist view of transtextuality reigns and reasserts the relevance of authorial intention. However, the role of the ‘undead’ author is put into conversation with those of the audience and other collaborators, may they be an actor or even the work’s marketing strategist. Thus, transtextual relations may be ascribed to authorial intent and action or to audience insight. Both perspectives may be called upon in the analysis of an adaptation. In this way, the field has profitably, in theory, opened itself to the perspectives of those like Riffaterre, following and in conversation with Kristeva, who posit intertextuality as a modality of perception. As Linda Hutcheon expresses in the peritext to her *Theory of Adaptation*, “works in any medium are both created and received by people, and it is this human, experiential context that allows for the study of the politics of intertextuality” (xiv).

From prefaces and dedications to film posters, dvd menus, Facebook pages, trailers, interviews, and album covers, paratexts are of paramount importance to adaptations. These liminal texts mark the threshold to a work of art, they set expectations and seek to influence reception and interpretation. For contemporary mediums, these ancillary texts and commentaries may be seen as essential to and/or inextricable from our experience of the “official” text.
Genette’s fourth type of transtextuality, and the primary subject of *Palimpsests*, is hypertextuality. Hypertextuality designates “any relationship uniting a text B (… the hypertext) to an earlier text A (… the hypotext), upon which it is grafted in a manner that is not that of commentary” (5). Genette’s hypertexts are generated by the transformation or imitation of their hypotexts, and include parody, travesty, pastiche, spoof, sequel, prequel, translation, transposition, etc.. (8). Genette’s classifications provide a working vocabulary for discussing the strategies and structures of adaptive texts. However, within this transtextual matrix, adaptations are subsumed into the category of hypertext, they are not defined in and of themselves. As Graham Allen and others have noted, while Genette does not discuss film adaptation, the phenomenon “clearly constitutes another version of such hyper textual activity” (Allen 106). Genette is clear to dissuade the consideration of any transtextual category as separate or absolute.

Critics like Robert Stam, MacFarlane, and others illuminated the underlying assumptions and biases of fidelity with which the field has attempted to part, such as iconophobia, logophilia, and medium hierarchies inherited from disciplinary and institutional factors. But, in rejecting fidelity, the field has often subsequently abandoned “similarity” and a one-to-one comparative approach, in favor of a broader analysis of intertextuality aligned with the above stance. While many cite that the most fruitful path for adaptations studies seems to lie in intertextuality as championed by Stam and Linda Hutcheon, this intertextual approach—in part—seeks to destabilize the original to adaptation binary as an affront to fidelity criticism. Thus, this break from fidelity criticism has led to another crux of tension in the field— that the lack of a cohesive formal theory to account for the defining characteristics of the adaptive mode has blurred the lines between
adaptation and a multitude of other pervasive intertextual modes, from mere allusion and reference to sequels, media empires, and mash-ups. In other words, Intertextuality in practice and theory has de-privileged the defining characteristics of adaptation, ignoring Andrew’s call that “the explicit, foregrounded relation of a… text to a well-constructed original text from which it derives and in some sense strives to reconstruct provides the analyst with a clear and useful ‘laboratory’ condition which should not be neglected.” (98) What theories of analogy offer this debate is the opportunity to recuperate a comparative approach - but one that is descriptive as opposed to evaluative, and one that returns similarity to the forefront as intimately wedded to difference - in addition to delineating the specific analogical relation of an adaptation while also placing it in the context of its intertextual landscape. While the work of analogy foregrounds the source to target relationship, it simultaneously calls on the audience’s existing knowledge to construct its mapping. In our earlier example, the intertextual reference to Sinead O’Connor’s lyrics is external to the source and target texts yet relevant to a mapping of analogs between the two works. Thus the wider intertextuality in which a work is situated is subjugated by analogy in the service of the systemic mapping and reading between source and target text.

The Dominant

Or, Analogy as the Core of Adaptation

Linda Hutcheon has warned that a pitfall of the field’s shift to intertextuality in that it loses sight of the “adaptation as adaptation,” or, I would add, as analogy. The framework of analogy is intimately concerned with the unique intertextual nature of adaptation, its oscillation or mapping,
which I would claim foregrounds the audience’s attention and backgrounds other competing intertextual references and frames. Thus, for adaptations, that specific source to target transtextuality acts as a sort of Jakobsonian dominant. This approach engages intertextuality without the loss of the integral structure of adaptation. For the Russian Formalists, any text, genre, or even era has a dominant – a certain component of a work of art that subordinates all other components. In *Questions of Literary Theory*, Roman Jakobson cites the development of the concept of the dominant to be the most fruitful output of the latter stage of Russian formalism. Jakobson’s dominant, he writes, “may be defined as the focusing component of a work of art: it rules, determines, and transforms the remaining components. It is the dominant which guarantees the integrity of the structure” (41).

Ultimately, the dominant exists at the summit of a hierarchy of techniques and characteristics. Furthermore, as Bordwell noted in his discussion of the dominant and Hollywood cinema, this “integrity” is dynamic, “with the subordinated factors constantly pulling against the sway of the dominant.” Should we take the 1-1 oscillation of source to target analog as the adaptive dominant, we might note how it rules and determines the remaining components. As we’ve begun to see, the 1-1 intertextuality between source and target texts privilege and order further intertextuality, guiding audiences towards further related or adaptive works over less sustained or patterned allusions. An adaptation foregrounds the process of adaptation - its recognition and interpretation in the mind of the consumer/audience. Furthermore, the foregrounding of adaptive oscillation might also serve to elevate the pull and visibility of generic oscillation as well.
This view of analogy as the dominant of adaptation aligns with the cognitive topic of systematicity. Gentner’s structure-mapping theory suggests that systematicity plays a key role in the mapping process, guiding analogists towards analogs that will provide for a better, more complex overarching analogy. Essentially, once set on the course of analogy making, our preference for systematicity keeps the mapping process on track. Thus, “spurious similarities between domains” are discarded and not brought into the analogy. For example, when Colin Firth was cast as Mark Darcy in Bridget Jone’s Diary, viewers were led to create an analog between his role in this film and his role in the 1995 BBC mini-series of *Pride and Prejudice*. Viewers were less likely to draw comparisons to his recent roles as Donovan Quick or Paul Ashworth of Fever Pitch (both more recent adaptations). While this may seems like mere common sense, it reveals the rule of systematicity and the power of analogy in guiding interpretations. An adaptation, by function of its dominant, orders its intertextual (analogical) connections (its formed alignments between domains/texts) to privilege those that support and build a more deeply interconnected structure over less systematic commonalities.

At the end of her book length *Theory of Adaptation*, Linda Hutcheon arrives at a specific definition of adaptation as “an extended, deliberate, announced revisitation of a particular work of art.” How extended? Where do you draw the line between intertextuality and adaptation? In following the dominant theory we’ve espoused here, we might answer that an adaptation offers a revisitation with another work that is extensive enough to act as the dominant feature of that work, so much so that the textual analogy organizes the way in which the work is interpreted for its reader/audience. An adaptation as such, then, “possesses its own hierarchy of superior and
inferior values and one leading value, the dominant,” which is its analogical relation to a specific prior work, without which it cannot be conceived of or evaluated as an adaptation (Jakobson 42). In taking this line, we place the designation of an adaptation as such in the domain of the audience or author(s) to be decided in the act of consumption or creation, respectively. If a reader is unaware of or largely unfamiliar with an adaptation’s source text, the work will not exist as an adaptation for them.

To further delineate a work of adaptation (while extending its definition beyond a consideration of medium), we might find that works in which adaptive oscillation is perceived as the dominant typically build a mapping between the dominants of their source and target texts – or map from the source text into the dominant of the target text (or vice versa). For instance, an adaptive portrait would adapt the subject of a previous painting, as with Gretchen Woodman Rogers’ *Woman in a Fur Hat* as an adaptation of Vermeer’s *Girl with a Pearl Earring*. As another example, we might look to “Dinner at the Twits,” an immersive dining experience put on by Bompas & Parr and theatre company Les Enfants Terrible as an adaptation of Roald’s Dahl’s *The Twits*. Here, the menu, decor, and entertainment (structuring components of an immersive dinner party) are all sourced from Dahl’s work (though not from the work’s plot as with typical novel to film adaptations).

This is perhaps more speculative than we’ve been previously, and may venture too closely to issues of medium specificity and/or stretch the use of the dominant too far. But it might prove an interesting path for future study. For example, in saying that an adaptation of a folk song could map only the narrative/lyric of that source (the dominant feature of a folk song) to be
recognized as an adaptation, we might look more closely at lesser tended to adaptations in popular music. For example, covers are undoubtedly adaptations (with a high degree of relational and surface similarity). But, this extended definition would allow for the consideration of dance/pop hit “Hey Mama” by David Guetta and featuring Nicki Minaj, Bebe Rexha, and Afrojack as an adaptation of “Rosie” as recorded by Alan Lomax and variously adapted in recent decades by musicians such as Nina Simone, Jeff Buckley, Ed Sheeran, and Damien Rice as “Be My Husband.” Guetta’s song offers lyrics that are analogous to the lyrics of “Rosie,” perhaps subversively so. The title, “Hey Mama” is a reversal of the refrain “Hey Daddy” in the source song’s lyrics. Furthermore, the dance hit samples other adaptations of “Rosie,” like Bruce Peninsula’s 2011 version. If you’d like to listen and judge for yourself, you can find the songs discussed here.  

Competing Analogical Frames

Adaptation vs Genre

This approach, of assigning the source-target transtextuality of an adaptation as its dominant, also sheds light on previous critical tensions. For example, criticism of an adaptation as unfaithful to its source text may be diagnosed as a disruption of the dominant -the oscillation between source and adaptation- by other frames, such as genre. Wedding this example to our theory of the adaptive dominant will issue a response to what adaptation scholar Thomas Leitch has seen as one of the integral questions of adaptation studies yet to be answered, namely “how

25 https://open.spotify.com/user/1233889993/playlist/6vqqC6vFMtrKpMCsv7wEMY
the relation between an adaptation and the text it is explicitly adapting compare to its intertextual relationships with scores of other precursor texts.”

In his film, Possession, Neil Labute quotes A. S. Byatt’s “to a dusty shelf we aspire” on Christabel’s tombstone. Labute has carried this intertextual reference into a statement on the contrasting yet parallel desires of postmodern literature and Hollywood film when he remarks that for him, “the shelf is in Blockbuster.” The film will obviously fail when compared to the “encyclopedic,” “maximist,” 511-page Possession: A Romance, but Labute’s quip sets these contrasting architextualities in conversation. Many scholars have critiqued the film as a failure for having “simplified” and “taken away too much” (Sue Sorenson, Taking Possession).

However, the film may be seen not to have taken away, but to have transposed key themes from the novel’s literary genre(s) (architextualities) to the popular, Hollywood film genres it enacts, namely the romance/chick flick, and the heritage/period piece. Sorenson criticizes Labute’s emphasis of sexual tensions without following Byatt’s embedding of those tensions “within aesthetic and linguistic concerns” (bold hers). However, Labute’s film does embed the theme of sexual tension and romance within aesthetic and even ‘linguistic’ concerns, as his film chooses to deploy the aesthetic and generic criteria of nostalgic period or ‘heritage’ films and the chick flick or Hollywood romance. The film can also be shown to transpose the linguistic concerns of the novel through its dialogue, blending (or perhaps diluting for ease of consumption) its high postmodernism with pop-culture. In the film, when Roland asks Maude why her hair is always bound, and she responds that Fergus teased her by quoting Yeats and that feminists accused her of dying her hair “to attract men.” When she comments that she doesn’t even like Fergus but
can’t seem to shake him, Roland responds with a quip that serves to characterize this blending: “it's Freud: on the other side of attraction lies repulsion.... Or was that Calvin Klein?” This playful conflation, or perhaps even postmodern juxtaposition of high and low culture, represents a necessary shift in the intertextual world of the novel -or postmodern literature more generally- and the film - or audience-minded capitalist ‘blockbusters’ more generally. Furthermore, critics like Sue Sorenson critique the film’s misuse of the term modern (instead of postmodern), citing Maude/Paltrow’s “Aren’t we just modern,” as the duo theorizes the failures of their past loves and current resistance to or fears of being “burnt up” by love. However, this is a word that Byatt uses and in a similar context. She claims that the “whole joke of the novel” is that “the dead are actually much more alive and vital than the living,” since “the poor moderns” are always asking themselves too many questions about what is “real” and “true.” This is reflected in the screenplay, one of the poor moderns reprimands: “we came to investigate them, not us.” Thus, Labute’s film consistently recontextualizes Byatt’s novel, perhaps leaving a bad taste in the mouths of the literary elite, but certainly easing consumption for the popular masses by developing a systemic set of analogs nested within the maximist novel to hollywood film analog. (Perhaps reminiscent of Bazin’s quoting of Sartre in his discussion of adaptations as digests or “literary chyle.”)

Finally, both film and novel may be shown to reveal differences in cultural ‘desires.’ In Byatt’s English novel, Roland discovers ‘the proof of the cave’ (that Christine and Ash had both been to the same place and subsequently alluded to it in writing) by sitting on a rock in “contemplation” when the sun illuminated the searched for cave. In the film, Roland, played by
American “body guy” Aaron Eckhart, finds the cave by partially disrobing and going for a swim. Scholars, like Jennifer Jeffers, have cited their disappointment at the Americanized casting of Roland as an indictment of Hollywood’s colonization of British culture. However, this may also be refracted onto the novel. The English and American releases differ by about “two sentences” because the American editor “felt very strongly” that Roland as “hero” of the novel was not “strong” or “sexy” enough for “an American audience to identify with.” *She* saw him as a wimp. So, Byatt begrudgingly added what amounted to “had he known it, he would have been attractive” to an “otherwise identical” text.

These specific analogs are set in the service of larger analogical readings, as we’re drawn to ask further analogical questions of the work. How does the victorian novel map to the romantic blockbuster? The critics who lament the differences between the two genres quite miss the point. As, analogy works to map the relations between analogs, not merely their surface similarities and differences. So, the question becomes, how does Byatt’s argument on the relation of the Victorian Novel as a genre to both its own and her time map onto the relation of the blockbuster romance to ours? Perhaps we find the beginnings of an answer in Geoffrey Wagner’s 1975 claim that “the perennial answer” to the question of why one should adapt a “classic” novel “seems to be that a love interest is held to construe to audience interest almost exclusively.”
The Career of Adaptation

The Adaptive Line & the Formation of Genre, Myth, and Archetype

A central cluster of inquiry within the study of metaphor pertains to the cognitive mechanisms underlying metaphor comprehension (and creation). In 2005, Dedre Gentner and Brian Bowdle proposed an “evolutionary path” outlining shifts in the ways metaphors are consumed over time. This work, the “career of metaphor” hypothesis, postulates a change in modes of consumption at various, increasing levels of familiarity, from mapping through comparison (as with novel metaphors) to categorization (as with conventional metaphors). Conventional metaphors (your love is my drug, our relationship is a rollercoaster) are interpreted as categorical statements, and are thus more quickly understood. In contrast, new and novel metaphors (your love is my parmesan) rely on an active, “on-line” mapping between two domains and thus require more processing time. Conventionality is culturally and experientially determined, as its degree “will vary across speakers and contexts at any given point in time” (Holyoak 209). Finally, they postulate, a metaphor may become so conventionalized as to become a “dead” metaphor, one essentially interpreted as a literal statement. Hofstadter and

26 Our study works from an assumption of some consensus within analogical research, which claims metaphor as the work of analogy – concept mappings between different domains and formal/textual manifestations of analogical thinking. Thus, here, metaphor is the linguistic and cultural appearance of analogy.

27 Where: every dish gets better with a sprinkle of parmesan.

28 This theory is supported by work such as Vicky Lai, Tim Curran, and Lise Menn’s 2009 ERP study in Brain Research, "Comprehending Conventional and Novel Metaphors: an Erp Study."
Sanders’ arguments in *Surfaces and Essences* perfectly parallels the career of metaphor hypothesis, in their sketch of the evolution of analogy into category. They cite analogy’s role in the creation of categories and concepts, that we create categories by making repeated analogies, and that to assign an entity to a category is an act of analogy between entity and category.

This hypothesis offers an intriguing framework for the career of *adaptation*. Where Bowdle and Gentner’s study found that metaphors (as manifestations of analogy) can become embedded in a culture’s language over time, I offer that adaptations (as more complex manifestations of analogy) can also become embedded in a culture over time – in their collective consciousness and cultural knowledge. Following on this connection, we may conclude that a dead adaptation is one that has become conventional and may operate ‘offline,’ having lost the interpretive characteristic of a live mapping between domains. Where novel adaptations are processed by direct and active comparison between texts, conventional adaptations are interpreted by accessing a base domain/category (an analogical abstraction such as “a Cinderella story”) and assigning the target text as an instance of that category. Such adaptations have lost some sense of their adaptiveness – of their analogical nature.

Bowdle and Gentner note that the transition from novel to conventional metaphor is continuous vs discreet; it is a matter of degree. The evolution occurs through the repeated and widespread use of a metaphor/analogy. Thus, an adaptation moves from a novel state of active analogy towards conventionality and ultimate ‘death’ by way of its repeated occurrence (its creation and consumption) throughout a culture or tradition. However, as Bowdle and Gentner discuss, if a mapping between domains can be reactivated, a conventional or dead metaphor may
live on after all. Our hypothesis, then, holds that new (“novel”) adaptations are processed as on-line oscillations, with “structural alignments based on specific analogical comparisons” occurring throughout our experience of the adaptation. In contrast, conventional adaptations are interpreted through “the more direct application of pre-stored conceptual categories,” which provide “abstract meanings that are the product of repeated mappings.” A dead adaptation, a step beyond conventional adaptation, is one that has lost its source referent, but one that we may still understand through the application of categorical/cultural knowledge (Gentner, Holyoak, Kokinov, 12). For instance, someone may understand the nature of a Lothario, but have no familiarity or past interaction with the text of Don Quixote. I’ve come across quite a few people who know that a Faustian bargain is a “raw deal,” or “when you make a deal with the devil,” but do not know that Faust was a character and/or literary text.

Drawing this parallel between the literalization of metaphor and a definitive categorization of adaptive works (novel, conventional, dead) may offer implications on the role adaptation plays within the formation of genres, myths, archetypes, etc.. For instance, further study might illuminate the larger role of the process of artistic adaptation within cultural traditions. The sonnet would make for an interesting case study here of genre formation’s essential debt to adaptation, as the form’s history and formative texts have been relatively well documented and preserved. In broad strokes, the sonnet may be read as an adaptive line (a genealogical tree) tracing back to Giacomo da Lentini. Lentini wrote the first collection of sonnets, which were translated (adapted) from the Sicilian dialect by Guittone d'Arezzo into Tuscan (the originals in their Sicilian have been lost, but this stands as the first inter-author instance of adaptation for the
sonnet). Italian contemporaries adapted Lentini's sonnets by “borrowing” both from their form and their content. This process of adaptation continued, branched out (Petrarchan, Shakespearian), and ultimately manifested into a schema and essence – the sonnet as genre.

Certainly too, the genre may have theoretically existed within Lentini’s own oeuvre, each poem bearing a systemic relationship to another through both form and content. Where the earliest sonnets may have stood as active adaptations, they are now seen as a category of text, wherein a set of formal qualities: a set meter, rhyme scheme, sections (octave and sestet), turn (volta), and length are applied in the creation of (or received in the reading of) each newly penned sonnet.

This theory of the role of analogy in art allows us to perceive of adaptation, genre, myth, and archetype as manifestations of analogical thinking over time, all owing their formation to the same cognitive trajectory, a continual process of cultural and artistic analogy making (of adaptation), whether of solely form or content or of both. Where the sonnet may be traced to Lentini’s first poems, so too may Faust be traced to the condensation of a fictive narrative around the historical figure of Faust. When what crystallizes out of the myriad of adaptations and iterations of an initial work is formal, we call it genre, when it is content that is passed from domain to domain (from text to text), we call it myth, archetype.

Ultimately, the career of metaphor extends discussions of adaptation by offering an analog to the process wherein an adaptation’s dominant becomes a fixed part of our conceptual system, and wherein new uses of its mapping (from allusions to full adaptations) are understood thanks to common cultural knowledge or, alternatively, become re-animated and unpacked as on-line adaptations. And, so, we reach yet another novel theoretical and formalist claim on
adaptation. And, again, we shall see this new, cognitively grounded argument echoed within previous critical work in adaptation studies. Writing in 1982, John Ellis remarked that an adaptation “trades upon the memory” of a past text which “can derive from actual reading, or… a generally circulated cultural memory.” Here, we see the consumption of a novel adaptation or a conventional one. Ellis notes too, that the “pleasure” of adaptation lies in “repeating the production of a memory,” and argues that the process of adaptation “should thus be seen as a massive investment (financial and psychic) in the desire to repeat particular acts of consumption within a form of representation that discourages such a repetition.” This is the pleasure of analogy, its integral and inseparable similarity and difference… (Ellis 3-5). Writing in 1984, Dudley Andrew defined a particular type of adaptation as one in which “the artist employs, more or less extensively, the material, idea, or form of an earlier, generally successful text.” What I am claiming here, is that we may consider Andrew’s specific example of adapted form as the essence of genre formation – the result of a repeated process of form-focused analogical adaptations over time. In sum, the manifestation of genre (its formative process) is an analogical function born out of innumerable instances of adaptation. The product of genre (its resultant form) is the essence or schema extracted amongst its innumerable instances (98).29

29 This process may align with Marvin Minsky’s frame theory from the field of artificial intelligence, which in turn might reflect Douglas Hofstadter’s theory of analogy as high level perception underlying the formation of categories (Minsky’s “stereotyped frame structures”). As an example, Minsky discusses the experience of reading a story as calling upon various learned frames: “At the start of a story, we know little other than that it will be a story, but even this gives us a start. A conventional frame for "story" (in general) would arrive with slots for setting, protagonists, main event, moral, etc. Indeed, the first line of a properly told story usually helps with the setting… We go on to suppose that the listener actually has many story frames, linked by kinds of retrieval structures…. First we try to fit the new information into the current story-frame. If we fail, we construct an error comment like “there is no place here for an animal.” This causes us to replace the current story-frame by, say, an animal-story frame.”
From Category to Continuum

Rethinking Taxonomies of Adaptation

The will to categorize is a function of our cognitive proclivities, one rooted in and dependent upon analogy. This is also a popular tendency in adaptation studies, both in theory and subsequent criticism (of which Andrew’s above quote serves as example). With the latter, case studies may simply work towards the assigning of a mode or category to the work(s) at hand in lieu of a deeper theoretical definition. Several critics have noted the perils of this approach. First, such taxonomies are often more prescriptive than descriptive, wherein each mode or category of adaptation is set aside adjoining prejudices and partialities (often, this is rooted in a privileging of either similarity or difference). Some theorists, such as Kamilla Elliottt, have explicitly acknowledged this pitfall in the development of their respective taxonomies. Second, these assignations are often implicit adaptations (analogies) of prior taxonomies (whether explicitly referenced or uncited). For our interests, we might sift out theory from prescription to productively assess this analogizing (as Hofstadter has explicated, the formation of categories relies on the work of analogy). Furthermore, we may use this analysis as a testing ground of our poetics, aligning past criticism with our cognitive definitions and conclusions.
Dudley Andrew: Borrowing, Intersecting, Fidelity & Transformation

A Case Study

Borrowing: What Lies Beneath Prestige

(The Career of Adaptation)

Each of Andrew’s three modes of adaptation may be mapped to various tenets of our cognitive poetics of adaptation, meaning we may reveal the cognitive distinctions underlying their essence (that which allows for their placement within a specific category). First, one might argue that Andrew’s definition of “borrowing” merely brings us back to a general definition of adaptation: “here the artist employs, more or less extensively, the material, idea, or form of an earlier, generally successful text.” However, he continues to cite two other unique analytical loci (analogos) for this mode (categorical essence). The first is the mode’s driving objective to draw on the pre-established presence and prestige of its source, which we may set aside for our purposes, allowing that it speaks more towards judgements of value (criticism) rather than descriptions of form (theory, ontology). Although, we could also assess this ephemeral drawing of presence as what occurs when an adaptation relies on a culturally acknowledged schema or essence (vs an individual’s reading of a specific source text), which brings us to his second focus. Here, Andrew notes how, for this type of adaptation, the analyst must “probe the source of power in the original,” his main concern being “the generality of the original, its potential for wide and varied
appeal; in short its continuing form or archetype in culture.” For “borrowing” adaptations, then, critical interest lies not in their fidelity to a source analog, but to that source’s “fertility,” where because of its “frequent reappearance” it “claims the status of myth” (98). To these ranks, Andrew lists *Tristan and Isolde, Don Quixote*, Bible stories and biblical iconography, and perhaps even *A Midsummer Night’s Dream*. Surely, *Faust* stands aside these, and perhaps *Lady Chatterley’s Lover* too. These sources are analogs which have moved from active analogy to passive category – to *conventionality*. They’ve, through repeated analogical usage, travelled through the entire life of analogy to rest at its ultimate conclusion. Here, we end at an interesting question, what happens when we adapt this type of source analog or interpret it as an audience?

Again, we may see how Andrew nests adaptation within the cultural enterprise of myth making, “whose value is outside film… outside texts altogether,” citing the process as pivotal: “adaptation is the name of this cultural venture at its most explicit.” He urges the analyst to “examine the use made of it in the adaptation.” as these adaptations will “upon inspection show their dependence on the great fructifying symbols and mythic patterns of civilization” (99). While critics have aligned Andrew’s borrowing mode with “looser” adaptations, Andrew refutes fidelity (or infidelity) as a defining factor of this mode and his discussion does not prescribe a specific level of similarity or difference to the source text, merely a unique relationship to it rooted in cultural transference.
Intersecting: Mapping the Analogy of the Chandelier & the Flashlight

(Source-Target Movability as Disruptive of “the Original”)

For adaptation, we’ve posited that the dominant, the characteristic quality of its individual art, is the oscillation/mapping between a source domain and target text. We may seek a dominant (much like a formal essence) in any set of texts, from the poetic work of an individual artist, the set of norms of a given poetic school, or even the art of a given epoch viewed as a categorical whole. As Terry Eagleton has noted of Yury Tynyanov’s view, the entire history of literature, which we may widen to that of the arts itself or conversely narrow to the scope of adaptation, forms “a system, in which at any given point some forms and genres were dominant while others were subordinate.” Within this system, the dynamic of dethroning a dominant occurs through a process of defamiliarization, which might be enacted within a single text or over time as seen in larger shifts such as the creation of new forms and styles (Eagleton 96).

From this vantage point, we can see that Andrew’s intersecting mode illustrates a burgeoning modernist mode of adaptation rising up to defamiliarize and replace the borrowing mode dominant in the history of the cinema to that point. Both borrowing and intersecting operate through analogy, each in their own unique way. The system of relations in borrowing had become familiar – it relied on the mapping of plot, characters, setting… In contrast, intersecting aimed to create a systemic relation between the text based on its aesthetic arguments and existence.

Andrew relies upon one of Bazin’s “most elaborate metaphors” as exemplar of this mode. Here, we find one of our many analogies of adaptation (and subsequently analogy itself), where a
crystal chandelier is a source text, and the beam of a flashlight, a target text, illuminates certain parts of its fixture (the act of shining light is our mapping and that which is illuminated is our ultimate system of relations, our essence):

<table>
<thead>
<tr>
<th>Source Domain - Adaptation as Analogy</th>
<th>Target Domain - Bazin’s Metaphor</th>
</tr>
</thead>
<tbody>
<tr>
<td>Source Text</td>
<td>Chandelier</td>
</tr>
<tr>
<td>Target Text</td>
<td>Flashlight Beam</td>
</tr>
<tr>
<td>Oscillation / Analogical Mapping</td>
<td>Light Illuminating Parts of the Chandelier</td>
</tr>
<tr>
<td>Essence / Core System of Analogs</td>
<td>Illuminated Parts of the Chandelier</td>
</tr>
</tbody>
</table>

In this scenario, the flashlight beam is not interesting in and of itself, it is only of interest for what light it projects onto the prior text, “what it makes appear in this or that dark corner” (99).

To Andrew, “the intersection of Bresson’s flashlight [his filmic adaptation of *Diary of a Country Priest*] and the chandelier of Bernanos’ novel produces an experience of the original modulated by the peculiar beam of the cinema.” Thus, we approach the newer film adaptation as source domain through which we look to illuminate new meaning in the “original” now target text.

Andrew continues, prescribing that the Bernanos source text be privileged over its target film in an analysis of the adaptation: “naturally a great deal of Bernanos fails to be lit up, but what is lit up is only Bernanos, Bernanos however as seen by the cinema.” Here, Andrew is simply offering a prescriptive, not a descriptive, adage. He posits that the adaptation’s analogical mapping runs from film to novel, that source and target should be assigned thusly. Just as chronology may effect our assigning of source and target, so too can it be an active decision in criticism. One might privilege and/or map to the text of their choosing, or one might instead focus on the construction of a schema and essence between the two. For example, is soccer just like basketball but played with your feet, or is basketball just like soccer but played with your hands,
or are the two both sports that pit one team against another using a single ball and two netted end goals? All are true. All are variant mappings of the same analogy. However, a person may prefer to dwell on one aspect over another based on personal experience, cognitive predisposition, or cultural context. Bazin’s metaphor shines one way, but this may easily be reversed.

**Fidelity & Transformations | Similarity & Difference**

*The Spectrum of Similarity as Reflected in Andrew & Wagner’s Taxonomies*

For Andrew, “the most frequent and tiresome discussion of adaptation (and of film and literature relations as well) concerns fidelity and transformation.” According to our cognitive poetics, fidelity is the privileging of an essence consisting of as many surface and relational analogs as possible – a dense mapping of alignable similarities. Transformation, on the other hand, offers an adaptation that offers a less profuse set of alignable similarity, perhaps offering more alignable difference, non-alignable difference, or merely less surface similarity.

In Andrew’s description of how an adaptive film might be true to the “letter” or “spirit” of a source text, he outlines that which is the stuff of analogs cherished by the fidelity prescription:

> The letter would appear to be within the reach of cinema for it can be emulated in mechanical fashion. It includes aspects of fiction generally elaborated in any film script: the characters and their inter-relation, the geographical, sociological, and cultural information providing the fiction’s context, and the basic narrational aspects that determine the point of view of the narrator (tense, degree of participation, and knowledge of the storyteller, and so on). Ultimately, and this was
Bazin’s complaint about faithful transformations, the literary work can readily become a scenario written in typical scenario form. The skeleton of the original can, more or less thoroughly, become the skeleton of a film. More difficult is fidelity to the spirit, to the original’s tone, values, imagery, and rhythm, since finding stylistic equivalents in film for these intangible aspects is the opposite of a mechanical process. (100)

Surely, this is tiresome, as it is simply a description of the very definition of adaptation underlying a prescriptive call for a particularly “close” adaptation (with a high level of surface and relational similarity). Moreover, the separation of easy analogs (the letter) vs more difficult ones (the spirit) brings us merely to an issue of those characteristics that may be more medium specific or contextual – less extricable from the source’s medial, sociopolitical, historical, or authorial context. By less extricable, we mean the creation of an analog for them in the new work may require more creativity and higher levels of analogical reasoning. Andrew’s views aligned with this cognitive analysis of the theory at hand and elaborated on how more difficult analogs (those elements that conjure the “spirit” of the work) required the cineaste to “intuit and reproduce that feeling of the original,” which may involve the “systematic replacement of verbal signifiers by cinematic signifiers” and is “the product of artistic intuition.” This may interpreted as the creation of analogs that offer a cross or more complex mapping – for example, an alignable similarity that is a relational analog and also a non-alignable surface analog. This is exactly the sort of example he offered in illustration, that of Bazin’s depiction of a “pervasive snowy decor in Symphonie Pastorale (1946) to reproduce adequately [ie to serve as analog to]
the simple past tense which Gide’s verbs all bear in that tale.” In this example, setting is not aligned with setting, but with literary technique (101).

Geoffrey Wagner’s 1975 categories for adaptation, outlined in his *The Novel and the Cinema*, are one of the most often cited in adaptation studies to this day. They are representative of many such taxonomies as they operate by degrees of similarity. Warner advocated “three types of transition of fiction into film”: transposition, commentary, and analogy. Transposition offers “a novel… given directly on the screen with a minimum of apparent interference.” With commentary “an original is taken and either purposefully or inadvertently altered in some respect.” (Wagner 222-3) Finally, his analogy, “must represent a fairly considerable departure (from the original) for the sake of making another work of art.” In critiquing the commentary mode as generating “so many cinematic footnotes to the original,” and standing as a cultural mode of production that can only so much as hope to “fortify the values of its original on the printed page,” we see the impact of medium hierarchy - the subjugation of film to literature. However, once we again separate out prescription from description (in this case categorization), we find a useful case study for the underlying structure of adaptation. Here, the work of analogy acts as a great bass – an invisible orchestrator of Wagner and others’ categorizations. Take for instance, John M. Desmond and Peter Hawkes’ taxonomy, which dispenses with the analogical titles for their categories of adaptations, and instead name their three typological levels: close, loose, or intermediate (3). Similarly, Costanzo Cahir opts for literal, traditional, or radical modes (263).
Like these above examples, most adaptation taxonomies rely on degrees of similarity and difference.\textsuperscript{30} Certainly, this is the work of analogy. But, what is being categorized is also essentially, types of analogy. As we’ve seen, it is typical of a taxonomy model to place less dense or more complex mappings as a farther departure from the source text and at the far end of a spectrum that begins in extreme similarity. In lieu of these coarse categories of adaptation, I would offer a continuum model, specifically one derived from a taxonomy of analogical similarity designed by Dedre Gentner. Here, I consider the spectrum of analogy (and specifically its similarity variants) to map and underly the realm of adaptation and its existing taxonomies. As Gentner states, “overall similarity can be thought of as an especially rich analogy - one that shares both structural and surface commonalities.” This commonly accepted notion establishes analogy as a “continuum of similarity types” (Gentner 1998). (See also: Gentner 1997, Medin 1993).

\textsuperscript{30} Adaptation theorists tend to pit fidelity (adaptations or critics pursuing or optimizing similarity) \textit{against} models that privilege difference and transformation. Yet, as our theory illustrates, similarity and difference rely on the same creative and consumptive mode of analogical thinking. In cognitive theory, “metaphor is \textit{like} analogy” and so too is similarity. Likewise, to Hofstadter, metaphor and similarity are both manifestations of analogical thinking. As Gentner claims, “similarity comparisons are carried out by an alignment process akin to analogical mapping that places parts of structured representations in correspondence.” According to this hypothesis, similarity comparisons “yield commonalities, alignable differences and nonalignable differences” (Analogical Mapping During Similarity Judgements Online).
This is perhaps best illustrated in graphic form:

Figure 1.6

Types of Adaptations Located Within Gentner’s Similarity Space

The figure to the left is a replication of Dedre Gentner’s figure “Similarity Space, Showing Different Kind of Matches in Terms of the Degree of Relational Versus Object-Description Overlap.” On the right, I’ve overlaid past taxonomies of adaptation onto this Similarity Space, which I’ve shown in our discussions to occupy various degrees of similarity and difference on
Gentner’s mapping of analogy. What Gentner remarks on the study of analogy may also be put to the study of adaptation, that these defining elements can be used to determine the overall similarity of the adaptations or can serve as the input to another aim of criticism, and that by focusing on the process of comparison, rather than simply the degree of likeness, the study of adaptation can be extended to encompass the general role of adaptations in action, as they are created, consumed, and culturally contextualized.

Medium Specificity Revisited as Transmedial Analogy

Historically, the birth of a new artistic medium heralds theorization in relief, namely through comparison with older, more established artforms. This practice, of philosophizing (ie analogizing) a new or lesser known topic through comparison to an existing or better known subject, has acted as the core of interart theory for millennia. This practice is rooted in a central question – how various mediums are either alike or different, which, of course, traces back to the foundational interart analogy offered by Horace in his 18 BCE *Ars Poetica*: “ut pictura poesis,” as is painting, so is poetry. This analogy is a cornerstone of aesthetic discourse and underwrote much of the methodological and theoretical treatises of the field, to the date of its critical reassessment in 1766, within Gotthold Ephraim Lessing’s seminal *Laocoon: An Essay upon the

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31 In these figures, domains/texts with both relational and surface similarities are still analogies, just those of the “especially rich” variety.

32 That: “these elements can be used to determine the overall similarity of the objects or can serve as the input to another cognitive process. By focusing on the process of comparison, rather than simply the degree of likeness, the study of similarity can be extended to encompass the general role of alignment and comparison in cognitive processing.”
**Limits of Painting and Poetry.** Lessing, who replaced Horace as progenitor of aesthetic quandary to come, calls on Horace’s analogy to ultimately arrive at antithetical ends:

   Painting, in its coexistent compositions, can use but a single moment of an action, and must therefore choose the most pregnant one, the one most suggestive of what has gone before and what is to follow.

   Poetry, in its progressive imitations, can use but a single attribute of bodies, and must choose that one which gives the most vivid picture of the body as exercised in this particular action. (92)

Lessing comes down on the side of the chiastic epigram “poema pictura loquens, pictura poema silens,” poetry is a speaking picture, painting a silent poetry, attributed to 5th century BC Greek lyric poet Simonides of Keos by Plutarch. What is of note, however, is that both sides of the debate, whether in defense of similarity or difference, saw these two art forms as comparable, alignable in purpose, objects, capabilities, and limitations. Where Horace finds poetry and painting to be fundamentally similar in their production of alignable effects, Lessing finds their fundamental difference to define their relationship. Both arguments, whether descriptive or prescriptive, respectively, are the work of analogy, which is not only the cornerstone of interart theory, but also of human cognition.

With regards to debates of medium specificity, theorists like Kamilla Elliott have cited two camps within adaptation studies, namely categorical and analogical approaches. Categorical approaches may be deemed to be those that follow Lessing’s premise that emphasizes the differences between artforms, while “analogical” approaches follow Horace’s adage and
emphasize similarities among mediums. This splitting of methodologies and theories, that err on the side of similarity or of difference, extends beyond the paragon to the assessment of individual adaptations and their source texts. Adaptation scholar Thomas Leitch notes that what Elliott “does not emphasize in opposing these two approaches is their shared assumption that adaptation study is and should be essentially aesthetic.” I would add that what no account of these dueling camps has considered is that they differ merely in prescription, while operating under the same exact theoretical argument – that artforms and adaptations are not only analogizable but also call us to think of and interpret them analogically. In so arguing, I conjure a misnomer within current scholarship. Both the “analogical” and “categorical” camps operate through analogy, one merely attends to alignable similarity and the other alignable difference (respectively). It is not, as previously argued, sheer difference or similarity that either camp argues with or for, but rather the alignment of objects/analogs and their relations as enlisted to emphasize one or the other.
PART II

The Case Studies
Lost in Adaptation:

The Etruscan Essence of D.H. Lawrence’s *Lady Chatterley’s Lover*

D.H. Lawrence’s *Lady Chatterley’s Lover* is one of the most revered and controversial modern novels of the 20th century. Here, I argue that it is also a work of adaptation. What the novel adapts, its source text, is Lawrence’s own *Etruscan Places*. In claiming this adaptation, I test and enact the tenets of the theory espoused in Part 1 of this work. What is adapted from *Etruscan Places* to *Lady Chatterley’s Lover*, that which is mapped from source to target in order to form an overall system of connections through which we engender our reading of the target text, is not the plot of the source text, but its dominant. The Etruscans,

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33 In this chapter, the novel is sometimes referred to using Lawrence’s own shorthand terms for the work, including “LCL” and “Lady C.” These terms indicate the third and final version of the novel, *Lady Chatterley’s Lover*.

34 The novel is listed at 39 of 100 on Le Monde’s *Les cent livres du siècle*, a list of the best books of the 20th century according to a 1999 poll conducted by the Paris newspaper.

35 The novel was widely banned and censored in many countries up until the late 50s and early 60s. Midcentury publications of unexpurgated versions of the novel resulted in a series of watershed obscenity trials in Britain (1960), Canada (1962), and the United States (1959), each of which saw *Lady Chatterley’s Lover* freed from censorship. After the ban was lifted in the US, the novel reached Number 2 on the *New York Times* best-seller list and sold two million copies within a year. (Kaplan) Renewed interest in the novel also coincided with the sexual revolution of the 60s, as put by poet Philip Larkin in *Annus Mirabilis*:

Sexual intercourse began
In nineteen sixty-three
(which was rather late for me) –
Between the end of the Chatterley ban
And the Beatles' first LP.

36 Typically, past adaptation scholars have assumed that an adaptation must necessarily transfer a text’s plot to another instance or medium (as seen in the novel to film adaptation). However, we have argued for adaptation as a mapping that engages the dominant of either the source or target domain.
an ancient Mediterranean civilization, occupy a central role in Lawrence’s late works. His Etruscan travel essays, collected and bound in *Etruscan Places*, stand as a source text to the Chatterley novel heretofore unacknowledged in criticism. Throughout *Etruscan Places*, Lawrence develops an intricate network of symbols and philosophical inferences that stand as the dominant of the work. These Etruscan symbols are activated in the fictive text of *Lady Chatterley's Lover* and set as analogs within the work, allowing us to unlock meaning in the second degree. I engage this adaptive register of Lawrence’s novel through a cognitive poetics focused on building that system of analogs between source and target text – Etruscan frescoes and culture as depicted within D.H. Lawrence’s *Etruscan Places* and the eudaemonistic register of *Lady Chatterley’s Lover*, respectively.

In this endeavor, we will first look to the way that this adaptive reading may disrupt existing perceptions of the novel as situated within a particularly English and Puritan context. Then, as our approach privileges the creation and consumption of adaptation, wedding authorial creativity to reader response (here my own), we will trace Lawrence’s Etruscan period, a time known to have influenced both our source and target texts. From this foundation, we will begin our oscillation between the source domain of Lawrence’s *Etruscan Places* and our target text, *Lady C*. This reading will construct a mapping that privileges the intertextuality between source and target text and which subsequently orders and structures the discussion of additional intertexts called to the service of that dominant systematicity. What I hope to reveal through this mapping is additional meaning – an explication of the essence of this adaptation, an adaptive register that looks to provide a deeper understanding of the eudaemonistic nature of Lawrence’s *Lady C*. 
The Legacy of *Lady Chatterley’s Lover*

As Doris Lessing once claimed, “Lady Chatterley is as alive in the popular imagination as is naked Lady Godiva riding on her horse through Coventry, hiding behind the curtains of her hair” (Lessing). This is reflected in myriad allusions and passing references in pop culture but also in the novel’s many adaptive instances\(^{37}\), some of which are detailed here:

<table>
<thead>
<tr>
<th>Adaptive (Target) Text</th>
<th>Year</th>
<th>Primary Source Text</th>
<th>Medium</th>
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</thead>
<tbody>
<tr>
<td><em>The First Lady Chatterley</em>, DHL</td>
<td>1926</td>
<td>—</td>
<td>Novel (First Version)</td>
</tr>
<tr>
<td><em>John Thomas and Lady Jane</em>, DHL</td>
<td>1927</td>
<td><em>The First Lady Chatterley</em></td>
<td>Novel (Second Version)</td>
</tr>
<tr>
<td><em>Lady Chatterley’s Lover</em>, DHL</td>
<td>1928</td>
<td><em>Frescos at Tarquinia, Etruscan Places</em></td>
<td>Novel (Third Version)</td>
</tr>
<tr>
<td><em>L’Amant de lady Chatterley</em>, Marc Allégré*</td>
<td>1956</td>
<td><em>Lady Chatterley’s Lover</em></td>
<td>Film, France</td>
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<tr>
<td><em>Lady Chatterley’s Lover</em>, Just Jaeckin</td>
<td>1981</td>
<td><em>Lady Chatterley’s Lover</em></td>
<td>Film</td>
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<tr>
<td><em>Lady Chatterley’s Lover</em>, Hunt Emerson</td>
<td>1986</td>
<td><em>Lady Chatterley’s Lover</em></td>
<td>Graphic Novel</td>
</tr>
<tr>
<td><em>La storia di Lady Chatterley</em>, Lorenzo Onorati</td>
<td>1989</td>
<td><em>Lady Chatterley’s Lover</em></td>
<td>Film</td>
</tr>
<tr>
<td><em>Lady Chatterley</em>, Ken Russell</td>
<td>1993</td>
<td><em>Lady Chatterley’s Lover</em></td>
<td>Television</td>
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<tr>
<td><em>Milenec Lady Chatterleyové</em>, Viktor Polesný</td>
<td>1998</td>
<td><em>Lady Chatterley’s Lover</em></td>
<td>Film</td>
</tr>
<tr>
<td><em>Lady Chatterley’s Lover</em>, Mary Machala and John Vreeke</td>
<td>2003, 2004</td>
<td><em>Lady Chatterley’s Lover</em></td>
<td>Stage</td>
</tr>
<tr>
<td><em>Lady Chatterley</em>, Pascale Ferran</td>
<td>2006</td>
<td><em>John Thomas and Lady Jane</em></td>
<td>Film &amp; Television</td>
</tr>
<tr>
<td><em>Lady Chatterley’s Lover</em>, Micheline Wandor</td>
<td>2006</td>
<td><em>Lady Chatterley’s Lover</em></td>
<td>Radio</td>
</tr>
<tr>
<td><em>Miss Chatterley</em>, Jamie Brenner</td>
<td>2013</td>
<td><em>Lady Chatterley’s Lover</em></td>
<td>eSerial, Novel</td>
</tr>
<tr>
<td><em>Lady Chatterley’s Lover</em>, Jed Mercurio</td>
<td>2015</td>
<td><em>Lady Chatterley’s Lover</em></td>
<td>Television</td>
</tr>
<tr>
<td><em>Lady Chatterley</em>, Philip Breen</td>
<td>2016</td>
<td><em>Lady Chatterley’s Lover</em></td>
<td>Stage</td>
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</tbody>
</table>

\(^{37}\) The recent BBC adaptation was watched by 4.9 million (24.2% of Sunday evening) viewers on its initial airing ([imdb.com](http://imdb.com)).
Lady Chatterley’s Lover tells the story of Constance (Connie) Reid, who marries Sir Clifford Chatterley, the last of an aristocratic line, at the young age of twenty-three. Shortly after their honeymoon, Clifford leaves for the Great War. He returns paralyzed from the waist down. Clifford and Constance instill themselves at Wragby, the Chatterley estate. Clifford finds that the two might be happy should they engage in their marriage solely through their mental lives. He becomes a writer, and frequently invites other young intellectuals to the estate for lively discussions, dinner parties, and extended stays. Perhaps sensing Connie’s growing dissatisfaction with this mentally-focused life, or perhaps simply wanting an air, Clifford suggests that Constance take a lover so as to conceive a son the two would raise together. Despite a brief affair, Constance feels isolated and unfulfilled.

Constance retreats to the woods for long walks and begins to look inward. In one of the novel’s most memorable and adapted scenes, she gazes at her own reflection in a mirror, feeling that “her body was going meaningless,” due to the “mental life,” which she hated with a “rushing fury.” She laments her lack of human sensuality and the perceived detrimental effect of this on her physical form. Soon after, we are introduced to Oliver Mellors, the Wragby gamekeeper also recently returned from the war. Constance is drawn to him. When she, on one of her walks, happens to spy him bathing she finds herself shocked as “merely a man washing himself” (a “commonplace enough” act) was for her a “visionary experience” that “hit her in the middle of the body.” The two become involved in an affair, as both of them are married. From the point of their meeting, much of the novel details the developing physical relationship and bond between Constance and Mellors and the changes it espouses in their outlook on their lives, future, and place in society. Eventually, Constance becomes pregnant. Mellors is estranged from his wife
and both Constance and Mellors petition for divorces from their spouses so that they can be
together. But the novel ends with the two separated, waiting for their divorces, and longing to
reunite and start their life together.

For Lessing, Lawrence was “preaching sex as a kind of sacrament, and more than that,
one that would save us all from the results of war and the nastinesses of our civilisation.” Her
analysis cuts to the quick of Lawrence’s intentions:

“Doing dirt on sex,” he anathematised; “it is the crime of our times, because what we
need is tenderness towards the body, towards sex, we need tender-hearted fucking.”

“We are among the ruins,” says Lawrence, opening the tale which is supposed to be all
about sex, and announcing what I think is the major theme of the novel, usually
overlooked. It is permeated with the first world war, the horror of it. And against the
horrors, the rotting bodies, the senseless slaughter of the trenches, the postwar poverty
and bleakness - against the cataclysm, “the fallen skies”, Lawrence proposes to put in the
scales love, tender sex, the tender bodies of people in love; England would be saved by
warm-hearted fucking. (Lessing)

I too would argue that in the novel we are among the ruins of post-war England… but we are
also among the ruins of the Etruscans – and therein lies Lawrence’s salvation. The adaptive
register of the novel is located within the symbols of the Etruscan ruins applied to the novel’s
plot, characters, and themes. This analogical layer reveals Lawrence’s eudaemonistic proposition – a way forward towards human flourishing and happiness through a moral philosophy rooted in a revival of the Etruscan ‘blood consciousness.’

**D. H. Lawrence and the Great English Etruscan Novel**

*Pan Trumps Puritanism: Evidence for the Influence of Etruria in Lady Chatterley’s Lover*

Frieda Lawrence’s Forward for the Dial’s 1944 publication of *Lady Chatterley’s Lover* ravishes the resplendence of her husband’s modern novel. Her discussion of his work employs the tyranny of words; she talks of what the novel is and is not. She states: “only an Englishman or a New Engander could have written it. It is the last word in Puritanism” (FLC v). One could easily agree with Frieda’s claims had they not read past the fourth chapter of the novel. Indeed, only an Englishman could have written with such clarity on the state of the collective unconscious of modern post-war England. In support of her restrictive claims on the novel’s Puritanism she writes:

other races have marriage too, but the Mediterraneans seem to have Homer's ancient pattern still of the faithful Penelope at home, but the man wanders off after Circes and Calypsos --to come home again to his Penelope when he has

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38 Here, I posit Lawrentian Eudaemonism as an ethical eudaemonism, that which makes a normative claim about what ought to motivate people and direct them towards human happiness and well-being. Specifically, I will argue it is, as Lessing notes, love and tender sex, but a love and tenderness essentially weighted with philosophical importance rooted in Etruscan symbol, ritual, and (perceived) philosophy. This is Lawrence’s ultimate conception of his blood consciousness, a philosophy we see developed throughout his oeuvre and coming to fruition and fictive application in *Lady Chatterley’s Lover.*
wandered enough; she is always there for him. The French have "l'amour," the Americans their easy and quick divorces and so on, but only the English have this special brand of marriage. It is not the bonds of interests, or comradeship or even children, but the God-given unity of marriage. England's greatness was largely based on her profound conception of marriage, and that is part of Puritanism (FLC v).

And yet, in the novel, it is Constance who wanders and Mellors who waits. There is no faithful Penelope to be found. Constance travels to the Mediterranean and leaves Mellors to deal with the trauma wrought by England’s “special brand of marriage.” With no access to a quick, easy divorce, the difficulty of an English divorce prevents the English/Puritan marriage of Mellors and Connie. Here, Frieda defines the whole erotic tradition of the Mediterranean through a single Homeric thread. In opposition to this pervasive perception, Lawrence passionately argued the schism between the ancient Etruscans and their Graeco-Roman counterparts with regards to their cultural legacies and erotic philosophies. In fact, the great work of Lady Chatterley's Lover is its espousal of an alternate erotic line derived not from the Greek or Puritan, but from the Etruscan. This is the crux of the novel’s profound conception of erotic love – its adaptation of Etruscan eroticism.

In addition, I would argue that Lawrence would have been inclined to view the modern English marriage in light of the homeric legacy. Ulysses was entitled to his Penelope. In the novel, Clifford feels as though he is entitled to his wife, just as he is entitled to Wragby. In evidence, Clifford and his friends discuss the property instinct of the modern marriage, and following this discussion is a parallel passage in which Clifford discusses his right to Wragby.
These parallel passages build the idea of a wife as property. However, Constance breaks free from Clifford and these ideals. Furthermore, Constance and Clifford’s marriage may be read as an inversion of the homeric marriage. It is Clifford who stays at home while Connie takes on a lover as an “excursion from her marriage,” only to “come home again” after ending her first affair, with Michaelis (LCL 49). Constance breaks this pattern when she later refuses to return home to Wragby, where Clifford continues to wait for her. Instead, she ultimately embarks on an undefined relationship with Mellors.

In the novel, marriage is bitterly defined as “the long, slow habit of intimacy, formed through years of suffering and patience” (LCL 49). To Constance, marriage was just a word, and its “reality was nothingness, and over it a hypocrisy of words” (LCL 57). This suffering was “the real secret of marriage, not sex” (LCL 49). Yet, Connie and Mellors’ relationship went beyond words, and the secret of their relationship was sex. Tommy Dukes, who we might characterize as a novelistic oracle, did not believe in the property instinct of a Puritan marriage, in “the joint-property, make-a-success-of-it, My-husband-my-wife sort of love;” no, he did not “believe in it at all!” (LCL 44). One may extend this view to Lawrence. For, his novel does not end with another hardy, Puritan marriage. His fictional lovers refuse titles and thus refuse the tyranny of words. Mellors refuses to be “just my lady's fucker,” and Connie drowns Clifford’s desire for his “evangelical little wife” (LCL 333, 233).

Surely, there are times when Lawrence’s wife wrote with an singularly insightful, intimate knowledge of her husband and his work. She once claimed:

Lawrence was scared when he wrote ‘Lady Chatterley.’ She was written in the Tuscan Hills in an umbrella pine-wood.... The handful of peasants round us in that
remote part of Tuscany gave Lawrence more unvoiced recognition than he had had anywhere we had been. He was not even very friendly, but rather aloof with them. But instinctively they felt: here is something special. They did not jeer at him and they jeer easily. They would have done anything for him (FLC v-vi).

Lawrence was very close to death when he undertook his Etruscan travels and penned the final version of *Lady Chatterley's Lover*. It is likely that Lawrence’s empathy for the Etruscans was tied to the comfort he gained from their positive views on death and the afterlife. Lawrence found that “death, to the Etruscan, was a pleasant continuance of life, with jewels and wine and flutes playing for the dance. It was neither an ecstasy of bliss, a heaven, nor a purgatory of torment. It was just a natural continuance of the fullness of life” (EP 28). Perhaps the “profound belief in life” that he gleaned from the Etruscans afforded him an “acceptance of life” that included an acceptance of death; he writes, “for the life on earth was so good, the life below could but be a continuance of it” (EP 70).

There are even times at which Frieda seems to dance around the quick of the novel. She writes:

> after lunch each day, I would read what he had written in the morning, and I was struck and shocked by his ability to create with equal understanding a Sir Clifford and a gamekeeper.... another mood came over him and he had to tackle the novel again. He wanted to make the contrast between the cynicism and sophistication of the modern mind and the gamekeeper's attitude sharper (FLC vi).
His Englishness, perhaps his Puritanism, allowed for his understanding of Clifford, and his Etruscan empathy emboldened the gamekeeper. The gamekeeper’s attitude is Etruscan; he argues in word and deed for the revival of their ancient axioms and aesthetics. When Mellors speaks of scarlet, he speaks of the color of Etruscan vitality. Ultimately, the novel invokes “the great god Pan” as the savior of the masses (LCL 363). As Lawrence knew, this pagan savior is also known as the Roman Silvanus, derived from the Etruscan Selvans. Thus, in its last words, Lady Chatterley’s Lover is not Puritan but Pagan, Etruscan.

**Of Etruscan Women & Etruscan Sexuality**

The Etruscans were the first civilization to cultivate the lands that would later become Rome. Ancient Etruria occupied the territory of central Italy, bound by the Arno River to the north, the Tyrrhenian Sea to the west, and the Tiber River to the south and east. The presence of the Etruscans in that region is dated to 700 B.C. through inscriptions, while scholars typically cite the span of the civilization as originating in the Villanovan Iron Age culture of the ninth century B.C. and dissolving through its ultimate absorption by Rome in the first century B.C. As few Etruscan literary (vs inscription) works have survived, our knowledge of the civilization is constructed on the basis of archeological evidence alongside literary sources from Greece, Rome, Egypt, and the Middle East. However, surviving ancient literature on the Etruscans is notoriously bias and contradictory, which has led scholars to rely more heavily on the inspection of Etruscan inscriptions and artifacts, foremost among which are the still-extant interior walls of the tombs at Etruscan cities such as Tarquinia.
Over 10,000 Etruscan inscriptions contribute to this knowledge and new artifacts are still being discovered. These include engraved bronze Etruscan mirrors, funerary urns, pottery, etc. Some longer inscriptions also exist, including the Zagreb mummy wrapping discovered in Egypt in the 19th century. The mummy’s wrappings were originally an Etruscan linen book, containing over 1,300 words of religious literature. The Etruscans made significant advancements in architecture, metallurgy, hydraulic engineering, and culture, many of which influenced later civilization. The Etruscans invented the toga, were the first to develop metal orthodontic appliances (dental braces to improve alignment), and the Roman Doric Column and Roman Arch were both adopted from the Etruscan.

The place of women in Etruscan culture and society is widely acknowledged as unique in its time; this was one of the key determiners of Lawrence’s interest. As Larissa Bonfante notes, it is “a historical fact: that the status of Etruscan women, in the archaic period at least – seventh to fifth century B.C. – was surprisingly high in comparison to that of Greek and Roman women” (229). This is evidenced in the surviving tombs and inscriptions, but also revealed through biased accounts from Greek and Roman historians. For example, we might look to Livy’s citation of the “audacity” of Etruscan women and Theopompus’ oft-cited 4th cent. B.C. account:

Sharing wives is an established Etruscan custom. Etruscan women take particular care of their bodies and exercise often, sometimes along with the men, and sometimes by themselves. It is not a disgrace for them to be seen naked. They do not share their couches with their husbands but with the other men who happen to
be present, and they propose toasts to anyone they choose. They are expert drinkers and very attractive.

The Etruscans raise all the children that are born, without knowing who their fathers are. The children live the way their parents live, often attending drinking parties and having sexual relations with all the women. It is no disgrace for them to do anything in the open, or to be seen having it done to them, for they consider it a native custom. So far from thinking it disgraceful, they say when someone ask to see the master of the house, and he is making love, that he is doing so-and-so, calling the indecent action by its name.

Some of the facts of Theopompus’ account are confirmed by archeological evidence, as we see women and men reclining together at dinner on the tomb paintings of Tarquinia. However, historians are quick to note that these kinds of texts reveal more about the Greeks and Romans than the Etruscans, who were set as “Other” in these accounts. The freedoms of Etruscan women and the civilization’s open, unashamed sexuality were seen as shocking and “threatened other Greco-Roman male authors” such as Theopompus (Kleiner 147). Frescos on the tombs at Tarquinia do provide evidence for a civilization with an open sexuality that celebrated the joys of sex without shame. This is nowhere more apparent than in the Tomb of the Bulls and the Tomb of Flogging, both depict a variety of sexual acts, the latter without any accompanying symbols or imagery that would imply a narrative or moral implication (Moscatelli 29-41).

The study of direct material evidence has concluded that the Etruscans preferred a luxurious style of life in which women played a considerable and active role. Etruscan women attended sporting events with men and owned property independently of men. Furthermore,
naming conventions illustrate the legal and social status of women as independent. The Etruscans kept the name of their motherline alongside that of the paternal kin and women’s names were often inscribed without any reference to their father or husband. Further, sarcophagi often depict couples in which the woman is active, gesturing with her hands, while the man lies in repose behind her. Moreover, an abundance of inscriptions on artifacts buried with women stand as evidence of a high degree of female literacy. Etruscan artifacts illustrate that women’s roles were quite varied and unrestricted, as feminist historian Max Dashu notes of these depictions, it is common to “see women pipers, ecstatic dancers, and women warriors.” Recent discoveries, such as the unearthing of five female sarcophagi at the Tomba Braschi in 1963, seem to confirm the role of women as priestesses in the Etruscan religion (Dashu 4), something alluded to in the tombs at Tarquinia visited by Lawrence.

Here, we see a depiction of a woman (likely a female priestess) “consecrating offerings” brought by a man and a young piper. This mural within the “Tomb of the Baron” at Tarquinia

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39 The impressive series of stone sarcophagi are thought to be those of five priestesses, as no male sarcophagi were found in the tomb. Interestingly, these were not studied or put on public display until 2004 at Viterbo (de Grummond 35).
struck Max Dashu early in her study of the Etruscans and may also have enamored Lawrence as it has numerous Etruscologists (he listed the image for inclusion in his collected essays). Dashu notes of the image that “a stream of poppies ascends before her in a pattern very reminiscent of the poppy garlands of goddesses in western Asia Minor.” These symbolic garlands will come to bear in our reading of Lawrence’s Etruscan adaptations in *Lady Chatterley’s Lover*, one grounded in a desire to revive the Etruscan civilization’s open sexuality and equalist society of “famously free” women (Dashu 5).

**Lawrence of Etruria: Tracing the Etruscan Era of D.H. Lawrence**

The Italian people are called “Children of the Sun.” They might better be called “Children of the Shadow.” Their souls are dark and nocturnal.... And I was pale, and clear, and evanescent, like the light, and they were dark, and close, and constant, like the shadow.

_Twilight in Italy_

This binary mapping, out of Lawrence’s first collection of Italian essays, marks the beginning of D. H. Lawrence's journey out of “Englishness” and into the darkness of Etruria. Lawrence had traveled to Italy three times before embarking upon the journey that would mark his Etruscan period. His first Italian sojourn started soon after his elopement with Frieda, and lasted from September of 1912 to the April of 1913. During this stay the couple resided at Lake Garda. They returned to northern Italy in late September of 1913 and stayed until the following June at La Spezia. Lawrence’s experiences of Northern Italy were captured by his first Italian collection, *Twilight in Italy*. Those early stays in Italy left
Lawrence with an active fascination with the country. Of these experiences, Lawrence wrote, “one must love Italy, if one has lived there. It is so non-moral. It leaves the soul so free. Over these countries, Germany and England, like the grey skies, lies the gloom of the dark moral judgment and condemnation and reservation of the people. Italy does not judge” (CL 544). These feelings would become paramount during the controversy over *Lady Chatterley’s Lover*. Furthermore, his feelings and ideas towards Italy, an accumulation of attribute mappings and binary assignations, would eventually ground themselves in the symbols of the Etruscans, which would provide Lawrence’s late works with a primary, overarching analogical source domain through which they may be read, and in the case of *Lady Chatterley’s Lover*, read adaptively.

Lawrence’s third Italian period, or rather, his Etruscan period, resulted in much of his late literature: poems, essays, and fiction – most of which was directly inspired by, or infused with, his Etruscan sentiments. On the 14th of July 1925, Lawrence wrote to his sister, Emily King, that he felt “drawn to the Mediterranean again” (Letters, vol. 5 277). It would seem that this place was becoming, as its name suggests, the center of the world for Lawrence. So, in late 1925, Lawrence and Frieda settled in Spotorno, on the Italian Riviera. From here the couple moved to the Villa Mirenda in Scandicci, a small village outside of Florence, specifically to allow for Lawrence to pursue his Etruscan studies. The Lawrences called the villa their home from May 1926 to the June of 1928, at which point Lawrence’s illness prompted the couple to journey north. Lawrence’s first autumn at the Mirenda bore witness to the writing of *The First Lady Chatterley*. The second version of the novel followed in quick succession, and was written between December 1926 and February 1927. Upon completion
of the second version of the novel, Lawrence began planning his Etruscan travels. He would not begin the last version of the novel until he had completed these travels and his series of Etruscan essays. These essays appeared in various travel journals throughout the winter and spring of 1928, the fruitful months during which Lawrence wrote the final *Lady Chatterley's Lover*.

Lawrence may have been introduced to the Etruscans as early as 1908. It was in this year that he read, and was very impressed by, “the magnificent and supreme” Honoré de Balzac’s *La Peau de Chagrin* (Letters, vol. 1 92). In this French work, published in 1831, the novel’s hero undergoes a truly Lawrentian epiphany:

he had left the life of reality and gone upward by degrees to an ideal world; he had reached the enchanted palaces of Ecstasy where the universe appeared to him in broken visions, lighted by tongues of fire.... He beheld, as in a vision, the solemn world of antiquity.... Ah! Who would not have smiled, as he did, to see upon the dark red ground that brown girl dancing with jocund step before Priapos in the fine clay of an Etruscan vase? (Balzac 19).

Reflecting upon Lawrence's “forked flame” in *Lady Chatterley's Lover*, one wonders if this passage, and its “tongues of fire,” did not hold some sway in his consciousness. Surely, the mention of Priapus would have caught his attention. Lawrence’s *Look We Have Come Through* houses the haunting “Hymn to Priapus,” in which a lover is lost to the “gods of the

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40 In Greco-Roman mythology, Priapus (Mutunus) was the son of Aphrodite and Dionysus. Adding to his auspicious heritage was his role as a purely phallic entity, a rustic fertility god responsible for the protection of livestock, agriculture, and male genitalia. Representations of Priapus can be discerned by their disproportionately large and ithyphallic genitalia.
living darkness” (CP 162). Here, as throughout his work, the darkness surfaces, mapped as is Balzac’s Priapos, to the ancient and the Etruscan (in opposition to the modern and the English).

In December of 1915, Lawrence was again introduced to the Etruscans through James Frazer’s *The Golden Bough*. Lawrence took particular interest in the chapter entitled “The Worship of Trees,” which tells of “rich Etrurian fields” (Frazer 82). Six years later he professed his Etruscan interest in a letter to Catherine Carswell, who had traveled to Etruria. He pleaded, “will you tell me what was the secret of the Etruscans which you saw written so plainly in the place you went to? Please don’t forget to tell me, as they really do rather puzzle me, the Etruscans” (CL 668).

A journey to Sardinia in January of 1921 inspired *Sea and Sardinia*, which gives further insight into Lawrence’s vision of Italy and its ancient secret. Here, we find the precedent for the Etruscan as source domain to *Lady Chatterley’s Lover*. The passage reads:

wherever one is in Italy, either one is conscious of the present, or of the mediaeval influences, or of the far, mysterious gods of the early Mediterranean. Wherever one is, the place has conscious genius. Man has lived there and brought forth his consciousness there and in some way brought that place to consciousness, given it its expression, and, really, finished it. The expression may be Proserpine, or Pan, or even the strange “shrouded gods” of the Etruscans… So that for us to go to Italy and to penetrate Italy is like a most fascinating act of self discovery –back, back, down the old ways of time.
Strange and wonderful chords awake in us, and vibrate again after many hundreds of years of complete forgetfulness (SS 117).

This passage offers an analog to the readerly experience of Lady C and to the fictive journey of its protagonist. These strange chords resonate throughout Lady Chatterley’s Lover; a myriad of symbols (analogs) mapping to those strange shrouded gods are scattered throughout the novel. Furthermore, these Etruscan symbols operate beyond allusion and intertextual reference, breaking through into passages of direct adaptations of Etruscan works at several key, climactic points in the novel.

On April 4th, 1926, Lawrence wrote letters to many of his companions. These letters detailed his desire to write a book about “Umbria and the Etruscan things... which interest me very much” (Letters, vol. 5 410). Lawrence also wrote to his publisher, requesting “any good book, modern, on Etruscan things” to be ordered for him, and he wrote of his research, “I’m reading the Italian books on the Etruscans –very interesting indeed. I’ll join Viesseux’s library here – they will; have more things” (Letters, vol. 5 416). Mid April bore more Etruscan letters, as Lawrence wrote to Richard Aldington, inviting him to “come and stroll around Tuscany and Umbria... come and read inscriptions, and do a bit of Etruscan deciphering” (Letters, vol. 6 427). In this letter, Lawrence reveals some of his early developed sentiments towards the Etruscans, writing, “the Etruscan things appeal very much to my imagination. They are so curiously natural – somebody said bourgeois, but that’s a lie, considering all the phallic monuments” (Letters, vol. 6 427).
again implores Aldington to visit, urging “Su cari miei, su! Avanti! Vivete pericolosamente!”\(^{41}\) (Letters, vol. 6 427).

The close of April saw the Lawrences migrating to the “lovely slopes of vines and olives” of the Villa Mirenda, the perfect “pied à terre” for Lawrence’s Etruscan travels (Letters, vol. 5 459). May brought on an even stronger attachment to the Etruscans, as Lawrence began using possessive pronouns whenever referencing them in his writings. The first letter illustrating this is the May 3rd letter to ‘dear Peg,’ Margaret King. This letter also shows his changed plans to visit several different Etruscan cities than previously mentioned. He wrote, “we have taken a villa about 7 miles out of Florence here, in the country, and I can use that as a centre, when I have to go traveling round to Bologna and Cortona and Volterra and down to the Maremma to Tarquinia – quite a number of places in Tuscany and Umbria, where the best remains are. At present I am supposed to be reading up about my precious Etruschi!” (Letters, vol. 5 447). Another letter reads, “I am reading up my Etruscans” (Letters, vol. 5 453).

A letter to his dear Else from the end of May 1926, shows a further developed conception of the Etruscans alongside a growing distaste for existing scholarship:

Etruscan things... have a great attraction for me: there are lovely things in the Etruscan Museum here.... Mommsen hated everything Etruscan, said the germ of all degeneracy was in the race. But the Bronzes and the terra cottas are fascinating, so alive with physical life, with a powerful physicality which is surely as great, or sacred, ultimately as the ideal of the Greeks and Germans.

\(^{41}\) Come on, my dear ones, come on! Forward! Live dangerously!
Anyhow, the real strength of Italy seems to me in this physicality, which is not at all Roman… I think Tuscany feels she may go one further back than Rome, and derive herself from Etruria…. Etruria was so luxurious and “merely physical” (Letters v 465).

Here we find one of the key mappings of Lawrence’s Etruscans, their physicality, which is placed as a salve to the mentality of modernist England. In a letter to Mabel Dodge Luhan, Lawrence critiques her modern flaw and points to his cure, the “physical flow” of the “Italian thing” that will eventually develop, thanks to the catalyst of the Tarquinian catacombs, into his visions of touch and tenderness (Letters, vol. 5 465). He writes, “you know I always uphold, it is the sheer physical flow which is the healing and sustaining flow –At the height, it is sex, true sensual sex. But it has a thousand forms, and can even be only a mere flow in the air, to be enough” (Letters, vol. 5 465). The sensuality of the lovers in Lady Chatterley’s Lover is the epitome of the Etruscan’s physical flow.

Lawrence had originally invited, or fervently implored, his friend Richard Aldington to join him on a walking tour of the Etruscan sites. However, by the time his plans materialized, Earl Brewster was enlisted in his stead. Lawrence spent a week in Ravello with the Brewsters before leaving for Rome with Earl on Monday April 4th. They spent a few days in Rome, preparing for their trip with a visit to the Villa Giulia where they inspected the Etruscan holdings. From the 6th to the 11th of April 1927, the two friends traveled on to experience the tombs at Cerveteri, Tarquinia, Vulci, and Volterra.

Lawrence was greatly inspired by his travels. In October of 1927, Lawrence wrote to Alfred A. Knopf: “I intended to do twelve sketches, on different places- but when I was ill, I
left off at Volterra. I wanted to do a book about 80,000 words, with some 80 or 100 photographs” (Letters, vol. 6 182). As it stands, *Etruscan Places* is barely half of what Lawrence had planned it to be, but its strong symbolic schema lends an air of completeness. This schema is ruled by several key themes and populated by numerous symbols, many of which are transposed into the adaptive register of the third and final version of *Lady Chatterley’s Lover*.

In *Etruscan Places*, Lawrence comments on the previous views held by serious scholars, such as Pericle Ducati and George Dennis. However, these studies led mostly to disappointment, and Lawrence felt that “there is really nothing left to be said, scientifically, about the Etruscans” Thus, Lawrence was free to take the “imaginative line” (Letters, vol. 6 465). It is the fruit of this imaginative line that forms the analogical register of *Lady Chatterley’s Lover* and transformative journey of its protagonists. Traces of this line can be seen in the first two versions of the novel, but they are most strongly woven through the final rendering. The strengthening of the analogical sheaf may be seen as intentional, as his letters and other writings would suggest, and, when analyzed, many of the changes that occur between the versions (each an instance of adaptation) further illuminate the quickening Etruscan pulse of the novel. *The First Lady Chatterley* and *John Thomas and Lady Jane* were written within Lawrence’s outlined period of interest in the Etruscans, but only the final version of the novel was written after the climax of this era, following his pilgrimage through the hypogea of his precious Etruschi.

Lawrence instilled the Etruscan civilization with his own utopian vision and symbolic ciphers, often contrasting the suggestions of previous scholars. However, the scant
information left of the Etruscans denies the possibility of verifying one scholar’s theories and discrediting another’s. Of this dilemma, Lawrence wrote, “…that which half emerges from the dim background of time is strangely stirring; and after having read all the learned suggestions, most of them contradicting one another; and then having looked sensitively at the tombs and the Etruscan things that are left, one must accept one’s own resultant feeling” (EP 44).

Lawrence’s resultant feeling was that “in the Etruscan instinct [is] a real desire to preserve the natural humour of life. And that is a task surely more worthy, and even much more difficult in the long run, than conquering the world or sacrificing the self or saving the immortal soul” (EP 52). This worthy task would provide the adaptive/analogical arc of *Lady Chatterley’s Lover*: to raise and reaffirm this Etruscan humour from the ruins of time. On March 27th 1928, Lawrence detailed this charge for his “Lady C.” in a letter to his Etruscaning compatriot, Earl Brewster (Letters, vol. 6 600). He wrote, “As I say, it’s a novel of the phallic consciousness; or the phallic consciousness versus the mental-spiritual consciousness: and of course you know which side I take. The versus is not my fault, there should be no versus. The two things must be reconciled in us. But now they’re daggers drawn” (Letters, vol. 6 340).

H. M. Daleski, in his study *The Forked Flame*, asserts the importance of the “phallic consciousness” in *Lady Chatterley’s Lover*, tracing the evolution of this concept through Lawrence’s earlier works. He dates the idea as far back as 1914, with the “consciousness of the flesh” and “knowledge in the blood” found in Lawrence’s study of Thomas Hardy (TH 64, 112). Lawrence’s late terms, the blood consciousness and the phallic consciousness, may
be seen as interchangeable, but the latter may also be read as an evolution of the former. Daleski writes that it is only “in connection with *Lady Chatterley’s Lover* that Lawrence begins to employ the term ‘phallic consciousness’” (64). Yet, while it is very true that he often used this term to discuss *Lady Chatterley’s Lover*, I would clarify that it was first used in his sketches of *Etruscan Places*. And so, the phallic consciousness found in his discussions of the novel find their origin in, and are indeed the very same as, Lawrence’s Etruscan phallic consciousness. In his first Etruscan essay, “Cerveteri,” Lawrence commented that the tombs where a place where one felt that “it was good for one’s soul to be there” as they possessed “the natural beauty of proportion of the phallic consciousness, contrasted with the more studied or ecstatic proportion of the mental and spiritual consciousness we are accustomed to” (EP 25). This phallic consciousness is the natural humour of life that Lawrence wishes to reanimate within his final novel.

By 1928, Lawrence would become so invested in the Etruscans that a friend would offer the following characterization of the author:

> he spoke of … those naked sunburnt Etruscans in the sepulchral wall paintings. ‘You’ve seen the originals?’ he said. ‘My word, I envy you.’ … They were civilized,’ he was saying, ‘they knew how to live harmoniously and completely, with their whole being.” He spoke with a kind of passion, as though he was angry- with the world, with himself perhaps. ‘We’re all barbarians,’ he began, but was interrupted by a violent fit of coughing… (Point 89).
This is D. H. Lawrence as his closest friend saw him, as Aldous Huxley saw him. In the last years of his life, Lawrence was consumed with an obsessive fascination with his precious Etruschi. Huxley’s description is lifted from *Point Counter Point*, which Lawrence greatly admired. In a letter to Huxley, he wrote, “I have read Point Counter Point with a heart sinking through my boot-soles and a rising admiration. I do think you’ve shown the truth, perhaps the last truth about you and your generation, with really fine courage. It seems to me it would take ten times the courage to write P. Counter P. than it took to write Lady C.”

Lawrence had many friends throughout his relatively short life, but it was the Huxleys who were closest to him in his final years and days. His last (relatively) healthy years were spent in Italy, where both the Lawences and the Huxleys had homes. Lawrence had traveled for the better part of his life, having been to Australia, most of Europe, and Mexico. It seems that Lawrence had explored the world fueled, in part, by a desire to find a people immune to the sickness of industrial, mentalist modernism, a people who would share in his utopian vision of life. Yet, Australia, Mexico, and America left him wanting. In the end, it was not oceans he had to cross, but centuries.

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42 However, Lawrence took a great aversion to being “Rampioned,” and not wishing to be the exposed subject of art he continued, “well, caro, I feel like a badger that has its hole on Wimbledon Common and trying not to be caught” (Letters, vol. 6 600).
**The White Mind of the Chatterley Novels: An Exposition of the Thematic Oppositions of Lady Chatterley’s Lover in Light of Plato and in the Darkness of Etruria**

In his “A Propos of ‘Lady Chatterley’s Lover,’” D.H. Lawrence describes the cruel fate of his beloved novel as fodder for jazzy young “cocktailers,” who, because of a superficial regard for the lascivious text, failed to recognize the novel's intricate insights into the human psyche. However, time may prove a salve to the wounds of modern misinterpretation through an analysis of the adaptive work’s mapping to its source domain. A dichotomous sheaf of oppositions and balances manifests throughout the novel, each side of which may be mapped to either the mind consciousness or the blood/phallic consciousness, where the latter consistently finds significant analog structures (alignable similarities) in Lawrence’s *Etruscan Places* (and other Etruscan writings as well). Many of these analogies may be seen as contributing to an overarching thematic interpretation of Plato’s *Phaedrus*, a structuring analogy that illuminates the “dark heart” and “white mind” of Lawrence's *Lady C*.

Shadows of Etruscan symbols fall throughout Lawrence’s oeuvre, as what he found in the tombs of Tarquinia was much more than the excitement of discovery – it was the justification of his life’s philosophy. In *Lady Chatterley’s Lover*, Etruscan analogs dominate the landscape of certain sections of the novel, while others are characterized by a consciousness in opposition to Lawrence’s philosophy of the phallic consciousness. While the first few chapters of the novel allude to the modern/ancient binary, there are few if any proper Etruscan analogs. The chapters are dominated by satire, and many of the points made
by the narrator are the inverse of what Lawrence sought to communicate with his novel. For example, the first chapter offers, “What else did a girl's life mean? To shake off the old and sordid connections and subjections. And however one might sentimentalize it, this sex business was one of the most ancient, sordid connections and subjections” (LCL 4). The narrator advocates a willful disregard of sex. In opposition, Lawrence would advocate the revival of this ancient connection. Thus, our narrator opens the novel at odds with the Lawrentian physicality later espoused in the work. But, as with his adjectival use of ancient here, we will find hints of what is to come for Constance.

This substantive binary opposition is directly connected to the formal structure of the novel. Many critics have taken the lead offered by the novel itself, utilizing Chapter IX’s passage on the importance of “the novel” as a way to discuss and define the structure of LCL. The passage cites “the vast importance of the novel, properly handled,” as its ability to “inform and lead into new places the flow of our sympathetic consciousness, and it can lead our sympathy away in recoil from things gone dead” (LCL 117). This may be translated into the two phases or motives of the novel, the first leading away “from things gone dead” and the second leading into new “passional” places – our Etruscan flow (LCL 117). The first phase is dominated by attributes of a paralyzed\textsuperscript{43} modern society and the later by the passional symbolism of ancient Etruria.

Building upon this two-phase structure, one may look to Lawrence’s interpretation of Plato’s Phaedrus myth, which will further connect structure to substance. This myth is an

\textsuperscript{43} I apologize for this ableist adjective and its problematic usage here. It is employed to reflect Lawrence’s association (and metonymic use) of Clifford, paralyzed in the war, with modern England.
intertextual thread woven through each of the three versions of the Chatterley novel. In the myth, Plato tells of the soul, which is “divided… in three, two parts horse-like in formation, and the third in function like a charioteer” (Plato 37). Of the two horses one was white (“the good horse”) and one was black (“the bad one”) (Plato 37). The white horse is temperate and “guided by command alone, and reason” (Plato 37). In contrast, the black horse is a “comrade of lust,” “uncomprehending” and “hardly submissive under lash and goads” (Plato 37).

Lawrence adapts Plato’s symbols, mapping them onto his novel’s thematic structure and substantive binary. The First Lady Chatterley offers a dialogue between Lawrence’s Sir Clifford and Lady Constance Chatterley, through which we are provided with a meditation on “The two horses that draw the chariot of the soul, the savage, rough-eared, unmanageable black one, and the delicate, beautiful white one” (FCL 28). It may be that with these two symbols, the white horse and the black horse, Lawrence found analogs for the two modes of consciousness he had been dealing with throughout his literary career, and which occupy a central role in his last novel. In fact, over ten years before the birth of Lady Chatterley’s Lover, on December 8, 1915, Lawrence wrote a letter to philosopher Bertrand Russell that speaks to the very heart of this conflict in his future novel:

I have been reading Frazer's Golden Bough and Totemism and Exogamy. Now I am convinced of what I believed when I was about twenty –there is another seat of consciousness than the brain and the nerve system: There is a blood-consciousness which exists in us independently of the ordinary mental consciousness, which depends on the eye as its source or connector. There is the blood-consciousness,
with the sexual connection, holding the same relation as the eye, in seeing, holds to the mental consciousness. One lives, knows, and has one's being in the blood, without any reference to nerves and brain. This is one half of life, belonging to the darkness. And the tragedy of this our life, and of your life, is that the mental and nerve consciousness exerts a tyranny over the blood-consciousness, and that your will has gone completely over to the mental consciousness, and is engaged in the destruction of your blood-being or blood-consciousness, the final liberating of the one, which is only death in result. Plato was the same (Letters, vol. 2 470).

As far as Lawrence was concerned, Clifford Chatterley and all of England were the same.

In this letter, Lawrence used the word darkness as a metaphor for his philosophy of the blood-consciousness. One possible explanation for the tying of the blood-consciousness to darkness lies within the text of this letter, Plato. Lawrence places Plato in line with Russell as one who has gone completely over to the mental consciousness. Plato has killed his black horse, his blood-consciousness, his darkness. In the *The First Lady Chatterley*, Sir Clifford recognizes that his own black horse had “got his death blow in the war,” leaving him “with only one horse to my chariot” (28-9). This analog helps to establish Clifford as a “mental lifer,” joining the ranks of Plato and Russell, who are all completely estranged from the life of the body (LCL 44). It also aligns with the use of light and dark throughout Lawrence’s oeuvre as assigned to either England and modernism (lightness) or Italy and Etruria (darkness).

This exaltation of the white horse at the destruction of the black is what makes for the “tragic age” of *Lady Chatterley’s Lover* (LCL 1). The way in which one might “refuse to take
it tragically” (LCL 1) would be to recognize one’s engagement in the destruction of his or her own blood-being and thus strive to recapture that “vital” half of life with the ultimate goal of placing the two halves of life in harmony with one another (LCL 319). Lawrence’s eudaemonistic cure for his tragic age may be read through his protagonist, Constance, who rejects Plato’s belief in the superiority of the white horse and advocates on the behalf of the black horse. She questions her husband’s acceptance of Plato and Socrates, asking, “don't you think it's rather cruel, the way Socrates drives his black horse --jerking him back till his mouth and tongue are full of blood, and bruising his haunches? Don't you think one could manage a horse better than that.... Don't you think, if one asked him what he truly wanted, he's as much right to it as the white horse or the driver?” (FLC 30).

Plato and Socrates drove their black horses to tragedy. In contrast, the Etruscans drove their dark horses with grace, evading the tragedy of future eras. Hidden within the words of Lawrence’s December letter rings an echo of Etruria that sounds in opposition to the beating of the black horse. Directly preceding the outlining Lawrence’s philosophies rests the intimation that he had been reading James Frazer’s *The Golden Bough*, “I have been reading... Now I am convinced...” (Letters, vol. 2 470; emphasis added). This positioning places the reading of Frazer’s text as a catalyst for Lawrence’s convictions. As we’ve seen, *The Golden Bough* offered Lawrence a vision of “the rich Etrurian fields,” of a civilization that thrived before the Greeks broke the spell of darkness (Frazer 82). Throughout Lawrence’s late work, the theme of darkness hinted at in the above letter comes to signify the half of life exemplified by the Etruscan consciousness, which he found to coincide with his blood and phallic consciousness. By weaving together his blood and phallic consciousness
with the Etruscans, Lawrence is able to use their “old Etruscan symbolic thought,” to signify the phallic consciousness, layering analogy upon analogy (EP 94).

In his essay, “Surgery for the Novel or a Bomb,” Lawrence wrote of another great tragedy. He professed:

it was the greatest pity in the world, when philosophy and fiction got split, they use to be one, right from the days of myth. Then they went and got parted, like a nagging married couple, with Aristotle and Thomas Aquinas and that beastly Kant. So the novel went sloppy, and philosophy went abstract dry. The two should come together again—in the novel (PH 517).

And so they do come together again, in Lady Chatterley’s Lover. Seen thusly, the thematic structure of the novel is imbued with a certain sense of philosophical import, as characters and settings become tied, through this analogical mapping, to the consciousness they represent.

A stark contrast to the darkness of the phallic consciousness, the white horse stands as analog to the life of the mind, “Clifford's heaven of the pure abstraction,” which to Connie “had begun to seem a certain prison: like the white-hot steel walls of a Poe story” (FLC 33). The life of the mind is thus mapped to whiteness. Connie laments her confinement in this prison, exclaiming, “so Clifford was killing her. Killing that part of her soul which was her true body... The poor black horse of her body! He had been lying now for months as if he were dead, with his neck twisted sideways as if it had been broken by some especially vicious twist of the reins. She had felt him dead, a corpse inside her” (FLC 33). The black horse here offers an explicit metaphor for the consciousness of the body. Now, we have the
two sides of the dichotomy, the black horse of the body and the white horse of the mind, which become analogs for the mental and blood (or phallic) consciousness, respectively. The territory of whiteness, inhabited by Plato, Clifford, Russell, is at war with the dark realm of the Etruscans, Constance, Lawrence. Each force meets its respective and parallel opposition in history, in life, in fiction.

Should we move from their substantive analogs, we may examine how these horses of the *Phaedrus* map to the thematic structure of the novel. At first the novel is led by the white horse, as Connie is trapped within the white-hot walls of Wragby – the prison of the life of the mind. The first four chapters of the novel focus on the daily life Constance and Clifford Chatterley at Wragby and are interspersed with passages detailing the pasts of both husband and wife. Theirs is a mental life. Subsequently, this first phase of the novel is characterized by styles and literary devices that point to a narratorial consciousness led by the mental consciousness. The primary technique of this phase is satire, an intellectual mode of writing that is ironically referred to by the narrator as “a form of sympathy” (LCL 117). The first phase of the novel offers a wealth of literary allusions, which become part of a philosophical subtext aimed at the degradation of the western literary and philosophical tradition. They also add another layer to the analogical palimpsest, beneath the dichotomy between the mental life and the life of the body lies that of words versus action and experience (or, as we shall see, Lawrence’s Etruscan concept of touch).

One scene exemplifies this opposition. Connie and Clifford are in the wood, where flowers cover the landscape. The narrative, perhaps voicing Connie or Lawrence’s own viewpoint, describes the flowers in terms of experience. The “catkins were hanging pale
gold, and in sunny places the wood-anemones were wide open, as if exclaiming with the joy of life, just as good as in past days, when people could exclaim along with them. They had a faint scent of apple-blossom” (LCL 107). The description is simple and sensory; the flowers are given emotions as they exclaim their joy and emit a pleasant scent. The narrator’s use of emotion and sensory perception forms a deep contrast to the literary analysis Clifford provides. Clifford “looked at them curiously,” and then “quoted” from Keats’ “Ode to a Grecian Urn,” remarking, “thou still unravished bride of quietness,... It seems to fit flowers so much better than Greek vases” (LCL 108). Connie is averse to Clifford’s tendency to view life in light of art. She comments, “ravished is such a horrid word.... It's only people who ravish things.” Interestingly, Clifford offers that perhaps “snails and things” ravish flowers. His naming of Nature’s creatures as “things” sets him apart from Constance, who shows a reverence for Nature.

In the text, Language itself becomes a means of ravishing:

she was angry with him, turning everything into words. Violets were Juno's eyelids, and windflowers were unravished brides. How she hated words, always coming between her and life: they did the ravishing, if anything did: ready-made words and phrases, sucking all the life-sap out of living things (LCL 108).

Here, key figures of the western literary tradition and words, specifically the words of Shakespeare and Keats, become the ravishers, sucking the vitality out of Nature.

Connie’s aversion to Clifford’s literary reductions of Nature pushes her further away from her husband: “suddenly, with all the force of her female instinct, she was shoving him
off. She wanted to be clear of him, and especially of his consciousness, his words, his obsession with himself, his endless treadmill obsession with himself, and his own words” (LCL 108). Thus, the mental consciousness and ravishing words are a driving force in Connie’s separation from Clifford and the world of Wragby. Constance’s aversion to her husband is augmented by her apathy for his taste in literature. Clifford reads Proust, Racine, and Plato. Connie finds that this makes him seem “very dead” (LCL 233). Once Connie has begun her relationship with Mellors, Clifford’s words begin to lose their effect on her. One evening Clifford reads Racine to Connie, who has just come from the wood. To her in that moment, his words are just “noise” and “of the Racine she heard not one syllable” (LCL 163). Rather, she had begun to nurture the poor black horse of her body; she sat “gone in her own soft rapture” as “the humming of passion, like the after-humming of deep bells” drowns out Clifford’s reciting of Racine (LCL 163). Clifford identifies with Racine’s prose, declaring, “one gets all one wants out of Racine. Emotions that are ordered and given shape.... What we need is classic control” (LCL 164, emphasis mine). In Lawrence’s adjectival use of classic, we find the opposition to an alternative Etruscan line, that of the Graeco Roman tradition. This reading of Racine reveals just as much about Clifford’s own character as it does about the famous author. Clifford’s statement belies his own penchant for order in his life and marriage. It also alludes to his need to control his wife, Constance.

Clifford’s words fail to appeal to Constance’s senses. In contrast, Lawrence’s words carry the successful intention of appealing to the senses. Anais Nin analyzes this motive in her *D. H. Lawrence: An Unprofessional Study:*
Lawrence's language makes a physical impression.... His sensorial penetration is complete.... [His] thought is always deep reaching: it is really concrete, it passes through the channels of the senses.... Lawrence attempted some very difficult things with writing.... he would give it the bulginess of sculpture, the feeling of heavy material fullness: thus the loins of the men and women, the hips and buttocks. He would give it the nuances of paint: thus his effort to convey shades of color with words that had never been used for color. He would give it the rhythm of movement, of dancing: thus his wayward, formless, floating, word-shattering descriptions. He would give it sound, musicality, cadence: thus words sometimes used less for their sense than their sound. It was a daring thing to do (LW 192).

Interestingly, Nin’s detailing of the the complete penetration of Lawrence’s sensorial writing fails to mention the sense of sight. What Nin eloquently points to as the strength of Lawrence’s writing is his attempt at seeing with his dark mind. In “Art and Morality,” Lawrence implores the reader to visualize without seeing, to create an image through the senses. This is what Lawrence attempts in his writing, to reverse a very curious habit of civilized man that was inherited from the Greeks.

Early chapters of the text emphasize visual perception. Many of its tropes are ocularcentric and show Lawrence’s views on the connection between vision and the mental consciousness. For example, Clifford perceives the world as through he is looking through "a microscope, or . . . a telescope" (LCL 13). “Art and Morality” employs these same tropes as Lawrence addresses the negative value of “a very curious habit that civilized man has been
forming down the whole course of civilization, and which he is now hard-boiled,” the habit of “visualizing everything” (PH 528). He places this method of perception in opposition to touch and “feeling,” and offers the possibility that these bodily senses may be used to create an image in “our dark minds” (PH 529-30). Lawrence believed in the dichotomy between ocular and sensory perception, which he traced to the Greeks and their ‘classic control.’

According to Lawrence, “Greece first broke the spell of ‘darkness,’” crushing the possibility of perception through the dark mind (PH 528). He writes that modern man, having inherited the “Platonic Idea” and the Greek tradition, now sees “like a telescope, or more intensively, like a microscope” (PH 527-32). Here, the work of analogy connects Clifford to “civilized man” an inheritor of “classic control.”

Clifford’s telescopic stories speak to Lawrence’s opinions on the modern moment in literature. In the novel, Clifford forgoes his horse in favor of an engine. This modern turning of the myth is employed again by Lawrence when he details his views on the tragedy of the times. Lawrence feels that modern writers are “lost to life and power” because they have “lost the horse,” that black horse who is the passional “symbol of surging potency” (LW 228). He writes, “while horses thrashed the streets of London, London lived” (LW 228). Lively, vital literature is that which embraces and revives the black horse; dead, unvital literature is that which, like London, embraces engines over steeds.

Swinburne stands in contrast to his contemporaries as an author who has kept his black horse. Lawrence often alludes to Swinburne’s work in his novels, and the Chatterley novels are no exception. In the first version of the novel, Lawrence quotes from the chorus of Atlanta in Calydon, placing the line, “When the hounds of spring are on winter’s traces,” as a
stand alone paragraph, almost an epigraph, before a discussion of literary theme, meandering from Swinburne to Plato (FLC 63). In this passage, Parkin (the earliest incarnation of Mellors, his analog in past adaptations) is described as one of the “hounds of spring: a Plutonic hound” (FLC 64). Interestingly, Pluto is the roman appellation for the imported Etruscan god of the underworld, Aita. Lawrence emphasizes Constance and Parkin’s separation from Plato; he writes that Parkin was reminiscent of “Pluto, not Plato,” and Connie “was an escaping Persephone, Proserpine,” or Phersipnei in the latinized Etruscan (64). Furthermore, Connie, a Swinburnian Proserpine, would “rather be married to Pluto than Plato” (64). Here, Parkin/Mellors is the “wild hound of Pluto,” while Clifford is “the speculative spaniel of Plato” (64). These canine descriptors offer another analogical pairing of the wild black horse and the reasoning white steed, further deepening the dichotomies of the myth and enveloping Clifford and Mellors within opposite sides of an overarching analogical mode/binary.

**Touch Comes: The Pleasure of the Poetic Intertext**

As shown above, many of the analogies employed in Lawrence’s fiction appear throughout his contemporaneous essays and personal letters. Lawrence often evolved and developed networks of analogy throughout every aspect of his craft, including his poetry and even his painting. Thus, one would benefit from turning the discussion of Lawrence's equine analogs to their poetic counterparts. In so doing, our reading finds the dominant of adaptation, the development of a systematic set of relations/analogs, to order other intertextual relations, as these extra-source-to-target relations aim to strengthen the meaning
and essence of that primary oscillation.

Many of Lawrence’s last poems may be read as meditations on the themes of *Lady Chatterley’s Lover*. For example, his poem “The Greeks Are Coming” compares the Greeks to “a whiteness,” that invades the darkness of Etruria. In *Etruscan Places*, the “Greeks came crowding” into the Etruscan sea “with their white or scarlet sails” (44). Lawrence found the landscape of the Etruscans to be meaningfully “dark,” with their “darkening sea” and “dark” but “soft” sands (EP 32-44). This darkness comes to signify the Etruscans themselves, who “emerge,” a “great shadow” from the “dim background of time” (EP 32-44). In his Etruscan essays, Lawrence credited the Greek cultural invasion as responsible for the end of the pure vitality of the Etruscan era.

One poem beautifully joins the darkness of Etruria and the schema of Plato’s *Phaedrus* myth, another palimpsest to the primary analogy (of target and source text). In “Climb Down, O’ Lordly Mind,” the black and white horses become the white mind and the dark heart. These Lawrentian symbols replace the Platonic symbols of the horses, while retaining their significance. The poem further elucidates the novel’s thematic and analogical structure. Most importantly, it ties this structure to the theme of touch. The poem begins with an address to the mind, “climb down, O lordly mind!...Your hour has struck / your unique day is over” (CP 473). The poem signals the beginning of the end for the life of the mind, which in the novel occurs at chapter five. The poem continues:

A man is many things, he is not only a mind.

But in his consciousness, he is two fold at least:

He is cerebral, intellectual, mental, spiritual,
But also he is instinctive, intuitive, and in touch (8-11).

This two-fold structure of man translates into the two-fold structure of the novel; while the first four chapters of the novel focus on the “cerebral, intellectual” and mental, the following chapters offer insights into “intuition” and “touch.” The poem continues to elaborate on the dichotomous structure of life as we see the first mention in Lawrence’s writing of the white mind:

Thou art like the moon,
And the white mind shines on one side of thee
But the other side is dark forever,
And the dark moon draws the tides also (18-21).

Here the white mind and the “dark moon” vie for control of the tide, an analogical representation of the way in which the white horse and the dark horse ‘draw’ the chariot of the soul, the wholeness of man. The first phase of the novel, controlled by the white mind/horse and the mental consciousness, offers no Etruscan source analogs. Only in the second, dark phase of the novel, ruled by the blood, do we see the activation of Etruscan religious symbols. This disparity of symbolism in the early chapters is remedied in the chapters offering control to the black horse, the body. The poem eloquently details the reasoning for this:

The blood knows in darkness, and forever dark,
In touch, by intuition, instinctively.
The blood also knows religiously,
And of this the mind is incapable.
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The mind is non-religious.

To my dark heart, gods are.

In my dark heart, love is and is not.

But to my white mind

Gods and love alike are but an idea,

A kind of fiction.

Man is an alternating consciousness.

Man is an alternating consciousness (22-33).

The novel too is an alternating consciousness. We begin, swayed by the white mind. The white mind of the novel wanes as the dark heart waxes. While Clifford is the epitome of this white mind, Mellors is the embodiment of the dark heart. The themes and settings of the middle chapters of the novel oscillate between Wragby and the woods, between Clifford and Mellors, between the white mind and the dark heart.

The dark heart, the ‘narratorial consciousness’ that later gains control of the novel, is filled with Etruscan symbols/analogs and themes. One of these themes, touch, is mentioned within this poem. The verse valorizes knowledge in darkness, through touch and religion, as opposed to knowledge gained by visual and mental perception. In this poem and throughout Lawrence’s late works, darkness may be seen as a trope for knowledge beyond sight. The blood and phallic consciousness know “in touch,” without sight. In Etruscan Places, the
Etruscans “know the gods in their very finger-tips;” they know religion through touch, in
darkness (EP 85).

If we look back to Clifford’s ocular mode, we see that it is the anti-touch. Clifford,
“like a man looking down a microscope, or up a telescope... was not in touch. He was not in
actual touch with anybody…. Connie felt that she herself didn't really, not really touch him;
perhaps there was nothing to get at ultimately; just a negation of human contact” (LCL 15).
Lawrence’s description of Clifford’s modern writing may very well be turned towards the
first chapters of *Lady Chatterley’s Lover*, and what is said of Clifford’s stories holds true for
the first phase of Lawrence’s novel. Both are:

- clever, rather spiteful, and yet... there was no touch, no actual contact. It was
  as if the whole thing took place in a vacuum. And since the field of life is
  largely an artificially-lighted stage to-day, the stories were curiously true to
  modern life, to the modern psychology, that is (LCL 15).

Clifford’s stories, like the first phase of the novel, provide “extraordinary and peculiar”
observations of a world that Lawrence views as “meaningless” (LCL 15). On a literary level
the texts’ lack of touch may be read as a lack of sensual imagery, of words or devices that
appeal to the senses rather than the perceiving mind.

So, the modern psychology suffers from a lack of touch, while the tombs of the
ancient Etruscans are the very source of the theme. In Clifford’s stories, “there was no other
standard. There was no organic connexion with the thought and expression that had gone
before” (LCL 18). His stories were anti-analogical, non-symbolic. This lack of organic
connexion may also characterize Lawrence’s novel while it is being led by the rational white
mind. Clifford’s stories are published in “the most modern magazines,” and their lack of “standard” may be read as a critique of the modernist motive of breaking free from the past (LCL 15). This lack of standard is held in the same esteem as the Platonic standard. In opposition to these standards, the later phase of the novel offers a schema of Etruscan analogs, which form an organic connection—through the working of adaptation— with the ancient expression of the blood/phallic consciousness that had gone before.

Lawrence stated, “what one wants is the actual vital touch” (EP 198). He found this touch in Etruria, writing that the Etruscans “really have the sense of touch; the people and the creatures are all really in touch” (EP 84). Lawrence praised this significant theme, the “quiet flow of touch,” continuing, “it is one of the rarest qualities, in life as well as in art” (EP 84). He felt that the Etruscans “were always kept in touch, physically, with the mysteries. The ‘touch’ went from the Lucumo down to the merest slave. The blood-stream was unbroken” (EP 93).

Interloper Tommy Dukes, the prophet of touch, may be read as a mouthpiece for Lawrence’s own views, specifically his response to Plato. Plato argues that thought, not sensations, lead to knowledge and truth. In the Phaedrus, he places sight over the senses as “the keenest mode of perception vouchsafed us through the body.” Dukes argues the opposite; he advocates for “the resurrection of the body... a democracy of touch” (LCL 86). These phrases echo inside Connie and she repeats them to herself, cementing their importance within the novel, “Give me the democracy of touch, the resurrection of the body!” (LCL 86).
This argument in the novel forms a striking parallel to some of Lawrence’s last poems, specifically “Future Relationships” and “Future Religion.” In “Future Relationships,” Lawrence writes, “the world is moving, moving still towards further democracy. / But not a democracy of idea or ideal... / But a democracy of men, a democracy of touch” (CP 611). This touch is set as the antithesis of the Graeco-Roman ideal. In his Etruscan essays, Lawrence laments the Graeco-Roman influence, which he believes destroyed “all Etruscan charm” (EP 129). He regards paintings that he considered to “still have a bit of Etruscan freedom, but on the whole [were] Graeco-Roman... all the motion is gone; the figures are stuck there without any vital flow between them. There is no touch” (EP 129). In “Future Religions,” he prophesies that “the future of religion lies in the mystery of touch” (CP 611). Likewise, the future relationship of the lovers in Lady Chatterley’s Lover lies in the mystery of touch. He continues, “the mind is touchless, so is the will” (CP 611). The Greek and Roman minds are touchless; Clifford is touchless.

Within Lawrence’s intertextual revisioning of the Phaedrus analogy lies another clue to one of the many thematic oppositions of the novel. He writes, “Constance was quite good at thinking in symbols. The symbols of Plato's myths were perfectly familiar to her…. But Constance, instead of thinking Socrates perfect, was always taking another line” (FLC 31). Here, Connie is set apart from Clifford not only in her varied interpretation of Greek philosophy but also in her ability to think in symbols, to think analogically. As we’ve seen, this opposition stands as one of the many nested binaries present in Lady Chatterley’s Lover; words become the tools of the mental life while symbols/analogy become the tools of the life of the body, the phallic consciousness. In the second half of the novel, as Connie moves from
the mind to body/phallic consciousness, the adaptive work of the novel comes to fruition and climax. For a reader to engage in this adaptive register though, they must “think in symbols.”

Tommy Dukes, true to his role as the novel’s oracle, claims that “there might even be real men, in the next phase.... Real, intelligent, wholesome men, and wholesome nice women! Wouldn't that be a change, an enormous change from us? We’re not men, and the women aren't women. We're only cerebrating makeshifts, mechanical and intellectual experiments” (LCL 86). In the ‘next phase’ of the novel, there is a great change from the cerebrations of Clifford and his friends to the mystery of the Etruscan symbols and their vital connection to touch. In the next phase of the novel there is Connie’s future lover, Mellors. He is “a passionate man, wholesome and passionate,” a man who touches Constance, really touches her (LCL 143). As Lawrence prophecies in his poetry, “touch comes only when the white mind sleeps,” only then will the dark heart awaken (Pansies 43).

**The Dark Heart of Etruria: The Etruscan Essence of *Lady Chatterley’s Lover***

In one of Lawrence’s many letters professing the import of *his* “precious Etruschi,” Lawrence proclaimed that the quintessential goal of *Lady Chatterley's Lover* was to make “an adjustment in consciousness to the basic physical realities... to the natural glow of life... warm life” (CL 1111). This natural glow is the result of a return to the Etruscan physicality, to the life of the body from the life of the mind; it is a return that flowers the novel in an analogical bouquet of symbol, ritual, and initiation. This phase of *Lady Chatterley's Lover* is infused with essential Etruscan analogies – adaptive concepts and passages which have previously evaded analysis.
Here, the application of *Etruscan Places* as a source domain for the novel unearths the adaptive analogies found within the second phase of the work.

Lawrence’s letters reveal tensions associated with the release of Lady C. to the public. This tension was a result of Lawrence’s issues with censorship and moral judgment. He knew that his novel would be deemed improper, negating his novel’s attempt to “make the sex relation valid and precious instead of shameful” (SL 345). While he recognized this inevitable failure of modern society, he saw the possibility of escape from moral judgment. For, Lawrence often wrote of Italy as a contrast to England and its “moral judgment” (CL 544). Within the novel, every maladroit point and failure of modern life meets its counterpoint in ancient Italy, in Etruria. While Clifford represents a cerebral modern England, Mellors acts as a prophet of the Etruscan touch.

Six months before his death, Lawrence wrote a letter exposing his views on the requisite of retaining a true influence. For Lawrence, this influence was Etruscan. This ancient aesthetic reveals the sweeping symbolic richness of Lawrence's later fictions. It is on this matter that Lawrence wrote to his troubled friend Frederick Carter. He wrote:

all things modern are merely shallow.... you are working all the time from wrong impulse-sources.... You are working with a false inspiration all the time. What fascinates you essentially is the great pagan vision of the eastern Mediterranean, pre-Athenian. I wonder you don't take your inspiration from that world. Etruscan things.... Do you know the paintings and sculptures of the Etruscan tombs in Italy? Fascinating, especially the older ones. Go to Alinari's and look at the photographs of the tombs at Tarquinia.... and catch that curious magic (SL 472).
While the white mind and the modern mental consciousness loomed over the early passages of *Lady Chatterley’s Lover*, the later half rids itself of its false modern influence and returns to the great pagan vision of the Etruscan things and tombs. Their curious magic thrives in the delicate descriptions of ritual and symbol, which come to climax during the sexual crisis of *Lady Chatterley’s Lover*, Chapter XV. With each relevant passage in the novel, Lawrence (re)creates the Etruscan frescoes, the dances and the flowerings. Lawrence’s true Etruscan inspiration comes to full adaptation in this phase of the novel. Beyond the analogical subtext pervasive throughout the work, here, in the second phase of LCL, the novel goes so far as (hidden) ekphrastic adaptation, fully adapting the subjects of the Tarquinian frescos described in *Etruscan Places* into the most poignant passages of *Lady Chatterley's Lover*.

*Etruscan Places*, a collection of non-fiction travel essays, is the culmination of Lawrence’s life long search for a personal philosophy. In Chapter 3 of the text, “The Painted Tombs of Tarquinia,” Lawrence describes his belief in the eudaemonistic Etruscan feeling for life, in “a conception of the universe and man's place in the universe which made men live to the depth of their capacity.” This was Lawrence's perception of a life lived in praise of the physical flood, in the life of the body and the blood. Travel and leisure barely assume the position of

44 Hidden, in that the passages are not announced adaptations. A knowing audience may recognize the work as adapting the subject and actions of the Etruscan frescos, but even a knowledge of the source text does not guarantee recognition of the adaptive passage.

45 Here, I take the classicist definition of the term as the verbal representation of a visual representation, privileging its definition in aesthetics over recent theoretical discussions of ekphrasis such as those by Harold Bloom or Jean Hagstrum. Where ekphrasis is “the literary description of a work of art, usually employing considerable rhetorical art and, in a broader sense, to designate entire poems or passages from longer works of fiction, poetry, or expository essays that address in various ways particular works of painting, sculpture, graphic art, or perhaps even architecture,” Lawrence’s ekphrasis may be located more specifically as a literary description within a passage from a longer work of fiction that adapts the subject of a work of art (the Etruscan frescos) and further applies the action of that work to the plot of the novel. (Hollander).
subtext to this prodigiously philosophical text, characterized by its fecund symbolism and pervasive sense of physicality. The work acts as cipher (source domain) for the Etruscan tombs and symbols adapted in Lawrence’s novel. Although *Lady Chatterley’s Lover* and *Etruscan Places* “exist apart,” they share the same “soft slow sympathy” for the symbols of Etruria (LP 43). They share the same dark heart.

**Prophets of a Revolution, Priests of Love**

“The Lucumo and his Lady:”\(^{46}\) *The Etruscan Personas*\(^{47}\) of Oliver Mellors and Constance Chatterley

It is not such a bold claim to cast Oliver Mellors as a prophet of *Lady Chatterley’s Lover*. However, the claim may be taken further: Mellors is not only a prophetic figure but more specifically a Lucumo, a peculiar brand of prophet, an Etruscan priest of love. Constance, through her connection to Nature and her role in Mellors’ reawakening, also plays the part of Lucumo. Here we build an analogical reading of the novel’s protagonists through the application of a characterization found in Lawrence’s source text, his *Etruscan Places*. Here, he describes the Lucumones as “religious seers, governors in religion… leaders in the sacred mysteries” who about them always had “a touch of vital life, of life-significance” (40).

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\(^{46}\) Quoted in Lawrence’s *Etruscan Places*.

\(^{47}\) The etymology of the English *person* traces to the Latin *persona*, “mask,” which is commonly noted to have been derived from from the Etruscan *phersu*, also “mask.”
Lawrence developed his interpretation of the Etruscan Lucumo during his visit to the ruins of Tarquinia. Of all the places Lawrence visited, it was Tarquinia that truly left its crest upon his soul. Although Lawrence visited over six different Etruscan sites, half of the essays in *Etruscan Places* pertain specifically to Tarquinia. Lawrence embarked on his Etruscan journey at a time when he was at odds with the modern mind and at war with the world’s politics. Lawrence began his descent into the tombs of Tarquinia and gained entrance into another vital world, one that procured a panacea to the woes of modern civilization. The clue to this cure was the Lucumones of the Tarquins, the southern Etruscans.

In his Etruscan essay, “Volterra,” Lawrence outlines his views on the cultural superiority and sympathetic consciousness of the southern Etruscans, the Tarquins. Here, Lawrence contrasts the “curious restlessness” of the Northern Etruscans of Volterra with “the dancing surety of southern Etruria” with which he was enthralled (191). This contrast reveals Lawrence’s belief in the symbolic power of the southern Etruscans. He writes of the Northern artifacts:

> there is none of the distinction of the southern Etruscan figures. The heads are given the "imperious" tilt of the Lucumones, but here it becomes almost grotesque. The dead nobleman may be wearing the necklace of office and holding the sacred patera or libation-dish in his hand; but he will not, in the southern way, be represented ritualistically as naked to below the navel; his shirt will come to his neck; and he may just as well be holding the tippling wine-cup in his hand as the sacred patera; he may even have a wine-jug in his other hand, in full carousal. Altogether the peculiar "sacredness," the inveterate symbolism of the southern Etruscans, is here gone. The religious power is broken (EP 194).
Here lies Lawrence’s consecration of the southern symbolism. The southern (Tarquinian) representation of the Lucumo as naked to the hip becomes, through Lawrence’s vision, a “ritualistic” representation. This ritual of representation comes into play during Connie’s voyeuristic sighting of Mellors as “naked to the hips” (LCL 75). This alignable, surface similarity in the representation of physical presence and dress maps Mellors through analogy to the Etruscan Lucumo.

Lawrence imbues each Etruscan characteristic and symbol with “religious power” (194). He then employs these symbols and rituals as analogical structures throughout Lady Chatterley’s Lover, in the eudaemonistic attempt to catch the last wave of a sympathetic consciousness that will allow for man to enter into the right relation with himself, to bring our modern consciousness out of the discord and duality from which it now suffers at the liberation of the mental life over the repression of the blood consciousness. The following frames of “The Florence Museum” offer further insight into Lawrence’s late religious convictions and a viable approach to his late literature. Lawrence theorized that “civilizations rise in waves, and pass away in waves,” and that “now our own tide of consciousness is on the ebb, so we can catch the ripples of the tide that ebbed as we arose, and we may read their meaning” (SK 177). He felt that in order to get ourselves into the right relations we must try to catch the “ultimate meaning” of the “symbols that come down to us on the last waves” (SK 177). Lawrence follows these claims with the statement that “the real Etruscan characteristics are the religious symbols;” it is the ultimate meaning of the Etruscan symbols that will “get ourselves into the right relation[s]” (SK 177). The Lucumones’ characteristics become analogs that gesture towards these right relations, the blood consciousness and the tenderness of touch.
Nancy Thomson de Grummond asserts in her recent work on the Etruscan Lucumo, *Prophets and Priests*, that “for an Etruscan, the starting point of religion lay in the revelations of the prophets. After that, the continuing practice of religion was guided by inquiry” (de Grummond 27). In parallel, for Constance Chatterley, the appearance of Mellors solidifies the revelation of her own dissatisfaction. After that, Constance began her inquiry into the reasons for her own dissatisfaction and a search for its remedy. That remedy was religion in the Lawrentian sense of the word. For Mellors, the meeting of his future lover marks his re-entrance into life and love. So, while Mellors plays the role of Lucumo, Connie also assumes a reciprocal role.

The meeting of these lovers offers the optimal starting point for an analysis of the adaptive climax between *Lady Chatterley’s Lover* and *Etruscan Places*. A conversation between Clifford and his wife precedes the introduction of Mellors. The dialogue addresses Connie’s purported contentedness and also, perhaps, the tyranny of language:

> she was to be content to weave a steady life with him, all one fabric, but perhaps brocaded with the occasional flower of an adventure. But how could she know what she would feel next year? How could one ever know? How could one say Yes? for years and years? The little yes, gone on a breath! Why should one be pinned down by that butterfly word? Of course it had to flutter away and be gone, to be followed by other yes's and no's! Like the straying of butterflies (LCL 51).

Rather than voice this inner monologue, Connie responds to her husband’s inquiry, which is less a question and more of a plea for her submission to his opinions that the “sex thing” is nothing in the face of a long steady life bound by the ordinance of marriage (LCL 51). Obligingly, she quips, “I think you're right, Clifford. And as far as I can see I agree with you. Only life may turn
quite a new face on it all” (LCL 51). No sooner are those words uttered than life does turn a new face on it all, both literally and figuratively, as the new gamekeeper enters the scene.

For, while Connie was speaking to Clifford, “she was watching a brown spaniel that had run out of a side-path, and was looking towards them with lifted nose, making a soft, fluffy bark. A man with a gun strode swiftly, softly out after the dog, facing their way as if about to attack them; then stopped instead, saluted, and was turning downhill” (LCL 51). This new face is immediately aligned with Lawrence’s vision of the ancient Etruscan Lucumo through his canine companion. Mellors’ introduction offers a quick succession of Etruscan elements, which are enforced through their repetition both within this scene and throughout the rest of the novel. Lawrence notes that the ancient Lucumones’ burial decor always featured “a dog at their feet,” and commented that the dog “is man's guardian even on the death journey” (EP 28,58). The introduction of Mellors is only the first of many scenes, which strengthen the ties between the man and his dog, as Etruscan Lucumo was in the constant companionship of his dog. Lawrence dotes on this detail in his *Etruscan Places*. He writes, “here, in this faded Etruscan painting, there is a quiet flow of touch that unites the man and the woman on the couch, the timid boy behind, the dog that lifts his nose” (EP 84). This dog, who is included in the mystical experience of touch, lifts his nose. The etruscan dog is a mirror image of Mellors’ companion, who “was looking towards them with lifted nose” (LCL 51). Interestingly, the words used to describe the sound of Mellors’ dog are all synesthetic, employing adjectives that appeal to the sense of touch; his bark is “fluffy” and “soft” (LCL 51). The novel’s passage offers further characterization of Mellors as he “glanced round for his dog... a thoughtful glance... He looked like a free soldier rather than a servant. And something about him reminded Connie of Tommy Dukes” (LCL 53).
Connie looks to Tommy Dukes as “her oracle,” and through this connection Mellors can be placed in harmony with Dukes’ speeches concerning touch (LCL 63).

Another Etruscan analog appears in this introductory scene. Mellors performs a curious gesture that may be interpreted as the Etruscan salute of the Lucumones. In *Etruscan Places*, Lawrence implores the modern Italian to “discover the Etruscan salute, and salute all’etrusca!” He describes the Lucumones’ “usual etruscan gesture” as a “salute with the right hand curved over” (EP 49). Connie’s first vision of Mellors offers that he “saluted, and was turning downhill...” (LCL 51). Over a dozen passages\(^{48}\) repeat the ritual of this gesture, and the same passage offers yet another salute as Mellors, “faced lightly round, and saluted with a quick little gesture” (LCL 52). The salute is sometimes used in intimate settings. For example, Mellors once “straightened himself and saluted, watching her [Connie] in silence, as she came forward with weakening limbs” (LCL 109). At other times the salute enforces the ancient/modern binary. The modern colliers lack the gesture; they gathered in little gangs as they “stood and stared without either salute or anything else” (LCL 185). Each of these details leads us to oscillate between source and target text, weaving together a new meaning in the novel informed by these alignable similarities.

Another analog ties Mellors to Etruria, one entangled with the meanings of Lawrence’s white mind and dark heart. One of the most striking aspects of Lawrence’s Etruscan essays is their spirit of place, specifically, the contrast between the modern world and the ancient realm of the Etruscans. This contrast is established through an attachment to the physical setting

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\(^{48}\) See LCL 51, 68, 101, 104, 109, 145, 185, 188, 224, 231, 276.
associated with each time period. The ancient world of the Etruscans is tied to the underground, the dark landscape of the tombs, while the modern period becomes the bright upper world of day.

At first Lawrence comments that the tombs seem “a dark little hole underground: a dark little hole, after the sun of the upper world” (EP 60). This “upper world” fades as Lawrence becomes accustomed to the dark, and once Lawrence “starts looking” he realizes “there is much to see,” a world so “quick with life” that he did “not seem to be underground at all, but in some gay chamber of the past” (EP 67). Lawrence’s lively descriptions of the frescoes and tombs end with his (re)entry “up the steps into the upper world” (EP 64). As he becomes more invested in the life of the tombs he rejoins the modern world “bewildered,” and “gradually the underworld of the Etruscans becomes more real than the above day of the afternoon. One begins to live with the painted dancers and feasters and mourners, and to look eagerly for them” (EP 70).

Deepening the contrast between the upper and under worlds are Lawrence’s repetitive descriptions of his entry into the Etruscan tombs. These passages incorporate the themes of darkness and brightness, themes entrenched in the meaning of Lawrence’s revisioning of Plato’s *Phaedrus*. Lawrence, upon exiting the darkness of the Etruscan world, writes, “up we go, a little bewildered, into the afternoon sun, across a tract of rough, tormented hill, and down again to the underground, like rabbits in a warren” (EP 70). The upper world is described as rough and tormented, while the underworld is likened to a warm home. This theme is carried throughout the Etruscan essays. For example, Lawrence writes, “we climb up to the world, and pass for a few minutes through the open day. Then down we go again,... we go from tomb to tomb, down into the dark, up again into the wind and brilliance; and the day rolls by” (EP 75, 119).
We may map this source analog to its target in LCL, another facet of Mellors’ role as a Lucumo: his repeated portrayal as one who is constantly moving “down” or “downhill” and his strong associations with “darkness” (LCL 51). In the passage addressed above, Connie’s first vision of Mellors reveals that he “was turning downhill” (LCL 51). Furthermore, the first physical description of Mellors offers “he was a man in dark green velveteens and gaiters, the old style, with a red face and red moustache and distant eyes. He was going quickly downhill” (LCL 51). Here, the mention of Mellors’ downward movement forms a contrast with the static, aesthetic description that occupies the rest of this short paragraph, weaving his appearance with the ritualistic repetition of downward motion. Mellors’ belongs to the wood just as Clifford belongs to Wragby. The wood, like the Etruscan tombs, is enveloped in “darkness,” and one must go “down” into them (LCL 137). In fact, “all the lower wood was in shadow” even while “the sky overhead was crystal,” and Mellors often “came through the lower shadow towards” Connie (LCL 137). Mellors was always coming out of the darkness, and there is a “wolish darkness on the down-slope” into the “old oak wood” (LCL 100). Furthermore, the “sharp lights” of the modern “industrial” world stand as a mocking contrast to the “soothing,” “ancient melancholy” of the “old wood” (LCL 74). Thus, the wood is aligned with the natural world of the ancient Etruscans, as again we oscillate between LCL and EP.

The text of the novel richly portrays Mellors’ ties to the wood as it describes one of his post-tryst walks:

> driven by desire and by dread of the malevolent Thing outside, he made his round in the wood, slowly, softly. He loved the darkness and folded himself into it. It
fitted the turgidity of his desire which, in spite of all, was like a riches; the stirring restlessness of his penis, the stirring fire in his loins! (LCL 141).

Mellors’ dark heart triumphs in spite of the malevolence of modern society, the “Thing” of mechanized greed (LCL 141). Interestingly, this poignant description offers several alliterative clusters, which form an appeal to a reader’s sensory perception.

Yet another passage continues the mapping between LCL and EP, echoing Lawrence’s descent into the dark tombs. Mellors “turned into the dark of the wood... went down again in to the darkness and seclusion of the wood” (LCL 139). This seclusion was marred as “the industrial noises broke the solitude, the sharp lights, though unseen, mocked it” (LCL 139). The passage continues as it develops the contrast between the ancient wood and modern society:

a man could no longer be private and withdrawn. The world allows no hermits. And now he had taken the woman, and brought on himself a new cycle of pain and doom. For he knew by experience what it meant. It was not woman's fault, nor even love's fault, nor the fault of sex. The fault lay there, out there, in those evil electric lights and diabolical rattlings of engines. There, in the world of the mechanical greedy, greedy mechanism and mechanized greed, sparkling with lights and gushing hot metal and roaring with traffic, there lay the vast evil thing, ready to destroy whatever did not conform. Soon it would destroy the wood, and the bluebells would spring no more. All vulnerable things must perish under the rolling and running of iron (LCL 140).
Here, Mellors faults modern industrial society and its evil brightness. In contrast, he sees Connie as apart from modernity; she is tied to the natural realm of the wood. Mellors finds Connie to have a natural tenderness:

she had some of the vulnerability of the wild hyacinths, she wasn't all tough rubber-goods and platinum, like the modern girl. And they would do her in! As sure as life, they would do her in, as they do in all naturally tender life. Tender! Somewhere she was tender, tender with a tenderness of the growing hyacinths, something that has gone out of the celluloid women of today. But he would protect her with his heart for a little while. For a little while, before the insentient iron world and the Mammon of mechanized greed did them both in, her as well as him (LCL 140).

These passages separate Mellors and Connie from the harsh modern world. They also strengthen the novel’s dichotomy between the modern and the ancient. Connie too had noticed the insentience of the outer world and preferred the “ancient,” “soothing” wood (LCL 74). In addition, Mellors speaks of “all naturally tender life” and Connie’s tenderness is compared to “growing hyacinths” (LCL 140). These passages conjure Lawrence’s discussion of the “overbearing” Romans who “would always succeed in destroying the natural flowering of life” so characteristic of the Etruscans (EP 56).

Mellors brings vitality and quickness into the text. He is a “sudden rush,” a “threat” to the slow enduring marriage of the Chatterleys (LCL 51). His emergence into the novel is “swift,” as he is seen striding “swiftly, softly,” through the wood (LCL 51). Up to this point the text has focused on the unvital mental life at Wragby. As Clifford asserts, Connie’s life with him is
formed by “habit,” their marriage is “the long, slow, enduring thing” (LCL 49). Clifford goes on to reveal “the real secret of marriage,” of their marriage, is “not sex” but is rather two “interwoven” lives built upon the “day to day” existence (LCL 49). The “rhythm” of their life together is “slow” and “steady.” When faced with the idea that Connie might fall in love with a man “antipathetic” to himself, he refuses the idea, concluding, “your rhythm wouldn't let you” (LCL 49). However, Connie’s rhythm is about to change.

Mellors is described in a way that appeals to the senses rather than the mind, as does Clifford’s character. Alliteration and repetition become the key literary devices used in connection with Mellors. For example, this passage offers that Mellors “strode swiftly, softly,” was a “swift menace,” and later “came forward with the same curious swift, yet soft movements” (LCL 51). This repetition of alliterative adjectives carries through to the rest of the erotic scenes, enforcing Mellors’ sensual presence.

After being faced with Mellors’ new rhythm, Connie becomes aware of her dissatisfaction with her mental life with Clifford. Mellors was able to recognize this realization in Connie, that “a strange, weary yearning, a dissatisfaction had started in her. Clifford did not notice: those were not things he was aware of. But the stranger knew. To Connie, everything in her world and life seemed worn out, and her dissatisfaction was older than the hills” (LCL 54). This dissatisfaction develops the next day to encompass the “mental life,” as “all the brilliant words seemed like dead leaves, crumpling up and turning to powder, meaning really nothing, blown away on any gust of wind. They were not the leafy words of an effective life, young with energy and belonging to the tree. They were the hosts of fallen leaves of a life that is ineffectual” (LCL 56). Connie begins to feel that her “marriage, their integrated life based on a habit of intimacy...
became utterly blank and nothing. It was words, just so many words. The only reality was
nothingness, and over it a hypocrisy of words” (LCL 57). As a man of action, Mellors offers a
“new hope” for the awakening of Connie into a new and vital life and the revitalization of those
great words” that “were cancelled for [Connie’s] generation” (LCL 70). Certainly sex, “the last
of the great words,” becomes a vital and integral part of Connie’s life (LCL 70).

**Analogs of Color: For the Heroes are Dipped in Scarlet**

After her encounter with Mellors, Connie also realizes her dissatisfaction with Michaelis.
Michaelis was “the occasional flower of adventure,” and may be seen as a transitional figure,
antipathetic to Clifford. Michaelis is “discovered to be anti-English,” and was to some extent cut
off from modern society (LCL 51, 21). Thus, he is set at odds with Sir Clifford. Of Michaelis, the
text reads, “he seemed so old... endlessly old, built up of layers of disillusion, going down in him
generation after generation, like geological strata” (LCL 23). This representation of Michaelis as
tied to the ancient past is oft repeated, and distances him from Clifford, who is the epitome of the
modern man. Here, the overarching analogy between LCL and EP structures and informs our
interpretation of Michelis.

Michaelis’ ties to the “ancient” “old race” draws Connie to him (LCL 28). Interestingly,
his description often echoes passages in Lawrence’s Etruscan essays. Michaelis, in his best
moments, is always looking “sideways, downwards,” occasionally with “that strange immobility
of an old race that is hardly here in our present day” (LCL 26). It was this “that really made
Connie lose her power to see him detached from herself” (LCL 26). Here, we are reminded of
Lawrence’s descriptions of the funeral statues of the ancient Etruscans. It was the common
artistic practice for the figures to look sideways and downwards. Furthermore, Lawrence took note of their arched brows, large eyes, and queer half smiles. Their appearance is shadowed by Michaelis, with his “silent, enduring beauty... his rather full eyes and the strong queerly arched brows, the immobile, compressed mouth; that momentary but revealed immobility, a timelesslessness which the Buddha aims at... something old, old and acquiescent in the race! Aeons of acquiescence in race destiny, instead of our individual resistance” (LCL 24).

Michaelis and Connie’s relationship ends when Michaelis becomes dissatisfied with their sexual relationship. Connie then feels her life fall “apart from his as completely as if he had never existed” (LCL 62). She finds a reason for their fall in his modernity, “because, after all, like so many modern men, he was finished almost before he had begun” (LCL 62). Michaelis’ is further tied to the modern through his whiteness. His suits are “pale-colored” and the orchids he brings Connie are similarly void of color (LCL 58). He wears “white suède gloves” that form a material barrier between his touch and the physical world (LCL 58).

In contrast, Mellors is surrounded by vital, vibrant colors. He wears “dark green velveteens and gaiters” and has “a red face” (LCL 51). He speaks of a scarlet aesthetic. This symbolic scarlet offers yet another Etruscan analog that runs throughout Lady Chatterley’s Lover. Here, in this novel, is:

the ancient idea of kings, kings who are gods by vividness, because they have gathered into themselves core after core of vital potency from the universe, till they are clothed in scarlet, they are bodily a piece of the deepest fire.... Etruscan Lucumones, they are the living clue to the pure fire, to the cosmic vitality. They are the vivid key to life, the vermilion clue to the mystery and the delight of death
and life. They, in their own body, unlock the vast treasure-house of the cosmos for their people, and bring out life, and show the way into the dark of death, which is the blue burning of the one fire. They, in their own bodies, are the life-bringers and the death-guides, leading ahead in the dark, and coming out in the day with more than sunlight in their bodies (EP 91-92).

Mellors is such a guide; he leads Connie through the essential death of her white mind. This death allows for the rebirth of her physical self. In kind, Connie brings Mellors back to life, to love. The Lucumones of *Lady Chatterley’s Lover* are the living clue to the symbolic knowledge and vitality of the ancient Etruscans. This passage in *Etruscan Places* reveals the reconciliation between the white mind and the dark heart, a reconciliation that culminates in ultimate vitality. In Plato’s myth, only gods are able to bring their two horses together in harmony to lead the chariot of their souls. In Lawrence’s novel, this eudaemonistic harmony is achieved once Connie and Mellors have ventured into the darkness of (a small) death through the joining of their own bodies (and phallic consciousness). At the close of the novel, the burning of their fire, their flame, gathered more brightness, more knowledge, than all the white minds of the novel had afforded.

In mapping the symbolic Etruscan scarlet onto the novel’s scarlet aesthetic, we are driven to seek further inferences and intertexts to deepen and support the analog. Lawrence believed that the first step in altering one's consciousness must be aesthetic. In his essay, “Red Trousers; Oh For a New Crusade,” he states that a crusade towards a shift in consciousness must “start with externals, and proceed to internals” (LE 138). He felt that the external appearance of man has a profound effect on his internal life. Thus, “if a dozen men would stroll down the Strand and
Piccadilly tomorrow, wearing tight scarlet trousers... then the revolution against dullness which we need so much would have begun” (LE 138-9). Thus, the attack on modernism must begin with an attack on the dullness of modern aesthetics. This vermillion, this scarlet, this redness, is the color of the ancient Etruscan godliness of men, to which this symbolism in both essay and novel is a direct analogy. This is the significance of Mellor's scarlet trousers. In his manifesto, his longest vernacular speech, Mellors asserts the eudaemonistic importance of an *Etruscan* aesthetic:

> let's live for summat else. Let's not live ter make money... let's drop the whole industrial life an' go back... I'd get my men to wear different clothes: appen close red trousers, bright red, an' little short white jackets. Why, if men had red, fine legs, that alone would change them in a month. They'd begin to be men again, to be men... once the men walked with legs close bright scarlet, and buttocks nice and showing scarlet (LCL 263).

The men of the Etruscan frescoes are of “a dark red colour” (EP 77). As Lawrence says, “that is the convention, in the tombs. But it is more than convention. In the early days men smeared themselves with scarlet when they took on their sacred natures...they rubbed red pigment into their skins” (EP 78). When Mellors wishes that men would don scarlet trousers he urges for a convention that would alter the consciousness of men. Mellors hopes to ascribe this powerful, ancient color to modern men. For the Etruscan, “man all scarlet was his bodily godly self.” Red is the color of blood, and it is the blood that signifies the godliness in man. Thus, if men would abandon their dull drappings and, rather, fit themselves with the scarlet “sails from Tarquinia,” they could begin their voyage towards blood/phallic consciousness (EP 44). The
vermillion of the gods is entwined with Lawrence's blood consciousness. As a symbol of the mysticism associated with the god-infused body, scarlet becomes linked to the blood, which is the spiritual substance of man. Surely, if the men wore scarlet trousers they would act much like the young Italian boy Lawrence commented on in his *Etruscan Places*, “a little lad in long trousers, who would seem to be only twelve years old but who has the air of a mature man, confronts us with his chest out” (EP 50).

Lawrence writes, “vermillion is the color of the sacred or potent god body…. we know the kings of ancient Rome, who were probably Etruscans, appeared in public with their faces painted vermillion with minium” (EP 78). This analog places Mellors on a journey to his godly state. This idea is built through our mapping to *Lady Chatterley's Lover*, that Mellors, by vivid attention and subtlety and exerting all his strength, could draw more life into himself, more life, more and more glistening vitality, till he became shining like the morning, blazing like a god. When he was all himself he painted himself vermillion like the throat of dawn, and was god's body, visibly, red and utterly vivid. So he was a prince, a king, a god, and Etruscan Lucumo; Pharaoh, or Belshazzar, or Ashurbanipal, or Tarquin (EP 91).

What Mellors desires for humankind is that they too should assume the color of the gods. The urgency in his declaration of the necessity for the wearing of scarlet symbolizes his donning of the color and his willful ascension to the godly plane. Mellors is a Lawrentian Lucomo, the prince-magistrate, whose primary role is one of religious seer. As a leader in the sacred mysteries, it is Mellors who leads his men in India, and who is looked up to by the common soldier.
The connections between Mellors’ scarlet and the novel’s phallic symbols also manifest when mapped to their source domain through intertextual incidence. The opening lines of Lawrence's poem, “For the Heroes are dipped in Scarlet,” blends the symbolism of the ancient godly vermilion with the Lawrentian blood consciousness. The poem references the times of the Etruscans, “before Plato told the great lie of ideals” (CP 575). These are the ancient Etruscan heroes who are dipped in scarlet. These poetic men are covered in vermilion “like the dolphin's blood” (CP 575). Not only does this line connect the scarlet symbolism to the blood, but it also connects the scarlet and blood symbolism to the phallus. This is accomplished by the dolphin reference. In *Etruscan Places*, Lawrence, entranced by the fresco dolphins of the Tarquinian tombs, deems them the phallic deities of the sea. The connection between scarlet, phallic, and blood symbolism is also seen in *Apocalypse*, when Lawrence writes, “the heroes and the hero-kings glowed in the face red as poppies that the sun shines through. It was the colour of glory: it was the colour of the wild bright blood, which was life itself” (AP 153). Thus, scarlet is the color of physical life, the life of the phallus and the blood, an Etruscan eudaemonism admonished in the novel through this analogical register. Mellors is a hero, a king, a savior, a Lucumone. Here, the analog between EP and LCL of the symbolic scarlet guides our a tracing through numerous intertexts outside of the source and target domains, gathering references that each stand in support of the source-target mapping.

Etruscan symbolism also surfaces through the guise of animal imagery. In the above-mentioned poem, “men slimly went like fishes, and didn't care” (CP 575). In *Lady C*, the idea is introduced, that “our world... is really the bottom of a deep ocean... and men and women are a species of fish” (LCL 321). This fishiness is a reference to the Etruscan tombs and the stories
Lawrence imagines they portray. The dolphin also surfaces in the novel, as the soul, which “does come up, shoots like kittiwake into the light, with ecstasy, after having preyed on the submarine depths. It is our moral destiny” (LCL 321). The kittiwake reference lingers with the aura of the Etruscan bird anima. Thus, our soul is seen in the birds, fish, and dolphins, the marine phallus that represents the deep life of the blood.

The novel is further aligned with its source domain of Etruria (as mediated through *Etruscan Places*) through their shared use of duality. In *Etruscan Places*, Lawrence imposes a spiritual significance on the pairs depicted on the walls of the Etruscan tombs. The novelist discusses this duality of symbolism at length, as found in the lions and deer, day and night, and life and death dichotomies of the frescoes. He writes, “as soon as the world was created, according to the ancient idea, it took on duality. All things became dual, not only in the duality of sex, but in the polarity of action;” this is the “impious pagan duality,” which did not “contain the later pious duality of good and evil” (EP 100).

This alignable similarity of form and meaning in the concept of duality appears in the novel through the mind-body dichotomy of the Plato analogy, in gender duality, in civilization (Wragby) vs Nature (the wood), and in Clifford vs. Mellors. This binarism, which we’ve mapped to the source domain, finds representation in a multitude of themes (including all so far discussed). For example, throughout the novel, Mellors is characterized by his predilection for vernacular. Although able to speak without accent, Mellors often prefers to use the language of the people. By resorting to vernacular during physical and emotional peaks, Mellors’ vernacular becomes tied to the physical realm. While his speech represents the physical side of the dichotomy, Clifford’s over-literary talk represents the life of the mind. This duality of speech is
reflected in the contrasting literary devices used in Mellors and Clifford’s dialogue. Mellors’
dialogue is characterized by alliteration and other devices that engage sound, while Clifford’s
dialogue is overly metaphorical and detached from the senses.

The dualities of the novel are resolved through an Etruscan quest for bodily awareness
and acceptance, which is a major theme of the novel. The eudaemonistic quest culminates in the
escape of Connie and Mellors from the novel's antagonists and to “the treasure of treasures...
which, in every creature, in every tree or pool, means that mysterious conscious point of balance
or equilibrium between the two halves of the duality” (EP 100). Thus Mellors' farewell speech,
which is often criticized for its discontinuity, can be seen as a resolution: a final balance between
the mind and the body. Although Mellors can be criticized for being overly physical, he
eventually achieves a balanced disposition. The novel reveals that Mellors was not only his
Lady’s lover; he was once “an officer and a gentleman” in a previous life, and “he was a
reader” (LCL 255). These descriptions bring Mellors into the life of the mind.

Mellors use of both a dialect and King's English again brings us to the ancient
Lucumones. In *Etruscan Places*, Lawrence writes that, "only the Lucumones... kept up an
intercommunion, speaking “correct” Etruscan, while the people, no doubt, spoke dialects varying
so widely as to be different languages” (EP 72). Only the Lucumones spoke both correct
Etruscan and the dialects of the people. In the novel, only Connie and Mellors speak in both
manners. Again, we’re driven to oscillate between source and target texts, building analog after
analog between the works.
A Lucumo held the “responsibility of knowledge for the people” (EP 107). Mellors expresses his sense of responsibility for the masses in a manor parallel to the Lucumones’ ways. Lawrence writes:

the clue to the Etruscan life was the Lucumo, the religious prince.... People and warriors and slaves did not think about religion. There would soon have been no religion left. They felt the symbols and danced the sacred dances. For they were always kept in touch, physically, with the mysteries. The "touch" went from the Lucumo down to the merest slave. The blood-stream was unbroken. But "knowing" belonged to the [Lucumone] (EP 93).

The responsibility that the Lucumo feels for the masses, mixed with the required reservation of true knowing for the few, is mirrored in Mellors' last letter. He proselytizes:

they [the masses] ought to learn to be naked and handsome, and to sing in a mass and dance the old group dances.... that's the only way to solve the industrial problem: train the people to be able to live, and live in handsomeness.... But you can't do it. They're all one-track minds nowadays. Whereas the mass of people oughtn't even to try to think, because they can't! They should be alive and frisky, and acknowledge the great god Pan. He's the only god for the masses, forever. The few can go in for higher cults if they like. But let the mass be forever pagan (LCL 362-363).

This passage illustrates Mellors' desire for a revolution in the masses that would bring the people into touch. Should the masses take Mellors' prophetic advice they would return to the higher, “in touch,” status held by the masses of Etruria (EP 93). Alas, as both *Etruscan Places* and *Lady*
*Chatterley's Lover* show, true knowledge is reserved for the few. The masses could not handle such a shift in consciousness. This must be reserved for the Lucumones, for the flowers, for Mellors and Connie. Not every man and woman can be an alternating consciousness.

As Lawrence writes in *Etruscan Places*, the masses “cannot be more than a little aware” (EP 92). So they are given “symbols, ritual and gesture, which will fill their bodies with life up to their own full measure. Any more is fatal.... The esoteric knowledge will always be esoteric, since knowledge is an experience, not a formula... A little knowledge is indeed a dangerous thing. No age proves it more than ours” (EP 92). This quote further enforces the ubiquitous contrast between the ancient aura of Etruria and the problematic industrial age. It also places the source of knowledge in experience, where it is tied to the physical senses rather than the inner workings of the mind through formula. However, it is possible for a few members of the masses and the readers to fill their bodies to the measure of the Lucomones, should they recognize the significance of the symbols awarded them.

**Analogs of Place: Of Wragby & The Wood**

Connie, having severed herself from her modern ties after the introduction of Mellors, is able to form a connection with the symbolic essence of the wood. Previously, Connie had run to the wood as a means of escape, to “get away from the house and everybody” (LCL 20). The wood was “her one refuge, her sanctuary” (LCL 20). But, as the text states, “it was not really a refuge, a sanctuary, because she had no connexion with it. It was only a place where she could get away from the rest. She never really touched the spirit of the wood... if it had any such nonsensical thing” (LCL 20). According to Frazer’s *The Golden Bough*, forests were sacred
sanctuaries for ancient civilizations. For the Etruscans and other ancient peoples, trees were revered and respected and those who abused them were severely punished. Here, our source domain structures our interpretation of the target domain, giving additional significance to the woods of the Chatterley estate.

As Connie’s ties to the modern world are broken, she is opened to the ancient possibility of a connexion with the wood, and its old trees. The Chatterley wood is described as ancient, in a way that echoes Lawrence’s Etruscan poem, “Cypresses.” In the novel, the woods are imbued with emotion:

from the old wood came an ancient melancholy, somehow soothing to her, better than the harsh insentience of the outer world. She liked the inwardness of the remnant of forest, the unspeaking reticence of the old trees. They seemed a very power of silence, and yet a vital presence. They, too, were waiting: obstinately, stoically waiting, and giving off a potency of silence. Perhaps they were only waiting for the end; to be cut down, cleared away, the end of the forest, for them the end of all things. But perhaps their strong and aristocratic silence, the silence of strong trees, meant something else (LCL 75).

This other meaning for the strength and aristocratic silence of the wood’s trees may be mapped to our source domain through a mediated allusion to Lawrence’s poetry. In “Cypresses,” “the undeliverable secret” of the Etruscans is held within the silent trees whose “tongues are dead... / Having shed their sound and finished all their echoing” (25-6). These silent, “unspeaking” trees

49 Again, an analog between source and target text drives us to the use of additional intertexts through alignable similarities that engage with the overall mapping.
become a symbol, a monument to the “flickering men of Etruria.” (CP 235). Lawrence expresses his desire to reawaken their old Etruscan eudaemonist conception of life:

What would I not give

To bring back the rare and orchid-like

Evil-yclept Etruscan... (52 - 54).

I invoke the spirits of the lost.

Those that have not survived, the darkly lost,

To bring their meaning back into life again,

Which they have taken away

And wrapt inviolable in soft cypress-trees,

Etruscan cypresses (67-72).

Through the invocation of their symbols, the “dark thought” of the Etruscans becomes the dark heart of the novel, an analogical meaning of the Chatterley wood’s strong and silent trees (CP 235).

Lawrence once wrote of Lady C, that, “the wood is of course unconscious symbolism” (CL 467). The wood stands, an Etruscan opposition to the walls of Wragby and modern England. The walls and the wood form a subset of the pervasive Lawrentian duality. The white mind is associated with rational society and civilization, which can be seen as the mind of existence. The walls are a product of civilization and are thus aligned with the negative polarity of the mind. In Etruscan Places, Lawrence states his beliefs concerning walls and their connections to the mind. He writes, “it is better to keep life fluid and changing than to try to hold
it fast down in heavy monuments. Burdens on the face of the earth are man's ponderous erections” (EP 52). In Lawrence’s writings, walls become a representation of the intrusion of man's mind mechanics upon the natural realm. Connie often speaks of the terror invoked at the thought of walls, and of Wragby. She “hated every minute inside the Wragby walls,” and the thought of returning to them after a tryst with Mellors was particularly painful (LCL 354). Commenting on this, Connie complains, “she would have to go back to Wragby and its walls, and now she hated it, especially its thick walls. Walls! Always walls!” (LCL 176).

In one of his many Etruscan letters, Lawrence connects this symbolism to the Etruscan countryside, writing, “the country around is pretty - all poderi and pine woods, and no walls at all” (CL 313). The Wragby Gate, a veritable “porta dell' arco,” stands between these two poles, between the Etruscan and the modern world. On one side of this gate lies the woods and Mellors’ cottage, a wooden construct reminiscent of the Etruscans’ “little wooden temples... small, dainty, fragile, and evanescent as flowers” (EP 51). In Mellors’ cottage, Connie and Mellors become isolated from the woes of modern England and rejoice in the flowering pagan rituals of Etruscan eroticism.

The connection between the woods and flowers is seen in several other analogical passages. D.H. Lawrence wrote most of *Lady Chatterley's Lover* as he sat with his back against a small tree nestled in the hills of Italy (FLC vi). One scene in the novel brings this pose to mind. Constance lies in repose in the wood, “with her back to a young pine-tree, that swayed against her with curious life, elastic and powerful rising up. The erect living thing, with its top in the sun... she watched the daffodils go sunny in a burst of sun, that was warm on her hands and lap. Even she caught in the faint tarry scent of flowers.” This passage illustrates the connections
between the wood and flower imagery and the equality of female and male phallic symbolism.

While the pine tree is a masculine ithyphallic symbol, the flower is the female facet of the phallus. This concept of the flower as female phallus surfaces when mapped to the meaning of the Etruscan symbol of the flower.

**From Tomb to Page: An Adaptive Climax in Ekphrasis**

What follows is a mapping of two of *Lady C*'s most climactic passages to two Tarquinian frescos (as mediated by the source domain of *Etruscan Places*). Through this mapping, I posit that Lawrence is working to offer an equality between the sexes exemplified in reciprocal phallic symbols. These symbols are the flower and the bird/chick of the frescos at Tarquinia, which represent feminine and masculine phallic gifts, respectively. These two paired adaptive passages serve as an equalist indoctrination into the “future religion” of *Etruscan Places* – the climax of Lawrence’s eudaemonistic adaptation.

**The Feminine Phallic Gift: An Etruscan Wedding Ritual**

The flower imagery of *Lady Chatterley's Lover* brings to mind Lawrence’s essays “Flowery Tuscany” I, II and III. Lawrence also discusses flowers in *Etruscan Places*, once describing the hill upon which “the Etruscan Tarquinii surely stood” as having “many flowers, the blue grape-hyacinth and the white, the mauve tassel anemone with the red, sore centre” (EP 133). Lawrence eroticizes these flowers. His description of the anemone conjures the image of a
Georgia O’Keeffe’s flower. The red, sore centers of Lawrence’s anemones allude to the clitoris, the female phallus or “mound of Venus,” as referenced in *Lady Chatterley’s Lover* (LCL 255). Lawrence’s flowers are mystical entities that bloom throughout his fiction and non-fiction writings, forming a wreath of intertextual analogy we are driven to deploy in service of our mapping between *Etruscan Places* and *Lady Chatterley’s Lover*. In praise of *Etruscan Places*, poet Max Plowman likened Lawrence's work to these treasured symbols. He wrote of Lawrence that, “the poet in him buds and blossoms as spontaneously as a wild rose. The whole quality of the book is a wild rose quality; it has the same delicacy, the same open inevitability.”

Coincidentally, the wild Etruscan rose is quite reminiscent of the pink campion flower of *Lady C.* (SK iii).

Lawrence often lingered in the Etruscan tombs, finding significance in the dancing flowered figures. He found the garlands of flowers on the walls of the tombs to be a potent “female festive offering” (EP 69). He writes of this interpretation in his description of Tarquinia’s Tomba della Caccia e Pesca (Tomb of Hunting and Fishing) that “the bands of color that border the wall at the top hang the regular loops of garlands, garlands of flowers and leaves and buds and berries, garlands which belong to maidens and to women, and which represent the flowery circle of the female life and sex” (EP 69). These feminine symbols are the flowery garlands that make their way into Mellors’ mustache and Connie’s breast during the erotic climax of Chapter XV. Connie gives a phallic gift to Mellors, adding to the power of their relationship. This, perhaps the most infamous and certainly the most intimate, passage of the novel offers a direct

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50 See Georgia O’Keeffe’s 1928 “Calla Lilies with Red Anemone.” Interestingly, O’Keeffe’s “The Lawrence Tree” offers a reciprocal image of a phallic red tree. Its branches resemble veins and its foliage is a dark cloud that emanates from the head of the tree.
adaptation of an Etruscan fresco. This fresco is described by Lawrence in *Etruscan Places*: “the maid offers the man a garland, the rim of flowers... which can be placed over the man’s head and laid on his shoulders, in symbol that he is invested with the power of the maiden's mystery and different strength, the female power.” Lawrence continues, claiming that the Etruscans’ placing of flowers on the body was a “sign of power added” (EP 96).

Following is an image of the frescoed tomb on which Lawrence writes. Flower garlands are also shown hanging at the left of the scene. Some are being strung together by two women, one of whom turns to watch heralded, lauded events; we see a young man playing music to mark the occasion. At the center of the work we find that which Lawrence adapts in *Lady C*, an Etruscan wedding. Here we find the image of a woman gifting a garland of flowers to her partner; she is painted in the act of placing the garland upon him. A gift, as we’ve seen, that Lawrence imparts as a transformative sign of feminine power added.

![Image of frescoed tomb](image)

51 And so we map the ekphrastic passage in the novel to the ekphrastic passage in *Etruscan Places*, both of which we may also map to the work of art itself, the fresco.
The novel’s adaptive passage begins when Constance ventures out into a storm, followed (chased) by Mellors, who “took her” on the path in the wood. After, she returns to the gamekeepers hut with arms full of flowers from the wood – bearing garlands of female power: “she came slower, gathering forget-me-nots and campion and bluebells… she came with her flowers… she looked another creature” (225) Later on in the passage, we find the offering of this garland:

She threaded two pink campions in the bush of red-gold hair above his penis…. And she pushed a bit of forget-me-not in the dark hair of his breast….

'Make a calendar of me!' he said. He laughed, and the flowers shook from his breast.

'Wait a bit!' he said.

He rose, and opened the door of the hut. Flossie, lying in the porch, got up and looked at him.

'Ay, it's me!' he said. (231)

Here, we see hints of transition in Mellors, as he strangely reassures his dog of his being. At this point, Mellors leaves the hut, only to return with more flowers. Here, we find Connie’s earlier non-human description echoed and directed at Mellors, who seemed to her then, “not quite human.” The scene continues and Lawrence weights the events by announcing the gifting and adorning to flowers to enact a marriage between Constance and Mellors:

He had brought columbines and campions, and new-mown hay, and oak-tufts and honeysuckle in small bud. He fastened fluffy young oak-sprays round her breasts, sticking in tufts of bluebells and campion: and in her navel he poised a pink campion flower, and in her maiden-hair were forget-me-nots and woodruff.
'That's you in all your glory!' he said. 'Lady Jane, at her wedding with John Thomas.' And he stuck flowers in the hair of his own body, and wound a bit of creeping-jenny round his penis, and stuck a single bell of a hyacinth in his navel. She watched him with amusement, his odd intentness. And she pushed a campion flower in his moustache, where it stuck, dangling under his nose.

Again, we find the marriage mentioned, this time signaling a shift away from Connie and Mellors to… Lawrence doesn’t say, but he has hinted well enough. Here, we find our Etruscan Lucumones. This is the recreation of an Etruscan ritual, after all:

'This is John Thomas marryin' Lady Jane,' he said. 'An' we mun let Constance an' Oliver go their ways. Maybe—' He spread out his hand with a gesture, and then he sneezed, sneezing away the flowers from his nose and his navel. He sneezed again.

'Maybe what?' she said, waiting for him to go on.

He looked at her a little bewildered.

'Eh?' he said.

'Maybe what? Go on with what you were going to say,' she insisted.

'Ay, what WAS I going to say?'

He had forgotten. And it was one of the disappointments of her life, that he never finished. (232)

While Lawrence never directly guides readers to his source domain, the analogs are staggering evidence of the adaptive connection between novel and Etruscan Places. This passage offers a rebirth, an initiation into a new Etruscan brand of marriage.
These erotic flowers are also aligned with the Lawrentian flame. Just as Connie and Mellors have “fucked a flame into being” so are “the flowers... fucked into being between the sun and the earth” (LCL 364). The flame and the flower are those “delicate” things, which require “patience” (LCL 364). Lawrence not only employs flower imagery to show a progression of the flame (the life of the body in his lovers) but also to provide a feminine fork of the phallic flame. The mystic passages of the novel are linked through the use of symbolic flowers, which are braided through the text of the novel just as they are through Connie's maidenhair. Early in the novel, there is “not even a single flower, only a dank ride in a motor-car” (LCL 12). This lack of Nature's sexual creatures is indicative of the novel's first section. The beginning of the novel reveals a Connie who is imposed upon by mechanized society, modernism, Clifford and the mental life. Only when she breaks free from this imposition will flowers, those mystical beings of the earth, surround her. As the novel progresses, we see “the occasional flower of an adventure” (LCL 51). Thus, we go from no single flower, to the occasional flower, to the plethora of flowers that can be seen in the later chapters of the novel. This progression, exhumed by a careful trace of the employed flower imagery, indicates Connie's evolution towards the life of the body. This evolution continues as Connie “pressed on among the flowers,” drifting further away from Clifford and closer to Mellors (LCL 134). This progression also signifies her journey towards a specific body, Mellors. He is another one of Nature's sexual beings, one “like a lonely pistil of an invisible flower!” (LCL 98). Furthermore, not only is Mellor's body like a flower, but his hands also held Connie “like flowers, so still and strange” (LCL 210). This idea of a progression (from mind to body consciousness) signified by flowers reappears in Chapter XIII,
where Connie follows Mellors through the wood where his “feet passing had kept a channel through the flowers” (LCL 220).

**The Masculine Phallic Gift: A First Encounter**

It is this flowery path that first brings Connie to Mellors’ cabin, the site of her first erotic encounter with the gamekeeper. This passage too offers alignable similarities to Lawrence’s symbolic depiction of Tarquinian tombs. Connie’s mystical mission begins with a symbolic gift, a bird. In our source text, *Etruscan Places*, birds (especially ducks) are “the symbol of man's own phallus and phallic life” (EP 96). Birds stand as a counterpart to flowers. Lawrence continues, describing an Etruscan fresco he re-creates in this pivotal scene of *Lady Chatterley's Lover*, “so you see a man holding in his hand the hot, soft, alert duck, offering it to the maiden... it is that part of his body that a man can offer to a maid. And it is that awareness or alertness in him, that other consciousness, that wakes the night and rouses the city” (EP 96). Thus, with the representation of this Etruscan imagery also within the novel there is a reciprocity of phallic gifts.\(^{52}\) We can see the reciprocal giving of these symbolic gifts depicted on Tarquini’s Tomb of the Painted Vases, on which Lawrence writes. These paired male and female phallic symbols pervade the tombs, as seen in our earlier image of the Tomb of Hunting and Fishing.

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\(^{52}\) Sadly, it is likely that the detail he describes may have been lost over time. Tourists used to have complete access to the tombs, but to preserve the frescos glass viewing doors were eventually added at the entry of the tombs. The Tomb of the Painted Vases is currently closed while teams work to cure the root rot infestation currently masking the frescos. I’ve included a digital drawing of the tomb’s fresco on the next page.
As does the man depicted in the fresco above, in *Lady C*, Mellors gives Connie a soft, alert chick to hold. This analogously profound gift of the phallus if followed by the couple’s first sexual experience together. The symbolic little chick is described in an ostensibly sexual manner, reminiscent of other passages in the novel that describe John Thomas. Mellors’ chick is an “atom of balancing life trembling through its almost weightless feet into Connie’s hands.” Held by her, “it lifted its handsome, clean-shaped little head boldly, and looked sharply round, and gave a little ‘peep’” (LCL 135). Connie becomes emotional in this moment and begins to cry. This prompts Mellors to take her into the hut, where they ignite their sexual relationship. This sequencing of events has seemed odd to readers (“Playing with baby chicks as ‘fourplay’?! How is that sexy?”), but makes sense when viewed in light of our source text. What Lawrence writes in *Etruscan Places* is true of Connie and Mellors’ burgeoning relationship: “in the beginning there was not a word, but a chirrup,” a “peep” (EP 57).

Bird symbolism pervades the novel in additional scenes. At one point, Mellors addresses Connie as “duckie,” the unadulterated Etruscan symbol of the phallus. Thus, Connie has become Mellors’ phallus, and he hers (LCL 218). *Etruscan Places* furthers the symbolism as Lawrence writes, “man's bosom mirrored itself in the bosom of the sky, or vise versa, the birds were flying
to a portentous goal, in the man's breast” (EP 97). Thus, birds, which “flew through the living universe as feelings and premonitions,” are symbolic also of “a deeper consciousness in the complex destiny of all things” (EP 97). The birds of Lady C belong to the deeper consciousness of the Etruscans, and they herald the complex destiny of Connie and Mellors’ erotic relationship.

**Touch Comes to the Lucumo and his Lady**

**Death and Rebirth Through Crisis: the Orgasm in *Lady Chatterley’s Lover***

While perhaps open to interpretation, one of Lady C.’s erotic passages may be read as detailing the exchange of manual pleasure. The erotic action of the text is interspersed with the couple’s conversation concerning a possible child. This oscillation between thought and action obscures the content of the sexual exchange. The erotic experience is revealed when just the action is considered:

she pulled open his clothing and uncovered his belly, and kissed his navel. Then she laid her cheek on his belly, and pressed her arm around his warm, silent, loins. They were alone in the flood.... She murmured, pressing her face against his belly.... at last... she felt the curious quiver of changing consciousness and relaxation going through his body.... She softly rubbed her cheek on his belly, and gathered his balls in her hand. The penis stirred softly, with strange life, but did not rise up. The rain beat bruisingly outside (LCL 262 -263).

His loins are warm and silent, like the dark flame of the silent Etruscans. The white mind is the antithesis of this warmth. It is a “cold unpleasant mind” obsessed with the noise and talk of so many words (LCL 269).
Chapter XV is host to the final initiation of Connie and Mellors into the dark flame of the Etruscan physicality. It begins with Connie and Mellors sitting in front of the fire while a thunderstorm rages. This combination of fire and water (as signified by the fire and storm) enforces the presence of an Etruscan duality and serves to set the adaptive scene of the chapter. The Etruscan held the elements in godly esteem. Connie and Mellors run out into the rain, dancing in the manner of the ancient Etruscans as described by Lawrence in his travel writings. This dancing in the elements, and subsequent lovemaking in the elements, further maps to the Etruscan domain. While resting in the cottage Mellors ponders the modern dilemma, that “all the modern lot get their real kick out of killing the old human feeling out of man” (LCL 260).

However, the thunderstorm is continually present in the passage, as “even then, he had one ear set backwards, listening to the storm over the wood” (LCL 260). Mellors’ dialogue is interspersed with the narrator’s reminders that “the thunder was rolling” (LCL 261).

Lawrence intends this thunderstorm to have an “exact esoteric meaning” (gained through its mapping to Etruscan Places) (EP 117). According to Lawrence, “Greek myths are only gross representations of certain very clear and very ancient esoteric conceptions, that are much older than the myths: or the Greeks. Myths, and personal gods, are only the decadence of a previous cosmic religion” (EP 117). Before the Etruscans adopted personal gods they worshiped the cosmos. In this cosmic religion, weather phenomena and the elements were worshiped and studied. In fact, the Etruscans employed an annual calendar that detailed the daily meaning of thunder. For example, passages corresponding to the approximate dates of this scene in Lady C. (the week before Thursday June 17th) offer: “if in any way it should thunder, there will be frequent death, yet prosperity.... there will be heat, burning but harmless.... there will be the fall
of a ruler" (de Grummond 182). Coincidentally, these passages allude to rebirth, the Lawrentian flame, and the fall of Clifford’s hold on Connie, respectively.

During the storm, Lawrence compares the cabin to “a little ark” (LCL 260). Although this ark has be read as a Christian symbol, it may also be interpreted as an Etruscan analog. Lawrence deduced that a “stone house” he had seen in an Etruscan tomb was: “Noah's Ark without the boat part: the Noah's Ark box we had as children, full of animals. And that is what it is, the Ark, the arx, the womb. The womb of all the world, that brought forth all creatures. The womb... in which lies the mystery of eternal life.” So, Mellors’ cabin, is compared to the arx, a feminine physicality that, like the phallus, brings forth life. Lawrence truly believed in the two phallic symbols of the arx (womb) and the phallus. He wrote:

perhaps in the insistence on these two symbols, in the Etruscan world, we can see the reason for the utter destruction and annihilation of the Etruscan consciousness. The new world wanted to rid itself of these fatal, dominant symbols, of the old world, the old physical world. The Etruscan consciousness was rooted quite blithely in these symbols, the phallus and the arx. So the whole consciousness, the whole Etruscan pulse and rhythm, must be wiped out (EP 31).

*Lady Chatterley’s Lover* is Lawrence's attempt to revive this ancient consciousness, to awaken the symbols and touch of Etruria.

Critics often note that the previous title of *Lady Chatterley's Lover* was 'Tenderness.' Tenderness is a major theme of the novel, which appears throughout the text as touch. Mellors' courage of tenderness enchants Connie. He exclaims boldly: “I stand for the touch of bodily awareness” (LCL 336). This assertion echoes the previous declaration of Tommy Dukes. As
we’ve seen, Mellors is the epitome of touch, Clifford is “just a negation of human contact.” whom Connie “never really touched” (LCL 15). The symbolic meaning of the novel’s touch reverberates in intertextual reference throughout Lawrence’s late poetry and Etruscan essays, but the theme of touch was born out of Lawrence’s travels to Tarquinia, our ultimate source domain. In *Etruscan Places*, he lovingly describes this tender touch, writing, “that again is one of the charms of the Etruscan paintings: they really have a sense of touch; the people and the creatures are really in touch.... there is a quiet flow of touch that unites the man and the women...” (EP 84). Thus, it is ‘the Etruscan touch’\(^{53}\) that communicates the tenderness in *Lady Chatterley's Lover*. One must be born into touch. Touch was a birthright of the ancient Etruscans. For the modern man and woman, touch comes through the rebirth of crisis.

Lawrence's letter to Reverend Robert Reid provides us with key insights into the nature of rebirth and consciousness conversion in *Lady Chatterley's Lover*. Here, Lawrence professed his belief in “the absolute necessity for sudden spiritual conversion,” the like of which is seen in the novel as the initiations of Connie and Mellors into their new physicality (CL 398). This sudden conversion is the changing consciousness of the orgasm. Chapter XV, an adaptive climax of the novel, is host to the Etruscan theme of touch, which becomes joined to the theme of rebirth.

Throughout Lawrence’s literature rebirth is often signified by the rising of the phoenix from its pre-existent ashes. It should be noted that the first edition cover of *Lady Chatterley's Lover* boasted a phoenix design. Mellors' assertion that he felt as if he had “died once or twice already,” is an allusion to his status as one of the novel's phoenixes (LCL 260). For, Lawrence

Historians have even gone so far as to adopt Lawrence's phrase 'the Etruscan touch' (EP 143).
believed that “a man is born first unto himself.” This is the birth into the physical life of the ancients, which concerns in the snatching of “pretty things” and “pleasant things tasted.” However, Lawrence continues, “most are born again... they are born into humanity, to a consciousness of all the laughing, and the never ceasing murmur of pain and sorrow that comes from the terrible multitudes of brothers” (CL 398). Mellors has died, and thus been reborn, once or twice already. His previous life in the army may be read as a life sorrowed by the terrible multitudes of brothers. The next line in the novel alludes to his imminent death/rebirth into the physical life, “yet here I am, pegging on, and in for more trouble” (LCL 260). This future death, in Lawrence’s cycle of multiple rebirths, is a return to the life of the blood and physical body that was experienced before the birth of man into humanity. Connie is also a phoenix; after the dance ritual and the flowering initiation, “she knew herself touched, the consummation was upon her, and she was gone. She was gone, she was not, and she was born: a woman” (LCL 174). Connie had died; Connie had risen, a woman.

However, Connie’s “tormented modern-woman's brain still had no rest,” as she questioned her choice to begin an erotic relationship with Mellors: “was it real?... She was old; millions of years old, she felt. And at last, she could bear the burden of herself no more” (LCL 137). So, unable to manage the burden of her modernity, Connie embarks on an erotic journey that put her modern mind to rest. Her journey will awaken the old, ancient connexion of tenderness, the Etruscan touch. Connie and Mellors’ relationship brings them both back to life anew. They discuss their rebirth:

"I thought I'd done with it all. Now I've begun again."

"Begun what?"
"Life."

"Life!" she re-echoed, with a queer thrill.

"It's life," he said. "There's no keeping clear. And if you do keep clear you might almost as well die. So if I've got to be broken open again, I have." (LCL 138).

In *Lady Chatterley's Lover*, orgasm is consistently associated with death and new life. Once Connie “yielded with a quiver that was like death, she went all open to him” (LCL 196). Her orgasm opened her to a new tender life with Mellors.

The Etruscans are known for their depictions of varied sexual acts. No act was deemed improper or immoral. Sex was exalted. The walls of their tombs illustrate a wide variety of erotic possibilities. The Tarquinian tomb of flagellation illustrates Etruscans engaging in oral sex. Lawrence’s novel shows the same tendency, as one erotic episode offers:

she [Connie] quickly kissed the soft penis, that was beginning to stir again. "Ay!"

said the man, stretching his body almost painfully... The quiver was going through the man's body, as the stream of consciousness again changed its direction, turning downwards. And he was helpless, as the penis in slow soft undulations filled and surged and rose up, and grew hard, standing there hard and overweening, in its curious towering fashion. The woman too trembled a little as she watched (LCL 253).

This passage has Connie’s kissing bringing Mellors to climax and the sex that ensues brings Connie to an wordless orgasm:

And she quivered, and her own mind melted out. Sharp soft waves of unspeakable pleasure washed over her as he entered her, and started the curious molten
thrilling that spread and spread till she was carried away with the last, blind flush of extremity (LCL 253).

An oral episode is again the precursor to sex. This time Mellors’ kisses bring Connie to crisis:

he felt a sheer love for the woman. He kissed her belly and her mount of Venus, to kiss close to the womb and the fetus within the womb. “Oh, you love me!”... she said, in a little cry... one of her blind, inarticulate love cries. And he went in to her softly, feeling the stream of tenderness flowing in release from his bowels to hers, the bowels of compassion kindled between them (LCL 336).

This exchange awakens Mellors to touch:

he realized as he went in to her that this was the thing he had to do, to come into tender touch, without losing his pride or his dignity or his integrity as a man. After all, if she had money and means, and he had none, he should be too proud and honorable to hold back his tenderness from her on that account. “I stand for the touch of bodily awareness between human beings,” he said to himself, “and the touch of tenderness. And she is my mate. And it is a battle against the money, and the machine, and the insentient ideal monkeyishness of the world” (LCL 336).

Sex brings Connie and Mellors into touch, into a tenderness that wars against the ideals of the modern world. These erotic passages culminate in orgasms that bring temporary deaths to the life of the mind. These orgasms repeatedly oppose themes aligned with the white mind, those of sight and words. The lovers’ orgasms are dark, blind, inarticulate, and unspeakable. Tied to the death of the white mind are references to a Lawrentian darkness, the blindness of Lawrence’s anti-Greek/Western and anti-Platonic philosophy. For example, Connie’s “mind melted out” in an
orgasm that was a “blind flush,” and Mellors’ orgasms induce “the invisible flame of another consciousness,” the Etruscan consciousness (LCL 253-255).

Previously in the novel, Michaelis had faulted Connie for actively pursuing a clitoral orgasm, and Mellors had negatively described the similar actions of his wife Bertha. However, the text may offer a reprieve for the active clitoral orgasm:

and softly, he laid his hand over her mound of Venus, on the soft brown maiden-hair, and himself sat still and naked on the bed, his face motionless in physical abstraction, almost like the face of Buddha. Motionless, and in the invisible flame of another consciousness, he sat with his hand on her, and waited for the turn. Mellors, with his hand over Connie’s mound, was “motionless,” yet he waited for her turn (orgasm). Other orgasms are described in similar ways; during their previous encounter, Mellors quivered as his consciousness changed directions, “turning downwards” (LCL 253).

Furthermore, when Mellors comes to crisis his white mind sleeps, or, as he comments, “when I get a turn, I forget it all” (LCL 264). So, if Mellors’ hand was motionless as he waited for Connie to come into touch, then it stands to reason that she took an active role in her orgasm.

Connie and Mellors’ orgasms become tied to a vocabulary of change and death. Their crises allow for their change of consciousness, from mental to phallic, and for their entry into the Etruscan realm of touch. Lawrence’s poem, “Touch Comes,” offers the most eloquent locution of this theme:

Touch comes when the white mind sleeps
and only then.

Touch comes slowly, if ever; it seeps
slowly up in the blood of men
and women.

Soft slow sympathy
of the blood in me, of the blood in thee
rises and flushes insidiously
over the conscious personality
of each of us, and covers us
with a soft one warmth, and a generous
kindled togetherness, so we go into each other as tides flow
under a moon they do not know... (1-13)

Touch is of the blood
uncontaminated, the unmental flood.

When again in us
the soft blood softly flows together
towards touch, then this delirious
day of the mental welter and belter
will be passing away, we shall cease to fuss (16-22).

In sum, Touch comes through the purifying death of the white mind. With each orgasm, touch
seeps up into the consciousness of Connie and Mellors. The unmental flood of their orgasms
bring them to the uncontaminated blood consciousness of the Etruscans. The lovers flow together towards touch, tenderness.

Etruscan Emotions: The Legacy of the Darkly Lost

In *Etruscan Places*, Lawrence wrote of the emotional legacy of the Etruscans:

the ancients saw, consciously, as children now see unconsciously, the everlasting *wonder* in things. In the ancient world the three compelling emotions must have been emotions of wonder, fear and admiration: admiration in the Latin sense of the word, as well as our sense; and fear in its largest meaning, including repulsion, dread and hate: then arose the last, individual emotion of pride. Love is only a subsidiary factor in wonder and admiration (EP 122).

These three Etruscan emotions, specifically wonder, are found throughout the second half of the novel. They are the emotions of Connie and Mellors. The other characters of the novel, such as Clifford and his circle, are not imbued with these emotions. Lawrence felt that these emotions awakened one’s soul to the “passional significance” and vitality of life (EP 122).

In chapter five, Clifford and Mellors both look at Connie in dissimilar and significant ways. Clifford looked at her “critically,” while, Mellors regarded her with “a curious, cool wonder; impersonally wanting to see what she looked like” (LCL 53). Connie saw in Mellors a “certain warmth,” and he is “curiously full of vitality” (LCL 53). The words “wonder” and “vitality” are repeatedly used once Connie has begun her relationship with Mellors (LCL 49-53). These two words, like so many others, become sacred through the ritual of repetition and their Etruscan analogs. In *Etruscan Places*, Lawrence writes of “the wonder” of the Etruscans’ souls,
their “throes of wonder and vivid feeling” (EP 56). This emotion becomes sacred and thus, “there is always a touch of vital life, of life-significance” surrounding the Etruscans and their symbolic emotions (EP 56). Here, we see how the source text structures and orders our analysis of the target text down to the emotions of our protagonists. Lawrence has littered his late work with myriad symbols and references, all aimed towards the exposition of this eudaemonistic register – an alternative philosophy for his modern lovers that calls up ancient knowledge.

As Connie’s relationship with Mellors progresses, each character becomes further drenched in Etruscan elements. Connie, like Mellors, becomes tied to the underworld as she explores her bacchic tendencies. In Etruscan mythology, Fufluns, the predecessor of the Roman Bacchus, is an underworld deity. Lawrence was particularly taken with the tomb of the “underworld Bacchus,” which he believed held the secrets of the “passion of life” (EP 75). In *Lady Chatterley’s Lover*, Clifford is horrified at the “extraordinary change” in Connie, specifically her belief in the “life of the body” as superior to the mental life she shares with her husband (LCL 282). This change, Connie’s “running out stark naked in the rain, and playing Bacchante,” is credited as being motivated by a desire for the sensory and an anticipation for her forthcoming trip to Italy (LCL 283).

Connie becomes “passionate like a Bacchante, like a Bacchanal fleeing through the woods, to call on Iacchos, the bright phallus that had no independent personality behind it” (LCL 160). She is caught in “the flux of a new awakening,” as “the old hard passion flamed in her” (LCL 160). This “old hard passion” of the Etruscan underworld Bacchus is related to the reader through Connie’s experience (LCL 160). This process mirrors the method of gathering religious information employed by the Etruscans. De Grummond comments on this tradition, “in
which a particular individual made revelations” that then became sacred knowledge (de Grummond 27). A leader, perhaps a lucumo, would relay an experience to the general population that he or she deemed to be in touch with the gods. In this case, the reader may be seen as the populace who is given access to the erotic awakening of Connie’s physicality.

As lucumonic figures, Connie and Mellors relay the importance of physical life to the reader. In a letter to Else Jaffe, written during the evolution of Lady C., Lawrence further described his alignment with this vital Etruscan physicality. He wrote, “the bronzes and terra cottas are fascinating, so alive with physical life, with a powerful physicality which surely is as great, or sacred, ultimately, as the ideal of the Greeks and Germans... Etruria was so luxurious and ‘merely physical’” (CL 314). Lawrence's (re)imagings of the Etruscan frescoes, through decadent dictations, in both Etruscan Places and adaptively in Lady Chatterley's Lover, “shock people's castrated social spirituality” (CL 314). This desired effect is motivated by his “positive belief, that the phallus is the great sacred image: it represents a deep, deep life which has been denied in us” (SL 337). It represents the scarlet flame, the maiden flower, the Etruscan touch. The rise of the phallus is ushered in by the Lawrentian lovers of this prolific novel, who, like the Lucomones of the ancients, embark on a symbolic journey towards physical nirvana through re-imaged Etruscan ritual and initiation. After all, “we can know the living world only symbolically” (EP 122).

Lawrence believed that his once beloved England “was producing a new race of mankind, over-conscious in the money and social and political side, on the spontaneous, intuitive side dead, but dead. Half-corpses, all of them... She [Connie] felt again in a wave of terror the grey, gritty hopelessness of it all... Yet Mellors had come out of all this! --Yes, but he was as
apart from it all as she was” (LCL 182). In this quote, we see the isolation of Lawrence's lovers. They are apart from England and its modern woes; they live and breathe on the spontaneous side, and are fully alive in their Etruscan wood. Connie and Mellors journey towards ancient Lawrentian ideals. The novel is the telling of their phoenix-like quest towards an ancient Etruscan utopia.

Connie and Mellors act as spiritual guides for the Lawrentian return to an Etruscan consciousness, which is the acknowledgment of the life of the blood and phallus. The blood and the phallus are components of the life of the body. As proponents of this blood consciousness, Connie and Mellors become prophets, flowers, Lucumones. As Lawrence writes in *Etruscan Places*, “the people are governed by the flower of the race. Pluck the flower, and the race is helpless” (EP 130). Plant the flower and the race is given the hope of rising from the ashes, from the ruins. As flowers of the race, the lovers (as lucomones, for whom the sacred knowledge of the blood consciousness was reserved) serve as facilitators of the symbols, rituals, and gestures essential to the message of the novel. The reader of the novel plays the part of the common people of the Etruscan civilization, who “are not initiated into the cosmic ideas, nor into the awakened throb of more vivid consciousness” (EP 92). However, perhaps a recognition and subsequent understanding of the novel’s analogical message may lead to the reader's own sudden shift of consciousness, a rebirth as a flower of the Lawrentian order.

The Etruscan emotions of the novel awaken the reader to its passional significance. In the new century, *Lady Chatterley’s Lover* continues to hold its sense of wonder and vitality. Fears of obscenity have subsided in the wake of admiration for an author who continues to touch his readers. The symbolism of *Lady Chatterley’s Lover* goes beyond aesthetic splendor. What
Lawrence eloquently states concerning the Etruscan art is also true of his own, that “the strange potency and beauty of these Etruscan things arise... from the profundity of the symbolic meaning the artist was more or less aware of” (EP 117-118).
Study Overview

In this chapter, Radiohead’s *In Rainbows* is viewed through an understanding of the cultural and textual networks with which it comes into play as an adaptation of Faust. The chapter first examines the paradigmatic interjection made by *In Rainbows* to the new music industry through the lens of a Faustian analogy *dominant* within contemporary music discourse. This Faustian cultural analogy informs a reading of the album’s commercial experiment, wherein the album’s distribution method works to transform issues of value, authorship, and audience within a new music business model. To these ends, I begin with a history of the Faust narrative and adaptive line, to set the stage for an analysis of the way Faustian discourses structure contemporary popular culture, especially within the music industry. This context will then come to bear upon an adaptive/analogical reading of the album, which will illustrate several key sustained analogies between the songs of the album and various iterations of Faust. Several songs adapt key moments in the action/narrative of Faust. Videotape adapts the moment in which Mephistopheles comes to collect Faust. Nude adapts the speech act of another Faust, that of a little mermaid selling her soul. House of Cards offers a suburban Walpurgisnacht. This reading will generate meaning through the mapping of analogs from the album to past iterations of the Faust myth, with attention afforded to the reception of these mappings, as in virtual message-boards, for example.
An Introduction to Faust

*From Life into Art and Back Again*

The story of Faust has held a seemingly ever-present, ever-evolving sway in popular culture since its inception from life into literature – from rumored history into viral culture. In its broadest strokes, the history of “Faust” takes us from a life lived to one of the leading archetypal, antiestablishment analogical wellsprings in Western culture.

The Faust legend originated when the life of German scholar Dr. Georg (later, Johannes) Faust was *adapted* into myth, as tales of his audacious deeds and untimely demise were spread from mouth to mouth throughout Europe. Georg Faust is a shadowy figure in European history; the facts of his life are difficult to discern amidst the contemporary commentary. Scholars tend to agree, however, on a few core details: he lived approximately from 1480 to 1538; he was educated in multiple subjects, like astrology and alchemy; he frequented areas near Würzburg, Heidelberg, and Erfurt, and was ejected from multiple towns such as Nuremberg; he was boastful, if not a con artist, and was perceived to be a practitioner of the dark arts; and he died suddenly at Staufen in Baden, where most news of his death posited a violent end. (Hedges 2; Reffner 271; More 93, 117). As Faust’s story spread, it became believed that his magical feats and untimely death were the result of his having made a pact with the devil. Faust’s feats grew in number and even those earlier attributed to figures like Simon Magus were given to his name. Early literature cites Faust as a topic of conversation among contemporaries such as Martin Luther, Philipp Melanchthon, and Johannes Gast. At this time, particulars of the Faust story began to form that have become mainstays of the legend in its myriad iterations – its most
well known analogs, if you will. For instance, several of such sources cite the witnessing of
Faust consorting with the devil in the form of a dog (Van der Laan 132; Fitzsimmons 26-9;
Colavito 37; Priest ix-xxix).

Stories of Faust’s life developed and were disseminated orally for a period of almost 50
years before we find the story in print. Following this period of oral transmission (and cyclic
adaptation), we find the first literary example of the legend, published by Johann Spies in 1587,
the *Historia von D. Johann Fausten*. The Spies Chapbook, as it is known, treats Faust’s life story
from a Protestant perspective, issuing a warning to readers. Offered as a frame narrative, the
Chapbook opens with the discussion of Faust’s pact with Mephisto and concludes with a
discussion of the consequences of that pact. Between this frame, we find episodic chapters telling
of Faust’s life and deeds – out of which many analogs were transposed in future iterations of the
Faust story. Some of these source analogs include cosmological characterizations of heaven and
hell, visitations from a variety of demons and spirits, Faust as scholar and astronomer, the
conjuring of Classical characters like Helen of Troy, and riotous student episodes. The
chapbook’s popularity is evidenced through its myriad subsequent versions and translations, such
as the first English 1592 translation (EFB) from the mysterious “P. F. Gent,” which is said to
have served as a primary source for Marlowe’s *Doctor Faustus*, published posthumously in
1604. In all of these early versions of the story, Faust’s damnation is inevitable, a precondition of
his deal making. The forfeit of his life and soul are part of the *essence* of the Faust story, as
implied by the EFB’s title: “The Historie of the damnable life and deserved death of Doctor John
Faustus.”
It wasn’t until Gotthold Ephraim Lessing’s designs on the narrative that Faust was to find salvation and begin a transition from a figure of warning to a hero of ambition. While Lessing’s Faust work only resulted in a posthumously published fragment (1759), the impulse to save Faust was later fully realized by Goethe. While there is no single authoritative Faust, and iterations of the tale number in the thousands (or more), Goethe’s *Faust* stands as a foundational instance of the narrative and one of the most generative source domains of Faustian analogs for future artists and writers; as Goethe drew from past versions, so do subsequent Faustian writers and artists find inspiration in his *Faust*.

As we’ve seen, the essence of a work (here the Faust narrative) may be seen as an ideal construct, pulled from past versions of the work as known to a particular individual consumer and/or wider society in question. In her book, *Framing Faust*, Inez Hedges details the conceptual core of the Faust narrative - an essence not lifted from a single retelling but essential to all instances:

> With Faust, we mean someone who consciously, and usually irrevocably, betrays his (and later, her) sense of what is right in order to gain some desired advantage, and who thereby loses what is most precious and valuable about human life. The “Faustian bargain” necessarily involves two characters: the tempted, to be sure, but also the

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54 As we will later see, *In Rainbows* plays into the Faustian essence - those analogs made more prescient in their multitude retellings, woven more deeply into the fabric of a culture and era than the passing attributes of a few adaptive texts. For instance, Radiohead’s Faust is simultaneously a figure of warning and a here of ambition. First, the listener is introduced to the plight of Faust - the labyrinth. Then, as the album unfolds, and we identify with the fractured narrator of the work, we begin to feel that we are always already Faust. That we have already betrayed our sense of what is right without having realized a bargain has been struck. This is the plight of our postmodern capitalist condition. We have sold out the moment we bought in. The band is known for their anti-corporate views, and any fan of the band reads their work/art in light of these overriding perspectives. The band is ecocritical, anti corporate, liberal, referential, semi-surrealist…
tempter. Mephistopheles is Faust’s equal and counterpart, and the struggle between them is the very stuff of drama. (Hedges I).

**A Faust is Almost Never Just a Faust…**

Faust is not only a story that has been adapted in-numerous times throughout multiple centuries, it is also a narrative most often composed and consumed *analogically* – not only to other instances of the tale but to other transnarrative source domains (“Faust as Artist” or “Faust as Revolutionist,” for example). This tendency traces to the tale’s early history, where its analogical birth from oral history to literary narrative was accompanied by a foregrounded mapping of the story onto cultural concerns. Klaus Beghahn cites the Faust narrative’s early predisposition to analogy, specifically towards its initial contemporary cultural climate, as a reason for its elevation to the realm of *myth*, which we may read as its continued recurrence in adaptation and subsequent cultural-analogical interpretation from generation to generation. He characterized the historical period at which time the oral tradition crystallized the Faust story into literature as one mired in the wake of a much yearned for yet failed revolution, a revolution “drowned in streams of blood.” He found it to be a “hopeless” time in which “the old forces of state and church consolidated their power” following what’s come to be known as the first German revolution, a failed revolt of the lower nobility – the “Peasants’ War.” In the face of this rising adversarial force - a ubiquitous institution of church and state - the masses were searching for someone to “project their hopes on.” Interestingly, this projection itself may be read as a function of the human desire for analogical thought. To Berghahn, Faust is a deft fit for this
mapping “even if such a figure became exceptional only by a pact with the Devil.” Thus, he claims, “the Faust myth can be read as an answer to the German misery of the times. Faust can be understood as a rebellious figure who dared challenge the authorities… This made Faust so popular” (10). Thus, the analogical quotient of the Faust narrative accounts for its popularity. In parallel, Hedges notes, “the Faust story expresses the questioning of institutional authority” (4). Whatever the underlying impetus or source, since its inception, Faust has been an “allegorical,” or better analogical, tale.

Since this initial conceptual mapping, the Faust narrative has unfurled over four centuries and multiple continents, having supplied a seemingly infinite flow of adaptations in most known mediums - from sculpture to video games - and correlative analogical mappings in numerous domains - such as culture, gender, and politics. Of the hegemonic heights reached by the Faust narrative in the 20th century, where even computer game adaptations and comic book series take the story as subject, Inez Hedges writes:

To say that the Faust myth has become culturally hegemonic in the West is not to claim that every major cultural artifact exhibits some facet of it; rather, it is to claim that it is part of our cultural assumptions, our idea of how the world works. The proliferation of Faustian motifs in twentieth century literature, film, music, and art of the West means that we have somehow consented to see ourselves in Faustian terms. (Hedges x)

This is the work of a Faustian idealized cultural model; today, in 21st century Western culture, everybody knows Faust, even Homer Simpson. Faust has travelled from active, artful analogy, through a palimpsest of continued adaptation, to the realm of cultural category and concept, where it currently resides - a latent analogy assimilated into common utterance. As Hedges
offers, “it is almost as though the ‘Faustian Bargain’ has become part of our common sense understanding of how success, power, and celebrity function.”

However, as she notes, “this assimilationist trend exists side by side with reworkings of the Faust material that have lost none of their critical edge.” For the purposes of this chapter, I will examine first the assimilationist trend of the Faustian line within the 21st century music industry. Later, I will trace its activation within the specific reworking of the narrative put forth in Radiohead’s *In Rainbows*, as exemplified in both its art and its artifice – its commercial/industrial existence. Here, we take as subject a specific instance of the ‘side by side’ existence of the Faustian as both ICM (a 21st Century Faust) and work of art (*In Rainbows*).
Fame, Fortune, Faust

Faust & Popular Music

This is such a tough industry, you know. To make it, you really have to sell your soul to the devil.

Nicole Scherzinger, former PussyCat Doll, on the music industry

I gave away a fortune to get my soul back.

Joss Stone, on leaving EMI

The Origin Story: Robert Johnson and the Popular Musician as Faust

I think he’s the greatest folk blues guitar player who ever lived, the greatest singer and the greatest writer... I think he has the most powerful cry you can find in all of music of the human voice.

Eric Clapton

When you think you’re getting a handle on playing the blues and you hear Johnson and you go ‘Whoa... there’s a long way to go. The subject matter and the way it was treated, let alone the guitar playing which is almost like Bach. And the voice is so eerie and compelling.

Keith Richards

Just as Goethe’s text is seen as a foundational example of the Faustian in literature, so too is there a generative source narrative for the current cultural analogy of “Faust as Artist” (musician), that of blues legend Robert Johnson. Johnson is not only revered for his musical legacy, as the King of the Delta Blues (a foundational genre of Western rock music) but also sits as a primary mythic figure in transatlantic popular music.

In footage from the 1997 documentary Can't You Hear the Wind Howl, bluesman Eddie James “Son” House (1902-1988) tells of a young man who would follow House and
House also recounted how, just six months later, that young man returned to the area again looking to play with the musicians. This young man was Robert Johnson, and he had returned a master, with songwriting and guitar skills far beyond anyone else playing in the Delta at the time. As an illustration, contemporary listeners often assume that three guitarists are playing when listening to Johnson’s solo work. In fact, Johnson is, as Eric Clapton has noted, “simultaneously playing a disjointed bass line on the low strings, rhythm on the middle strings, and lead on the treble strings while singing at the same time.” Rumors began to spread that Johnson had made a midnight journey to the crossroads to sell his soul to the devil in return for those skills. Several of his songs, “Me and the Devil Blues,” “Crossroad Blues,” and “Hellhound on my Trail,” seemed to reinforce those rumors (Meyer).

Following his masterful return, Johnson toured, played, and conducted recording sessions, which only resulted in a mere 29 recordings, gathered between the short years of 1936 and 1937. In 1940, by the time folklorist Alan Lomax travelled to the Mississippi Delta in search of Johnson, he had been dead for two years, having lived only to the age of 27. Most sources cite his death as mysterious and violent, locating the site of his death near a crossroads and/or attributing his demise to poisoning at the hands of a wronged husband. Johnson was rumored to
have had many relationships, which were also linked to his deal with the devil by his contemporaries.

In both the US and UK, the contemporary analogical framing of Faust as musician, traces back to Johnson and the way in which the details of his life and art were distorted in the service of establishing him as a Faustian figure. The evolution of his story follows the template of the first historical Faust, in that he lived a short yet remarkable life and died quite young under nefarious circumstances, which led contemporaries to adapt his story and supposed deal with the devil by word of mouth until it was ultimately cemented into art (for Johnson, in films like *Crossroads* and *Oh Brother*). As folklorist Barry Lee Pearson noted, “Everybody was so anxious to make this devil story true that they’ve been working on finding little details that can corroborate it” (Weekend Edition, May 2011). Analogous to the analogical wellspring of the original Dr Faust as discussed by Beghahn, the story of Johnson’s Faustian pact is the fount from which the dominant Faustian analogy within the modern music industry arises.

Retrospectively, Johnson has been cited as the father of the Blues and even the first star of Rock & Roll. This designation owes greatly to his posthumous fame and Faustian aura, and Johnson holds sway in popular culture as a defining figure in the perception of the artist/musician archetype in the 20th and 21st century. As rock evolved, largely out of the blues traditions, so too did the Faustian paradigm.\(^{55}\) We see the analogy repeated so often that entire genres, namely rock and the blues, and later the music *industry* as a whole, are structured by

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\(^{55}\) Rock and Roll, so-titled after a contemporaneous euphemism for sex and earlier referred to as Rhythm and Blues, rose out of the Blues tradition. Simultaneous to the rising Faustian lens within the music industry, both genres were often (literally) demonized as “the devil’s music” by conservative (and racist) critics.
Faustian analogy. This trend corresponded to a resurgence in the interest in Johnson’s story. This interest is reflected in the 1959 publication of Sam Charters’ *The Country Blues*, which contained a chapter on Johnson, and the larger folk/blues revival which led to the 1961 re-release of Johnson’s music on Columbia Record’s *King of the Delta Blues*. Illustrative of Johnson’s continued influence on contemporary audiences, we might consider that the current stream count on that album’s cut of “Cross Road Blues” has been listened to 5,839,770 times or that Johnson currently has an audience of 327,694 monthly listeners from around the globe on Spotify.\(^{56}\)

In Faustian characterizations of 20th and 21st century pop culture, Johnson has consistently been cited as the origin - the source analog - for the artist as Faust. For instance, his death at the age of 27 became the source of a popular conspiracy theory that became known as the 27 Club, a group of iconic popular musicians all characterized by their “Faustian” behavior - a predilection towards excess (of the sex, drugs, and rock and roll variety) and a dissident spirit of antiestablishmentarianism - and all presumed to have sold their souls for fleeting fame and fortune.\(^{57}\) Following Johnson, their rank includes: Jimi Hendrix, Janis Joplin, Jim Morrison, Pete Ham, Kurt Cobain, Kristen Pfaff, Amy Winehouse, and more. The 27 Club is of interest here as it exemplifies a tendency of pop culture to paint a picture of the artist as Faust, and to construct

\(^{56}\) Spotify total stream counts, in client, February 12, 2017. (Will need to verify album release date on Spotify to get exact time period, but Spotify turned 10 in 2016.)

\(^{57}\) Interestingly, while contemporary versions of Johnson’s pact cite skill as the object of his bargain, many later accounts talk of the bargain’s reward as fame. This is an interesting occurrence, as the leading analogy of later 20th century is mapped onto individual past versions of the Faust story. Typically in the music industry of the later 20th and early 21st century, the Faustian exchange is mapped onto two ubiquitous and parallel domains: the quests for fame and fortune. For Johnson, a pre-industrial musician, living and playing in the era before the ultimate crystallization of the modern music industry was conjured by the invention and mass production of the FM radio and viable mass-market record players (and thus records), skill was the thing for which to sell your soul. Now, however, popular perception of garnering success in the music industry is that skill is irrelevant. You can sell you soul to a record label, who will make you over in whatever palatable image they deem necessary to success.
categories through this analogy that organize our view of the artist in the 20th and 21st centuries. As we’ve seen, analogy is the cognitive underpinning of category building.

In 2008, a study within *International Faust Studies: Adaptation, Reception, Translation* cited a dearth of Faustian adaptive works in rock music. Paul Malone claimed, “common as the devilish undercurrents of rock music have been, however... it has been uncommon for rock music to make any concrete, explicit reference to the Faust theme specifically.”[58] (Fitzsimmons 216-7).

This is far from true. Perhaps, however, this claim of a lack of Faustian adaptations in popular rock music owes instead to the dearth of academic assessments of popular rock music. I argue that Radiohead’s *In Rainbows* takes its place amongst a throng of Faustian interludes, from the satirical to the serious, in a plethora of genres, from classical-rock crossovers like The Trans Siberian Orchestra’s *Beethoven’s Last Night*, to punk rock treatments like The Falls’ “Faust Banana.” Satirical rock music treatments alone boast everything from SNL skits to the career-long treatment of the theme by Tenacious D (the most popular satirical comedic act of mainstream rock music). For Tenacious D, the Faustian theme is exemplified within the band’s foundational concept and is also a mainstay framework for its lyric content. Their 2001 debut album offers a cover illustration that depicts the narrative of their lead single, “Tribute.” The song, which has been streamed over 45 million times on Spotify, tells the story of the duo

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[58] Paul Malone’s study of 4 adaptive works, supposed exceptions to his perceived lack of Faustian adaptations in rock music, posits specific criteria for consideration. While seemingly arbitrary, they do offer a view of the essence of the Faust narrative in contemporary study:

These examples, all musicals rather than single songs, have been chosen on the basis of two criteria: first, because they contain three elements key to the Faust plot as conjured by Goethe—namely, a Faust figure, a Mephistopheles figure and a Gretchen figure (the last a Goethean innovation); and second, because they all by some means set these elements within a rock music environment: the protagonist, so to speak, sells his soul for rock’n’roll. We will find each of Malone’s criteria met within *In Rainbows*. 
coming across the Devil at a crossroads and besting him at his own game—and thus saving their souls—by playing him “the best song in the world.” In taking the Faust myth as a structuring principle for their satirical rock band, Tenacious D points to the prominent place occupied by Faust in pop music.

Mephistopheles & The Modern Music Industry

*Today, the music industry is at a crossroads. The Faustian deal that the music industry made with the late Steve Jobs — make every music track available for $1 on iTunes — isn’t working.*

Jason Epstein and Rob Glaser, Rhapsody board of directors, via Hypebot.com

*By snagging a $50 million loan from German media giant Bertelsmann in late October, Napster interim Chief Executive Hank Barry solved a number of pressing problems.... It could turn out to be a Faustian bargain, however. Many in the music industry are wondering how Napster can fulfill its part of the deal without spoiling its key asset--the rollicking peer-to-peer network that has made the service so popular.*

Alex Salkever, Bloomberg

“*From the start rock has been commercial in its very essence,”* wrote Michael Lydon in 1970, “*[I]t was never an art form that just happened to make money nor a commercial undertaking that sometimes became art. Its art was synonymous with its business.*” It was this discomfiting reality, representing the Faustian heart of the music business that pirate radio was, allegedly, attacking.

~ John Dougan (70)

Where the 21st century artist is Faust, his Mephistopheles is the personification of the corporate at the expense of the cultural, of capitalism. To this point, Catherine Hamilton makes a bold assertion in her assessment of popular discourse surrounding modern musicians’ resistance to the mainstream. She writes,

In a manner unparalleled by any other field of cultural production, popular music has invested considerable energy into the propagation of the story of the Faustian bargain. The ‘deal with the devil’ is an essential element to music discourses on authenticity, credibility, and popular rebellion. Contemprised, the story is one of ‘selling out’: exchanging the authenticity of musical expression for material rewards. This is a
cautionary tale told again and again in the texts and histories of twentieth-century popular music. (32)

As implied here, popular perception of the mechanics of the music industry, and the artist’s plight within it, are inextricably linked to the Faustian analogy. How-to books for struggling artists are framed by the narrative, advising artists on how they might navigate the industry without having to forfeit their soul in the process, thus being saved from Mephistopheles’ bargain as was Goethe’s Faust. The deals and contracts between artists and their labels and management has been the foundation of the industry’s economy since its inception, and has been painted with a Faustian brush. In popular parlance, signing a record deal is equivalent to making a bargain with the devil. Here, the Faustian is the colloquial – it is the guiding and foundational cultural model (analogy) of the modern music business.

In Reading Rock and Roll: Authenticity, Appropriation, Aesthetics, R. J. Warren Zanes further extrapolates the ways in which the Faust narrative has been entangled within music industry discourse, having been mapped to the binary opposition between authenticity (Faust) and commercial artifice (Mephistopheles):

The discourse of authenticity as it is associated with the always current myth of the sellout, that Faustian pact of the music business that is everywhere talked about, the morality tale that keeps one honest but is finally difficult to discern (if purity is opposed to corporate influence, as it still commonly is, few are untainted). (Dettmar 43)

The Faustian paradox here becomes the struggle for artistic authenticity despite having made a prerequisite deal to gain entry into the industry, trading on culture for commercial gain.
A specific genre, or better, category, of popular music is wholly predicated on the resistance to this Mephistophelian influence. In fact, it’s named after the endeavor: indie music. Originally, the term designated artists who produced their work autonomously or who were signed to an independent label rather than a major commercial record label. The term gained use in the wake of the punk and hardcore movements to designate music produced by the “independent” labels that rose up during the movement and “operated under the ideal that music is a creative art and that the commercial bottom line of the major labels restricts musical freedom” (Grove Music Online). Eventually though, many independent labels were bought out by the majors, who also created their own boutique labels as subsidiaries to cash in on indie authenticity. As it stands and stood by the mid-oughts, indie designates more of an ethos than a genre or industrial alternative. It was also woven into the discourse around alternative rock, dubbed simply alternative, to the point where the two words are largely interchangeable. Despite this, the words “indie” and “alternative” maintain the aura of resistance to both commercial influence and the mainstream art it engenders, allowing artists to strive for authenticity and independent art from within the corrupting system of capital’s influence. While not designating an identifiable set of specific musical qualities, alternative and indie music represents a formal/artistic alternative to mainstream pop music that applies to multiple genres. As Hamilton notes, “the indie genre is reminiscent of forms of literary engagement… and more closely resembles poetry than any of the other arts.” Put to another analogy, where pop music is hollywood cinema, indie and alternative are art house.

In her discussion of how indie/alternative music discourse identifies itself in resistance to a mainstream music culture and its commercial influence, Catherine Hamilton concludes that
any art object “unavoidably suffers a reduction in cultural value” if mass-produced, citing Bourdieu’s theories on the valuing of commercial art: “even if an object is not actually mass produced but contains within it the essence of mass production its value is somehow diminished.” She continues, outlining how this “popular mythology” of indie resistance from within the system maps onto the Faust narrative:

The artist who interacts with commodity culture is nothing more than a soap salesman, all froth and bubbles—which is to say, without substance. Placed in this position artists become the stars of their own frightful morality play, confronted with the Faustian bargain of success and recognition in exchange for their artistic soul. If creative genius is considered to be ineffable, like the soul, then to reduce this gift to the level of market exchange is to fall prey, like Faust, to the temptations of worldly pleasure. (Hamilton 35)

Here, as Hamilton notes, the Faustian bargain, the act of selling out, is mapped onto the essential “crisis of the modernist artist in the market place” – one must sell out to buy in. However, the indie/alternative paradigm of the rebellious (Faustian) artist (with its claims of authentic indie music art object vs mainstream pop music commodity) masks the artist’s inescapable participation in capitalist modes of production by acting as a foil to the analog of the (Mephistophelean) mainstream – its Faustian ethos of rebellion against commercialism offering radical and revolutionary innovations in technology, art, and business (46-7).

It’s worthwhile to note that this period in the history of the music industry is now seen as crystallizing a particularly Faustian moment. Take, for example, last May’s TechCrunch article from Tom Goodwin, senior vice president of strategy and innovation at Harvas Media, entitled “The New York Times And Its Faustian Facebook Pact.” In the post, he details the NYT’s recent
decision to give their content for free to Facebook as a distribution platform. He sets this action in direct analogy to the period in which Radiohead released *In Rainbows*. He writes:

> It all feels a bit like the music industry in 2006 when labels were doing deals with streaming services. The services offer a chance to reach more people — to put music in the hands of people who perhaps would never pay for an album — but at the same time risks devaluing the content, almost intrinsically because access becomes easier…. One thing for sure, this is an experiment, but while deals can be cancelled, consumer behavior doesn’t unlearn, and a Faustian pact can’t be undone.

As seen here, setting aside the uncommon reversal of label as Faustian rather than Mephistophelean entity (perhaps understandable in the work’s positioning of the labels as a new David among growing tech Goliaths), advances in technology were consistently seen as evolving the Faustian aura of the industry. To serve another example, the pay per song model as espoused by iTunes was seen to threaten the album as a meaningful unit of art, shifting consumer behavior from buying albums to purchasing single songs, and was seen as indicative of how commercial gain was (re)structuring artistic forms. (Of course, the album itself was also born out of technological and industrial advances in the early history of the music industry, with the rise of the record player.) In their manifesto on the future of music, the Music Research Institute at Berklee College of Music cites how the technical revolution has offered a disruption to the industry’s “Faustian pact” between “musicians and the music business,” namely, that “‘you’ll need millions from a major label’ to succeed.” Furthermore, they cite the ways in which “this myth has been carefully cultivated” to keep corporations in power and business stable by ensuring “that the fear of God is put into artists who may want to set out on their own” (Kusek
Radiohead: A Quintessentially Indie Rock Band.

Radiohead are an English rock band whose musical territory is rooted in the sonic genre of early 90s alternative rock but has since evolved to encompass a cerebral art-rock outlook with techniques that span from experimental music to electronica. The band’s debut album, *Pablo Honey*, was released in 1993, and their most recent, *A Moon Shaped Pool*, dropped this spring. *Pablo Honey's* lead single, Creep, became an anthem for the outcast, having found initial success outside of Britain and growing to become a global hit. The band has produced nine studio albums and ranks high across numerous “best of” lists, such as Rolling Stone’s ‘Greatest Artists of All Time’ (#73) and ‘Best Artists of the 2000s’ (where, according to reader polling, they came in 2nd).

In Radiohead, we find an example of the quintessential “indie” rock band, one inextricably linked to a Faustian ethos of rebellion and artistic rigor. Take, for example, this review of *The Bends* from Dave Morrison:

This is the media wisdom on phase two of Radiohead's career. They want to be the indie U2…. Once a band has become popular over the pond without first acquiring godlike hipness in this green and pleasant land, folk usually get suspicious…. but surely tens of thousands of Americans can't be wrong. Well, they can actually, but that's not the point. Forget all that, and hipness be damned: The Bends is set to be a monster album because it deserves to be. Fate is at this moment flossing her dentures in readiness to smile upon
them, without the band having undertaken any Faustian pacts with the demonic deity in charge of stadium rock. …Sounds like they've been listening to The Beatles, maybe even Nick Drake, in their spare time. This sort of soundscape's ideal for Thom Yorke. … His lyrics are full of decay and ennui…

Here, the band’s commercial success (especially as found first in ‘mainstream’ America rather than their home country, as referenced in the above excerpt) put the authenticity of their art into question. Nevertheless, the artistic merit and indie ethos of the band wins over the critic, who assures his readers that the band have not sold out, that their music retains its art – opting out of “stadium” filler for a more eclectic soundscape and deep lyric atmosphere. As per usual, the Faustian analogy may be seen, explicitly structuring the discourse of criticism in our contemporary music industry.

The five members of Radiohead met in Oxfordshire, where they attended the private, boys-only Abingdon School. The band is usually dated back to the school and the late 80s, at which point the membership of the band solidified: Thom Yorke (lead vocals, keyboards, guitars, lyricist/songwriter, synthesizers), Ed O'Brien (guitar, backing vocals), Phil Selway (drums), and brothers Jonny (lead guitar, keyboards, other multiple instruments) and Colin Greenwood (bass guitar). Then called On A Friday, the band played their first public gig in the summer of 1987 at Oxford’s Jericho Tavern. After a year or so of playing, and with a demo recording completed, the band took a relative hiatus as some members attended college. Radiohead biographies and fans often cite key bandmembers’ studies (and even relationships⁵⁹) as evidence in their privileging of

⁵⁹Colin Greenwood married literary critic, novelist, and poet, Molly McGann, while Thom Yorke married printmaker and professor Rachel Owen, whose doctoral thesis -like several of the band’s fan-acclaimed songs- took Dante as its subject.
the band’s literariness. Colin Greenwood studied Literature at Peterhouse, Cambridge. Thom Yorke, the band’s sole lyricist, studied English Literature and Fine Art at Exeter. (Appleford Online). Yorke’s playful engagement with (and technological and philosophical disruption of) the concept of authorship and process of adaptation—a tendency typical to Radiohead’s music and albums—may be traced to his studies there. For instance, his senior project was an adaptation—in his words: “I scanned the whole of the Sistine Chapel into a hard disk, changed all the colours and called it my own.” (qtd in Randall 874).

In those early years, the group grew inspired by the ethos of indie bands like the Pixies and REM and wished to follow their example and seek an independent record deal once all of the band members were out of college. As Ed O’Brien recalls of the two American indies, “They did it this way and that’s how we want to do it. There was an ethic there that we admired, and it extended to much more than the music” (Kent). So, while working at a music chain, Colin Greenwood crossed paths with a sales rep for EMI to whom he delivered the band’s demo. Thus, beginning the band’s relationship with EMI, through whom they were signed and released their first six albums.

Over a decade later and at the end of their contract, in 2006, Radiohead found themselves in a much different climate than the idealist indie industry they had initially sought to join. Thus,

60 While Yorke is the band’s sole lyricist, their music composition is communal. Each member of the band is a career musician, with multiple creative projects. For instance, Jonny Greenwood is a classically trained violist and respected composer. In the same year that In Rainbows was released, Greenwood provided the orchestral score to There Will Be Blood, which was popularly cited for academy consideration for best original score but was ultimately deemed ineligible due to its inclusion of pre-existing material (it was, however, nominated for best score soundtrack that year).

61 I include these facts because they are of the kind upheld as most important to the culture of fans that’s arisen around the band and their music. Radiohead Fans have been known to follow and find use in Yorke’s reading history. More on Radiohead fan culture to follow.
when freed from their label in 2007, they set out to release *In Rainbows* independently. A diplomatic Yorke explained this decision to the media at the time, reasoning “I like the people at our record company, but the time is at hand when you have to ask why anyone needs one. And, yes, it probably would give us some perverse pleasure to say ‘Fuck you’ to this decaying business model” (Campbell 389).

**The *In Rainbows* Experiment**

*The (P)Act of Consumption: The Art & Value of Music in the 21st Century*

*October 10, 2007, is a day that will live in infamy in the hearts of major-label executives.*

*Spin Magazine, Jan 2008*

With *In Rainbows*, Radiohead made people talk. And not just about the music, but about the album’s medium (of delivery) and its message. The release method of *In Rainbows* was unprecedented in the history of the music industry. The band developed a new website, inrainbows.com, and there offered their album *directly to consumers*, furthermore, allowing those consumers to pay whatever they liked - including nothing at all. This ignited a whirlwind of media coverage and industry speculation, garnering more press than any release of the decade. It is still a hot topic within discussions of the music industry and economy to this day, over ten years later.

Sitting in his kitchen, in the early hours of October 1, 2007, Jonny Greenwood posted a short statement on Dead Air Space to announce the album: “Hello everyone. Well, the new
album is finished, and it’s coming out in 10 days. We’ve called it In Rainbows. Love from us all.” From here, fans were hyperlinked to inrainbows.com, where visitors learned that the album would be released from the site as a digital download and £40 discbox edition (to be shipped in December but with immediate download access).

The process of buying a digital album began here, at an ordering page blank aside from the word “Price” followed by two entry windows (for pounds and pence) and a question mark icon, which launched a new page with the dialogue: “It’s up to you” and another question mark icon, which led to another page with the confirmation that: “No really, it’s up to you.” The design of the page, its aesthetic simplicity and “blankness” was striking and disorienting in its differentiation from typical information and graphic laden website pages. This disruption of the typical webpage visual language served as an act of defamiliarization, leading the viewer to linger, and to question. Upon choosing a price to pay for the album (a max was set at £99.99 while the minimum was £0.00), consumers were required to enter an email address where the band would send download activation codes upon release date. Each consumer, then, named their own price and signed their “names” to seal the deal.

Despite a few technical hiccups, during the single day of release on October 10th, an estimated 1.2 million people in 173 countries around the world received In Rainbows direct from the album’s creators. This direct to consumer, pay what you want model was heralded as a pivotal disruption to the music industry’s declining models and unfair status quo. According to band manager Bryce Edge, the idea for the experiment “came out of a late-night conversation with our friend Millree Hughes, a Welsh, New York-based artist, that centered on the notion of ‘value’ in the digital age.” Without casting any firm arguments on the subject, Radiohead
succeeded in generating discourse around the value of music in the digital age and the modern music industry. Previously, the industry set pricing standards in which albums were sold at the same price; an album’s cost was completely unrelated to its artistic value. With the In Rainbows experiment, individual consumers were called upon to value—and set the cost of—the work themselves. And, in so doing, each listener entered into a ‘contract’ with Radiohead, signing their names after the blinking cursor.

The “pure idea” for the album, as Edge states, “was to have the digital bundle and the ‘artifact,’ i.e., the disc box, only.” (Sexton 29). However, the band eventually released the album in traditional CD and mp3 formats out of necessity, to ensure access and meet demand. As Edge noted, “...not everyone has $80 to spare. The downside is you need mass physical distribution, hence our partnerships with TBD and XL.” A year later, with exact figures still lacking, Radiohead’s licensing agent confirmed past statements from the band that they made more money on In Rainbows’ direct downloads than they made from the total sales of Hail to the Thief (their previous album) through EMI and more than all of their past digital sales combined.

In reflecting on the In Rainbows strategy, York meditated: “...it was really good. It released us from something. It wasn't nihilistic, implying that the music's not worth anything at all. It was the total opposite. And people took it as it was meant. Maybe that's just people having a little faith in what we're doing.” (Byrne 1) To Yorke, this was the first level of the release’s intended effects. It was a “statement of belief” to release the album in this manner; it signaled the band’s stake in proving that “people find music extremely valuable.” The next level in which the experiment “worked” was in creating a way of “using the Internet to promote your record, without having to use iTunes or Google or whatever.” Thus, music was delivered direct to
consumers via “a new method,” without any Mephistophelean “middle-man” or corporate influence (Yorke qtd in Taylor).

Enter Faust. One could view this independent release as an act of Faustian rebellion, should we consider the crux of the music business as “a Faustian economy.” As Yorke himself is seen to have argued:

once you’re given money for what you do, you feel you need to keep doing what you do or risk losing what you have. The fear money engenders makes one afraid to take risks, and “that’s how they get you,” that’s how the record companies crack your little soul.

(as discussed in Forbes 118)

This continues on our aforementioned themes wherein the commercial industry engenders a unadventurous and inauthentic music commodity object. The use of the word soul here is no mistake, but a hazy assignation of the artist as Faust, and the record companies as Mephistophelean antagonists. These, of course, are the words of Thom Yorke, who has elsewhere often hinted at this mapping of the Faust analogy onto (his) music and art. In a 2008 interview for In Rainbows, he brought up the analogy unprompted, taking the opportunity to draw a Faustian reference. When his interviewer commented that he had decided to take the train (to honor Yorke and the band’s ecocriticism) that morning and saw a rainbow, to which Yorke quipped: “So the man upstairs kept his part of the bargain!” then began laughing enough for the cue to have been written in to the interview. Here, should we follow this analogy to its adaptive ends, entering into the Faustian bargain required of the music business allows the artist to engender positive effects for society, spreading ecological awareness and reducing fans’ carbon footprints.
Yorke’s advice to bands just getting their start now? “Well, first and foremost, you don't sign a huge record contract that strips you of all your digital rights, so that when you do sell something on iTunes you get absolutely zero. That would be the first priority. If you're an emerging artist, it must be frightening at the moment. Then again, I don't see a downside at all to big record companies not having access to new artists, because they have no idea what to do with them now anyway.” (Yorke qtd in Byrne)

This experiment signaled a few key shifts for the music industry. First, it solidified the imperative (as called for by artists and fans) to search for new (digital) business models. Secondly, it gestured towards the fragmentation of the current music audience – one format can not suit all due to varying access to technology and disparate economic resources. Thirdly, the event signaled a possible return to local spheres of production, to a “cottage industry” (or DIY) ethos, a folk culture where artists own and control the distribution of their own product. In addition, this evolved artist-fan interaction and looked to disrupt the status quo of music journalism.

**Direct to Discourse | Fragmenting Criticism, Deepening Interpretation**

In discussions of the *In Rainbows* experiment, the band – and their fans⁶²– celebrated the ways in which the release model disrupted typical music journalism hierarchies in a way that opened up more varied interpretations by blocking existing (corporate) power structures in media discourse. In popular music criticism, status quo operated thusly: an artist’s record label selects

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⁶²Fans have taken to the boards to discuss issues of power in music journalism. [Here](#) is an example of such discourse held at the time of their first 2016 single release, “Burn the Witch.”
which media outlets (often owned by multi-national corporations), and possibly additional influential music blogs, will receive advance copies of the album and/or its singles, offering a chosen date for articles reviewing the release. As Radiohead has noted, this process severely limits and narrows reviews of, and discussion around, the album; the same people say largely the same thing and create a restrictive news cycle where content from those first articles is merely recycled ad infinitum in next tier publications. In an interview for Wired, Yorke and David Byrne (of The Talking Heads, who penned the song “Radio Head” after which the band is titled) discussed how the direct to fan approach effectively prevented music journalists from having first stab at the album. Instead, as Byrne quipped, “this bypasses all those reviewers and goes straight to the fans.” Yorke cited this effect as “a thrill,” to be able to “have that direct connection” with fans. Yorke went on to describe to Byrne exactly what the band had hoped to disrupt with their approach: “We were trying to avoid that whole game of who gets in first with the reviews. These days there’s so much paper to fill, or digital paper to fill, that whoever writes the first few things gets cut and pasted. Whoever gets their opinion in first has all that power.... It just seems wildly unfair, I think.” (Wired Online). Instead, the In Rainbows method delivered its product/art directly to all global consumers and media outlets alike at the same time and through the same pay-what-you-will process. The model placed the album directly into the digital public sphere; fans, journalists, and intrigued consumers around the world listened and took to the blogs, boards, and traditional media outlets all at once, thereby effectively fragmenting and democratizing the discourse surrounding the album.

Years later, studies within music journalism cite In Rainbows for having achieved its desired effect. A 2010 piece in the Columbia Journalism Review offers a critique from Nitsuh
Abebe, which places the “radical” dissemination of *In Rainbows* in the center of a rebellion against how the music industry is “constrained by its reliance on a ‘news model’ in which... authors assume an authoritative stance that is, in fact, arguable and often regretted by them soon after.” This is the rush to review by release day conjured by labels’ advance copy distribution, one that the article claims “hurts the field’s journalistic integrity” and removes “room for insightful reporting down the road” (Depice Online).

**An Audience Empowered**

*Adaptation is in the Eye/Ear of the Beholder*

By removing the advantages previously afforded to the ‘popular press,’ Radiohead leveled the playing field and subsequently elevated the status of their fan discourse. Instead of a plethora of repetitive praise or disavowal, the *In Rainbows* release encouraged an active, deep fan discourse. Just as the distribution method required fans to actively participate in the valuing of music, so too did the shift to direct, digital access evolve music criticism of the work. Furthermore, the 10 day announcement to release window, also a revolutionary act then unheard of for a well-known band, heightened discourse and concentrated anticipation for the work. In 2007, long lead times combined with piracy meant that music listening was a fragmented experience, releases were not the events they once were. Radiohead’s move escaped this trend and ritualized the release experience: everyone received the music at the same time through the same method. Journalists and fans alike made plans and set aside time and space for their first listen through of the work. This was a ‘return with a difference’ to the pre-digital collective record store queue and living room experience. Already online for their debut listen, discussion
boards and blogs were rife with commentary – accounts often detailed the experience of listening and overwhelmingly privileged interpretation over evaluation.

As John Fiske has noted, fandom offers an instance of what Bourdieu defines as a proletarian cultural practice. (This stands in contrast to the critical, distant bourgeois stance.) Within popular music culture, the characteristics of Radiohead fan culture are well established. Fans are excessively productive in their interpretations, source studies, digital archive work, and derivative works (analogous to fan fiction and Yorke’s infamous senior year project). While current fan cultures mobilize on twitter (One Directioners) or visual mediums like instagram and tumblr (Halsey, Fifth Harmony), Radiohead fans’ top medium is the message board, which aligns with their preferred mode of production – (comparatively) long-form interpretation and in-depth group conversation. Radiohead were one of the first bands to have a web presence and the first band whose fans followed suit in spades. Early fan websites (circa 1997) included AtEase.com and GreenPlastic.com, both still operational today, twenty years later. The rise of Radiohead internet fan culture led, or at least coincided, with the migration of fans from radio, tv, and magazines, to the communal spaces offered online. Radiohead fan culture is unique in that it grew and evolved alongside the technology though which it exists. The band acknowledged and nurtured this potent discourse community, linking to the websites from their official site and continually engaging the fanbase by launching new technological paratexts, whether entire apps unto themselves or texts shared through existing mediums (youtube, twitter, instagram). Foreshadowing a goal of the *In Rainbows* release, their 2000 website proclaimed of their fan community: “these sites have… a flavour far superior to the ‘news’ often found elsewhere. Many thanks to the diligent humans responsible for these pages.” Radiohead reflexively shapes and
fuels the discourse of its fanbase by posting “cryptic” messages and obscure snippets – this in turn engenders more interpretation and speculation from fans hungry to produce and participate.

Michael Weber runs citizeninsane.eu, one of the most popular Radiohead websites and an impressive digital archive. The site, operational since 2006, offers scans of primary texts (works in progress from the band preceding an album release, for example), a complete gigography, an extensive collection of press (in both scans of or links to original sources alongside searchable transcripts and translations), and more. This digital archive is a foundation of the fan community – it enables their interpretations.

Fans turn to the archive for references from interviews to support their interpretations of the band’s artistic output. For instance, the archive shows that Yorke has long been fascinated with the literary lives of Faust, as evidenced in one example by an early article in which Yorke described his top 5 heroes and villains, of which “Doctor Faustus” was the former. Significantly, Faustus is the only literary character referenced among influential cultural icons in art, philosophy (Noam Chomsky), literature (Tony Harrison), and music. Why Faustus? In his works, “The reason I picked him is because I really identify with selling my soul and little devils running around and naked women and power, you know. I now feel qualified to talk about selling my soul. I'm sure I've signed my name in blood somewhere…” Here, Yorke not only aligns himself as Faust (as he aligns record labels with Mephistopheles here and elsewhere), but he also provides additional analogs for interpretation (naked women, power), which encourages further source domain hunting and analogical interpretation in the fan community.

Radiohead fans are an incredibly active online audience and a prime example of participatory culture. In analyzing In Rainbows as an adaptation, their participation is paramount.
Thus, my process has been to conduct my own personal, academic reading of the work as an adaptation and to supplement and support that interpretation by referencing related fan discourse from popular fan message boards. This serves to support the argument that listeners actively experience and interpret *In Rainbows* as an adaptation of the Faust narrative/theme. Since adaptation as analogy aligns the practice of creation and consumption, I privilege both the band/Yorke’s explicit reference to, and knowledge of their engagement with, the Faust theme and their audience/fan interpretation in my analysis. Furthermore, fans’ adaptive interpretations counter the surrealist techniques and resistant forms of the album; the adaptive nature of the work simultaneously fights to make concrete meaning as the literary and sonic techniques of the work eschew ultimate meaning and singular interpretation.

*In Rainbows: Resistant, Adaptive Concept Album*

**The Concept of The Concept Album**

The concept album as a genre holds little sway in academic discourse. So much so that most treatments of the mode, usually found in analyses of single works or artists, oft begin by lamenting the lack of scholarly criticism on the form. A brief overview of the form is required here to establish its dominant techniques – those under consideration when analyzing an *adaptive* concept album. Interestingly, the OED posits that a concept album is “a rock album featuring a cycle of songs expressing a particular theme or idea.” One could argue that most prototypical concept albums come from rock – St. Pepper’s Lonely Hearts Club Band, The Wall – and the
term was coined and came to prominence alongside the genre in the 1960s and 1970s. However, the concept album is not restricted to any specific genre and can be found in all popular commercial genres. In folk music for example, its American lineage begins with Woodie Guthrie’s *Dustbowl Ballads* and traces to a healthy contemporary practice with output like Anais Mitchell’s *HadesTown*, an adaptation of the myth of Orpheus and Eurydice.

Some critics, like James Borders, privilege literary techniques as the defining characteristic of a concept album while others cite musical cohesion as most relevant. Allan Moore highlights the form’s “desire to establish a degree of aesthetic unity greater than that of the individual song.” (qtd in Letts 61). Taking these characteristics into account, a working definition arises. A concept album may be defined by the articulation of a theme or narrative to listeners through one or more of the modes at its disposal: lyrics, music, artwork. I would add to these modes its various paratexts and its sociocultural and commercial presence (distribution, marketing, etc). In this way, *In Rainbows*’ Faustian undertaking, its revolutionary release strategy, contributes to its interpretation as a concept album. Furthermore, the album can be shown to enact both a unified theme and corresponding narrative. The theme of the work may be seen as “in rainbows” – a metaphor for the striving for ultimate meaning, meaning which is inevitably fractured as is light through a prism into a rainbow. The narrative, of course, is that of Faust and his Mephistopheles.

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63 In that era, concept albums were closely aligned with, and perhaps interchangeable from, rock operas. However, to distinguish between the two on a formal level, one might conclude that all rock operas are concepts albums, but all concept albums are not rock operas, the latter relying on a plot in which artists assume the role of its characters or narraters.
The Adaptive (Resistant) Concept Album

In her 2005 book, *How to Disappear Completely: Radiohead and the Resistant Concept Album*, musicologist Marianne Tatom Letts delivered a nuanced taxonomy of the various kinds of concept albums, accounting for Radiohead’s particular extension of the form. A narrative concept album may offer an explicit plot or characters. A thematic concept album may offer lyrics on a given topic with music forms that may or may not participate in the communication of that theme. A resistant concept album may take techniques from the former two approaches, but will resist explicit/well-defined plots and characters, and the lyrics of the album – and even its overarching concept – may be unclear. *In Rainbows* is certainly a resistant concept album in these terms; it offers both narrative and thematic content (of the Faustian variety) through multiple modes (music, lyric, art, distribution), with the additional work of adaptation underlying the process.

Narrativity in music finds its apotheosis in the narrative concept album, which seems to assert Barthes’s view that “narrative is the principle way in which our species organizes its understanding of time” and that the “human tendency to insert narrative time into static, immobile scenes seems almost automatic, like a reflex action,” that “wherever we look in this world, we seek to grasp what we see not just in space but in time as well.” Conversely, the adaptive concept album may be said to make a parallel argument for analogy, the principle way in which our species organizes thought and generates meaning. With *In Rainbows*, lyrics, music, artwork, and the life of the album as a product, all contribute to a complex adaptive/analogical text. As an adaptive/analogical concept album, it first triggers its audience into the recognition of the work as adaptation, thus launching its listeners and consumers into a labyrinth of Faustian
analogs. Here, instead of an audience tracing a narrative through time, *In Rainbows*’ audience traces analogs from within the target text to a myriad of source domains, constructing a systemic mapping of the album as Faustian.

I posit that a concept album that is both resistant and adaptive may be seen as a work that applies techniques of resistance, or defamiliarization, as a foil to the exacting meaning-making adaptive/analogue mode of the album – the dominant of the work and, as we’ve seen, one that operates through familiarity and facility. According to Letts, resistant concept albums test the boundaries of the concept album as defined by a *clearly* articulated narrative with characters (as in a rock opera) or a directly communicated musical and/or lyrical theme (ballads about the dustbowl, for a respective example), yet they still communicate a concept to their listener that is dependent upon connections between songs and common to the whole album. In addition, she writes, “it may be difficult or nearly impossible for the listener to discern the ‘concept’ without being told it explicitly through album packaging, marketing, or statements by band members.”

Of course, in the case of Radiohead, direct guidance on interpretation is anathema to their artistic process. Instead, the band drops hints and references that require a bit of unpacking and analogizing on the part of the consumer/listener. Of course, the band has engendered a fanbase that is well tuned to attend to even the merest hint of literary reference, thus their technique of hints and triggers finds its audience ready and waiting.

In a resistant concept album, expectations of consistency and coherence are subverted. This aligns with what Yorke has offered of *Amnesiac* and which holds true for *In Rainbows*, that the album is very much “like getting into someone’s attic, opening a chest and finding their notes from a journey that they’ve been on. . . . There’s a story but no literal plot, so you have to keep
picking out fragments” (qtd in Letts 71). With *In Rainbows*, the reoccurring lyrical and musical elements are those of fragmentation, simultaneously resisting meaning through easy narrative and also acting as a main vehicle of the Faustian concept through the analogy of the rainbow (we will later see how rainbows in *Faust* act as a metaphor for the fragmentation and ultimate unattainability of meaning). This guiding analogy of the album is delivered in a multitude of manifestations in both lyric, art/design, and musical motifs: rainbows (RGB, CMYK, Faustian), arpeggios, circular labyrinths / eternal returns (in lyric or musical palindrome). The motifs (re)appear throughout the album in these various modes, offering a palimpsest of meaning that structures (or un-structures) our interpretation and experience of the work and its adaptation.

The Byrne-Yorke interview in *Wired* that followed the release of *In Rainbows* offers some of the most concrete insights into the band’s hopes for the album format, at one instance, giving credence to fan theories that the songs of *In Rainbows* were meant to be seen as a carefully planned sequence belonging to a unified whole. Agreeing with Byrne’s assertion that albums merit unified consideration as often the songs “have a common thread, even if it's not obvious or even conscious on the artists' part,” Yorke goes so far as to finish Byrne’s sentence that sometimes albums have ‘an obvious’… “purpose.” Furthermore, when speaking to the commercial logic behind recording a bundle of songs at once as a reason for the album format, Yorke responded with an alternate view, offering “the other thing is what that bundle can make. The songs can amplify each other if you put them in the right order.” (Wired Online).

Radiohead doesn’t *directly* announce their adaptive aims in interviews. Yet, they sometimes drop hints unannounced. At times, members of the band -namely York- have responded to direct inquiry on the status of the album’s adaptive mode with sarcastic mock-
denial. When thrown a barrage of fan interpretations (conceptual theories for the album), ranging from the disc 2 track order corresponding to the Star of Ishtar in Taoist philosophy to the album existing as 'Pynchonian citation,' the album as reenactment of Conrad's *Heart of Darkness*, or as inspired by Goethe’s *Faust*, Yorke responded by picking out one single theory for commentary:

I vaguely know the story of Faust. But that would involve me having remembered it in some detail or picked it off the shelf. Which I didn't. But yes, hmm, Goethe's *Faust.* 

I'm going to have to look that one up, actually, 'cause that sounds suitably pretentious.

We live in Oxford, after all.

That Yorke vaguely knows the story of Faust may be read as understatement or complete sarcasm. As proof, we might again look back to that 1993 *NME* feature in which Yorke shared a few of his personal heroes and villains. His citing of “Doctor Faustus” there as a heroic figure implies a necessary awareness of, if not affinity for, either Marlow or Mann’s Doctor Faustus.

The Anxiety of Authorship/Interpretation

*We now know that a text is not a line of words releasing a single ‘theological’ meaning (the ‘message’ of the Author-God) but a multi-dimensional space in which a variety of writings, none of them original, blend and clash. The text is a tissue of quotations drawn from the innumerable centres of culture.* —Roland Barthes, 1968

*We think too much.* —Thom Yorke, Rolling Stone.

Of course, intention is not required for the analysis of a concept album. As Letts notes, “a listener intent on listening to an album as a whole instead of in piecemeal three-minute chunks defined by the tracks can always, by being sufficiently clever, turn the running order into a mark
of cohesion, constructing her own “concept” in the form of a narrative or at least a consistent theme.” To this point, she quotes Ken Scott’s conclusion that “a concept album is in the eye/ear of the beholder.” (Letts 35).

This definition of the concept album as sourced in reception plays into the Radiohead fanbase’s hunger for reference and interpretive theories –again a characteristic encouraged by the band members. As York has avowed:

I think it's nice that people are interested enough to come up with all these mad ideas…. every time, you know, I get asked about it, yeah, you know I say ‘Oh, yes, absolutely! We thought of all that.’ Yes. (XFM)

Yorke has also acknowledged when theories align with his intentions, and has hinted at and encouraged specific references, as with Faust and Goethe – but always with a caveat that ultimately denies -or at least reveals an anxiety around- authorial authority:

In essence, one of the things I've been most wary of—talking about the record at all—is actually taking any responsibility for the lyrics, or having to comment on them, because um... it was...[sighs] I kind of don't feel answerable to them in a way. Sometimes with these lyrics I've done sort of paste them together in a sort of much more constructive way, and you sort of feel there's a point to explaining how you've done it. And I kind of... To me, of all the records we've done, this is the one I feel I can least explain anyway. [laughs]. (XFM)

Ultimately, the band chooses to let listeners decide for themselves what the album will mean. They proclaim the death of the band as author-construct and encourage fans to look for
meaning in their work. As Yorke once wished, “of all the lyrics I’ve ever written, I hope that the ones on this record will deliver the widest range of interpretations” (Engelshoven).

**In Which We Meet our Mephistopheles:**

**The Analogical Triggers of In Rainbows: Faust Arp, Videotape**

Many listeners and fans have come to the conclusion that the entire album revolves around Faustian themes (that this is the *concept* of the album). The work offers analogical triggers for listeners in the form of concrete and accessible references, which then spur a systemic mapping of the Faustian motifs they find scattered - or refracted - throughout the lyrics of the work and beyond – to its paratexts, physical manifestation, etc.. A few analogs stand as the most cited triggers, including (1) the direct reference of both “Faust” and “Mephistopheles” in the album lyrics and (2) the direct musical quotation of a past iteration of the Faust narrative (Disney’s *The Little Mermaid*). Listeners review the work, seeking out analogy after analogy between the album’s various parts and their knowledge of the Faustian adaptive line, oscillating between the album and past iterations of Faust and related works. While there are a score of such references, they are always fragmented, ephemeral even. The album’s lyrics are at times surreal in their construction⁶⁴ and are typically ambiguous - we never if rarely see a clear narrative line. Instead, we find refracted motifs, left purposefully open to a multitude of interpretations, their palimpsestuous ambiguity resisting ultimate, unified meaning. Still, the album may be seen as an adaptation of Faust, in that its dominant reenacts the dominant of the

⁶⁴ For instance, Yorke has been known to cut up lines from notebooks and pick them out of a hat in order to construct a song’s lyric.
Faust narrative – we will find our Faust, we will meet our Mephistopheles, and we will uncover the very act of the pact made between the two in sonic form.

**The Art Object of *In Rainbows***

Throughout the rise and fall of various physical album formats – vinyl, cassette, CD – artwork remained an integral paratext, highly linked commercially, and often creatively, to the work, and always at the forefront of consumption. Surely, most of us can remember the ritual of playing a new album for the first time as we sat flipping through the vinyl insert or unfolding the accordion-like leaflet of a cassette tape. Artwork is often seen by the listener, and certainly fan, to be a primary and inextricable facet of the album experience. The spectrum of authorship and creative control in this endeavor runs the gamut from covers designed ad-hoc and/or in-house by labels (vs the band) to bands who look to the same artist and/or themselves to create each new album’s artwork. Radiohead finds itself in the latter camp, with Stanley Donwood (artist Daniel Rockwood) having designed every album cover for the band since 1994 - sometimes with part of the artwork owing to Yorke as well. Yorke and Donwood met while studying at art school, and some Radiohead fans like to consider him as a extended member of the band. Furthermore, Donwood’s artwork has consistently offered an artistic statement in and of itself, yet aligned with the album’s overarching themes. The artistic process for *In Rainbows* was a collaborative one, with Donwood on site during the recording of the album and open to influence, and/or inspiration, from the music and its recording process.

Here, we address this primary paratext of the work, its physical manifestation - in both CD and Vinyl packages - as an art object meant to be consumed/interpreted as ‘part of the
music,’ as ‘all entwined’ with the album experience (Donwood). In Rainbows as art object occurs in several forms, from the ephemeral digital download files devoid of any attendant artwork to the fragmented offering of the folded single-CD package and culminating in a hefty limited-edition box set. The artwork for all of the above iterations are credited to Donwood and Dr Tchock (a pseudonym for Thom Yorke). The release of In Rainbows was historical in its privileging of the album as a tangible art object, offering a highly priced special edition box set that stands as a pivotal product in the late history of vinyl – a signal of its impending revival. The initial 10/10/2007 release offered just a digital and collector’s edition, while the latter wouldn’t ship until December. The edition originally sold for over $80 (then 40 Pounds) and now are nearly impossible to come by, typical priced at over $250, and stand as one of the most collectible albums of the 21st century. Since the fall of 2007, digital applications and distribution methods forever changed the music industry landscape. This is important as In Rainbows was prescient in its presaging of two, interrelated impending shifts – that of the rise of digital and rebirth of the music art object. Today, download and CD sales may be down, but vinyl sales are on the rise. Collector’s editions are increasingly common, and the coffee table is once again a realm where the social object reigns, signaling to visitors of their owner’s tastes and identity. This demand for vinyl and the tangible physical experience of records is now paired with our infinite access to the world’s accumulated music product. Moreover, this coupling of digital access and analog art can be found throughout the artwork and music of Radiohead and In Rainbows.

In Collector’s Edition, graphic designer Stuart Tolley acknowledged the In Rainbows release as signaling the start of a new golden era in music packaging design. “As we enter a
‘streaming era’…there has been a surprise renaissance in such traditional, higher-quality formats as vinyl, hardback books and beautifully produced magazines, especially in the area of independent publications aimed at niche markets,” he writes (vi). Here, the desire for physical (art) objects offer a salve to the postmodern condition of the digital, where seemingly “everything is data,” its ephemerality signaling a lack of the real. *In Rainbows* and other collector’s editions offer a salve to the digital music experience, a return to the tangible, embodied experience of album consumption, where the exploration of a physical object (the lyric book, the artwork) accompanied listening. Tolley also discusses how many editions comment (implicitly) on the dichotomy between digital and analog, offering unique mixed medium approaches. Stanley Donwood’s *In Rainbows* artwork stands as a significant example, translating tactile materials (wax, paint) and an analog method of composition (via hypodermic needles) into a digital medium (the works were processed and altered in Photoshop).

The deluxe limited edition box set for *In Rainbows* won the 2009 Grammy for Best Boxed or Special Limited Edition Package. The box consisted of 2 vinyl records (180-gram, half-speed mastered (45rpm) LPs), 1 full album CD, 1 eight song bonus CD, a twelve-inch artbook, and a casebound slip case, with an eye to details such as die cutting, folding board, hardback book, matt lamination, matt UV varnish, rigid board, thread sewing, and wire stitching. It was a significant undertaking. As Donwood has quipped, “you could have killed someone with the *In Rainbows* limited edition if you’d hit them hard enough.” Notably, its heft and permanence is set in contrast to the band and Donwood’s next album package, which was made of newsprint of such low quality that it begins to degrade as soon as it’s exposed to the elements, its physical
form meant to mirror “our own decay,” as Donwood saw it (qtd in Tolley #). Thus, even the heft of the package becomes weighed in meaning.

Furthermore, where the lavish materials of the collectors edition moved consumers to consider the packaging as art, or at least something of value and substance, the ensuing (issued in a second release phase in January 2008) single CD packaging purposefully brought attention to the act -or art- of packaging (in both noun and verb form) as well, in addition to promoting the recycling of past commercial product. Its contents and construction compelled consumers to engage in interactive re-purposing in order to create their own final version of the In Rainbows package by using old, empty plastic jewel cases. Thus, the ‘for sale’ version of the object may be read as in transition, unfinished – reflecting a conceptual theme of the album: transience. If this
seems a stretch, consider this Youtube video, which has garnered over 2,55065 views.

Furthermore, in the comments, consumers (listeners) come together to share in the seemingly menial experience of putting together their own packages: “Mine ripped off[f] too! At the same place. It hurts.” Some cited the packaging as a catalyst for query: “I just bought this album today and wondered, ‘That's some weird ass packaging.’” Or, “This is exactly the video I was looking for. But it sucks that the sticker ripped... :[”.

The case was designed as “green” and was meant to, as manager Edge has claimed, suggest buyers “recycle an old case from their collection and use the stickers supplied on the front and the spine,” effectively creating a physical palimpsest, a CD package in the second degree (Sexton 29). This attention to detail in the packaging also encouraged consumers to interpret the artwork found thereon.

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65 Now 3,419 views at the time of this revision, just a few months later.
The Adaptive/Analogical Artwork of *In Rainbows*

*Artwork is part of the music - it’s all entwined.*
Stanley Donwood

*Yet how superb above this tumult sallies*

*The many-coloured rainbow’s changeful being;*

*Now lost in air, now clearly drawn, it dallies*

*Shedding sweet coolness round us even when fleeing!*

*The rainbow mirrors human aims and action.*

*Think, and more clearly wilt thou grasp it, seeing*

*Life is but light in many-hued reflection.*

-Goethe, *Faust II*

Goethe’s *Faust* is framed with a celestial schema. The first lines of the prologue, from Raphael, read: “The Sun intones, in ancient tourney / With brother spheres, a rival song.” (243, 244) Thus, the Prologue in Heaven opens with a reference to Musica Universalis, or the Pythagorean Harmony of the Spheres, the theory connecting the laws of mathematics and music, assigning harmonic intervals to the distance between celestial objects. Part II ends with themes of ‘Celestial Love’ as the action also sends us to Heaven at the close of the play, “soaring in the higher atmosphere, bearing Faust’s immortal part.” (p341, 11933) Radiohead’s album is analogously encased in celestial themes - quite literally. The function of analogy guides an audience to frictionlessly connect the framing of Goethe’s play to the physical framing of the album, and to subsequently draw further connections within those two domains based on alignable similarities – celestial themes and the metaphor (analogy) of the rainbow.66 This is the structure mapping engine at work.

66 Here, we are reminded of Dudley Andrew’s quotation of Goodman’s theories of *The Language of Art.* (See page 13.)
Many fans have found the album’s artwork to appear celestial, conjuring thoughts of space imagery, the big bang, etc. In support, the singular most cited source domain for the artwork, confirmed by explicit reference from Yorke, is NASA photography. Yorke once revealed of his role in the album artwork, in his characteristically understated manner: “... one day I ended up at the gallery to the NASA page, which is fucking amazing. So all my input ended up being, ‘Here, look at these NASA pictures’” (Believer Online). However, insights given during another interview were less flippant: “As far as the artwork goes, that was heavily influenced by the pictures NASA puts on their website. They have this great library of stuff online that we were looking at, and it coincided with Stanley Donwood's experiments, throwing wax around. It was just experimentation, but it gave a sense of release, letting go.”

For a Radiohead fan, these are the kinds of “hints” that can spark a series of analogical mining and discovery. Yorke’s interview comments function in a manner similar to a cognitive scientist’s hints to study participants to “think of a story.” They trigger an audience to think analogically. When Yorke or other band members mention a text or work of art, fans are sure to follow up. And, so, I too looked at some NASA pictures. After a delightful detour through Hubble’s Deep Space photography, I ended up at the gallery for The Scientific Visualization Studio of NASA's Goddard Space Flight Center, where I discovered a specific and undeniable source analog to the In Rainbows artwork: the April 21, 2002 multi-mission view of the AR9906 Solar Flare, depicted with instrument labels. At the start of the image sequence (it exists in both video and image gallery formats), we are shown a wide angle view of the sun, culled from a combination of different datasets from a fleet of three spacecraft, the SOHO, TRACE, and RHESSI. We are told, “The time scales of the data samples in this visualization range from 6
hours to as short as 12 seconds and the display rate varies throughout the movie.” Each photo is
accompanied by an information overlay: instrument names from the fleet appear, coded in a
color meant to match the color used for the data. In these solar flare images, black corresponds to
a lack of instrument coverage.  

Anyone who has purchased a physical copy of *In Rainbows* (or has seen its artwork
online) and has also seen these NASA images, will start to make connections and assumptions

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67 Credit for this item is attributed to: “NASA/Goddard Space Flight Center Scientific Visualization Studio. A special thanks to all those who contributed data and advice without which this product would not have been possible (in no particular order): Alexander Kosovichev (Stanford University), Todd Hoeksema (Stanford University), Steele Hill (L-3 Communications Analytics Corporation/GSFC), Brian R. Dennis (NASA/GSFC), Peter T. Gallagher (L-3 Communications Analytics Corporation/GSFC), Joseph B. Gurman (NASA/GSFC), Nathan Rich (Interferometrics Inc./NRL), Bernhard Fleck (NASA/GSFC), Craig DeForest (SwRI), Philip Scherrer (Stanford University)”
based off of perceived similarities and differences – to ask themselves, “what does it all mean?”

We’re drawn to make meaning from the analogs between the NASA photos and the album art, reading the latter as an adaptation, or larger analogy, of these photographs. Furthermore, we’re drawn to place this analogy in conversation with other references of the text – privileging a systemic series of connections forming an overarching analogy. Consider the following images from the album’s cover art and packaging:

As soon as you open the single CD package flap, you’re presented with what a designer or artist might recognize as a series of CMYK color keys: C3M0Y71K0, C63M25Y0K0, C1M63Y100K0, C61M0Y100K0, C8M25Y90K0, C0M93Y100K0, C25MOY5K0. Many consumers, perplexed by this code box, took to message boards in search of an answer. What were the codes? What did they mean? Together, they form a digital rainbow -
a simulacra. Furthermore, each color is fragmented into its components: cyan, magenta, yellow, and key (black). There’s a gesturing here towards two central themes: the mediation, fragmentation, and perhaps ultimate unattainability or unreliability, of meaning. These impulses characterize the entire album. Here, we find the themes in the album’s artwork, later, we will come to see them in lyric and sound/music.

These seven colors, our digital rainbow, are used in the same exact sequence for all text that appears on every iteration of *In Rainbows* artwork. This rainbow is an exact digital match to the instrument color code (the pattern of the text overlay colors) seen on the NASA photos. Take the album cover, for instance. Here the text repeats the album title 4 times, in colors corresponding to the 4 entries for the SOHO dataset. Furthermore, the title is separated in a way that is alignably similar to the SOHO entries. Both use the forward dash. The NASA text uses the dash to separate the spacecraft from its instrument (Ex: the MDI - Michelson Doppler Imager - instrument was aboard the Solar and Heliospheric Observatory (SOHO) spacecraft). In contrast, the album cover uses the dash in an alternate fashion, breaking the album title into fragments, urging viewers to consider the same title and information in different ways, fragmenting the meaning of the words into multiple, yet nondiscrete versions. As we move down the cover, the separations become less easy to generate meaning out of, ultimately dissolving into seemingly random and meaningless spacings and divisions. As we’ll see throughout the album’s lyrics, meaning is consistently fragmented, repeating, and ultimately ephemeral. We are left to wonder if this is the point, to provide an experience of meaning that echoes its form - eternally palimpsestuous, fragmented, and unattainable. As Yorke has intimated, he’s drawn to rainbows as
an analogy of something immediately visible and present, but ultimately untouchable and not really there.

Originally, Donwood's inspiration for *In Rainbows* was James Howard Kunstler’s *The Long Emergency*, which told of a dystopian future where people “are only alive to consume,” as Donwood put it. However, when Donwood heard the music, he found this dark dystopia too strong a contrast to the music of the album, which he found “organic, sexual, sensual, and very human.” Thus, Donwood took primary inspiration from the album’s titling metaphor: the rainbow. In an interview with Radio 4, he intimated: “it's very colourful – I’ve finally embraced colour! It's a rainbow….” This rainbowing carries into the lyric representations of the artbooks. Each song’s lyric is presented as a textual overlay on a unique image where wax and ink splatter on the page – again in an echo of the solar flare, sparks of celestial activity. Each song’s first seven lines are colored in the exact seven colors seen on the NASA images, followed by the rest of the song lyrics in white text. On the deluxe edition artbook, the lyrics are written over black space (a space where no data is collected), while colors and shapes appear further down the page.

Taken as a whole, this repeated rainbow, the seven colors always applied to the work’s textual representations, is a visual analog to the NASA color code, a code meant to portray fragmented data taken from multiple instruments aboard multiple spacecrafts of a distemporal celestial event. *This* is as far as human striving will take us, via the outstretched hands of all we’ve built, to get a glimpse at the heavens. In Goethe’s *Faust*, I’ve found the metaphor of the rainbow to hold the same analogical meaning, as have others. In the opening of part 2, we find Faust in a “Pleasing Landscape” awakened and “refreshed anew” with “life’s pulses;” a “vigorous resolve” stirs in him as he greets the “ethereal” dawn of morning. It is here, as we
move from the small-world, individual concerns of part 1 to the universal, societal, worldly concerns of part 2, that the rainbow appears and is assigned a concrete analogy, strikingly so.

“Tint upon tint emerges” viewed by Faust as it “step by step fulfills its journey ending:”

I view with rapture growing and amazing.

To plunge on plunge in a thousand streams it's given,

And yet a thousand, downward to the valleys,

While foam and mist high in the air are driven.

Yet how superb above this tumult sallies

The many-coloured rainbow's changeful being;

Now lost in air, now clearly drawn, it dallies

Shedding sweet coolness round us even when fleeing!

The rainbow mirrors human aims and action.

Think, and more clearly wilt thou grasp it, seeing

Life is but light in many-hued reflection.

This is Goethe’s rainbow, and Radiohead’s too. Once “clearly drawn,” then “lost in air” it flees. (Goethe) “Now that you found it, it’s gone.” (“Nude,” In Rainbows) As Goethe so clearly states, the rainbow is an analogy for “human aims.” He asks us to think in order to see that life, or Meaning, is but “light in many-hued reflection.”

Furthermore, what can be said of In Rainbow’s NASA adaptation, can also be said of Faust’s rainbow in Goethe. As Matthew Childs finds,

Essentially, the rainbow represents Faust’s acceptance of the limitations of his mortality in connection to knowledge and the Absolute – he cannot grasp this
knowledge directly, access to the Absolute must be mediated. Faust will always need a medium in order to see at least a reflection of what lies behind nature’s veil. The rainbow also represents his understanding of the various types of knowledge that exist and the many different types of experiences that one can undergo to reach them. (27)

The rainbow’s physical existence marks the limits of human endeavor and striving - it is refracted light, an indirect representation of ‘white light,’ the sun, the “Absolute.” Thus, knowledge is only accessible through mediation, only visible in refraction. The rainbow represents both striving and limitation - the essential refraction and mediation of meaning seen so clearly in the NASA rainbow. Where Goethe’s rainbows are of Nature, Radiohead’s rainbows offer digital mediation. They are constructed by machines, just as they are aligned with the machine generated images patched together from the NASA instruments. Radiohead’s rainbow represents human understanding as experienced through digital/technological mediation; nature lies beyond this digital veil, at an additional remove.

Space, or the celestial spheres, has historically been symbolic of “God” and/or the unknown - the goal of human understanding. We, human civilization, have built these incredible machines to venture out into space and see for us, to gain knowledge of the once unknowable and relay it back to us. And yet, here, in these NASA images, we find the rainbow, that Absolute Knowledge of the Sun refracted and mediated through multiple instruments carried by multiple spacecraft all focused on a singular point – the image we receive is mediated by these machines, by tricks of light refracted.

Yorke has spoken of the album’s title as indicative of transience, and other times has danced around the theme, resisting a commitment to preconceived aims. When asked directly
“why is it called *In Rainbows,*” Yorke once replied, juxtaposing insight with irreverence, consistently refuting even fleeting meaning, “Um… Because it was the desire to get somewhere that you're not. I thought of that last night.” (Whenever Yorke evades a question, fans know to dig deeper, it’s a delightful game to watch played out in message boards and blogs.) Here, we’re reminded of Faust as journeyman, with a desire to get somewhere. The journey serves as an analogy for human transience. As Yorke has intimated, when in the mood for sincerity, *In Rainbows* “very much explores the ideas of transience. It starts in one place and ends somewhere completely different” (Mincher Online). For Ernst Bloch, it was the motif of the journey that stood out as most remarkable about the Faust narrative, linking it to *The Phenomenology of Spirit:* “Faust’s journey is a model of the utopian attitude towards the world. The Faustian motif is the active need to go beyond the bounds of the known and established, to venture upon an experiment, to depart on a pilgrimage.” (Bloch 1961) Max Scheler posits a parallel philosophical framework for the Faustian, where human beings are all ‘eternal’ Fausts, “always avid for breaking through the confines of its now-and-here-so-being, always striving to transcend the reality surrounding him, including the corresponding actual reality of his own self.” (Scheler 1991, 56) Everyone desires to get somewhere they’re not. We’re all Fausts now.

**The Salient Sonic Landscape of *In Rainbows* - The Pleasure of the Acoustic Intertext**

Studies in cognitive science focused on music perception have found consensus in the determination that sonic stimulus which simultaneously draws upon prior experiences while also delivering some form of unexpected newness results in maximal cognitive arousal. Thus, as with adaptation and analogy (and indeed further study might reveal that analogical *listening* is at play
here) an interplay between the expected and unexpected brings the listener into a hyperactive cognitive space – a sort of “overdrive” or place of high cognitive engagement (here, one might think in terms of Hutcheon’s description of adaptive oscillation). This sonic salience functions analogously to studies of the pleasure of the spoiler (or adaptive text).68

In Rainbows offers this salience both as an adaptive text (where lyrics, musical themes, artwork, and distribution methods that oscillate with the Faust narrative) and as an acoustic text (wherein musical techniques call upon and play with listener’s past experiences of Radiohead’s oeuvre and the greater traditions of popular, classical, and electronic music). The songs of In Rainbows play with our expectations of song structure (such as verse/chorus form), rhythm (especially the backbeat), and timbre and texture (instrumentation, sampling, etc). A most striking example can be found in the complete lack of a conventional chorus anywhere in the entire work. While listeners have found the album and its songs to be incredibly rememberable and “catchy,” the formal gimmick par excellence for achieving exactly that holy grail of popular music finds no foothold in the work.

15 Step | Faust’s Labyrinth

15 Step opens In Rainbows with the whoosh of atmospheric effects reminiscent of sci-fi rocket sound effects and alienated, processed, separated layers of static over electronic beats. This sonic allusion carries over the celestial framing of the album artwork into the music as well,

68 See chapter 1, page XX
strengthening the alignable analog between the album and its Faustian source domain. The lyrics follow, offering a beginning mired in the labyrinth – contemplating an eternal return:

How come I end up where I started
How come I end up where I went wrong
Won’t take my eyes off the ball again
You reel me out then you cut the string

How come I end up where I started
How come I end up where I went wrong
Won’t take my eyes off the ball again
You reel me out then you cut the string

So too does Goethe’s *Faust*. In the opening to the play, the dedicatory poem “Zueignung” laments the chaotic distractions of life, “Life’s labyrinthine errant course” (14). As J. M. van der Laan sites, this emotive metaphor ‘sets the stage for the ensuing drama.’ The motif of the labyrinth appears again in Goethe’s Faust. During each Walpurgisnacht, Faust is met with a labyrinth to battle. First, in Part 1, the labyrinth of valleys (3841) and later, in the next Part, the labyrinth of flames (7079). As with the rainbow, Muller ties Goethe’s labyrinth too to the task of human striving, to the highest human value.

One might designate the album itself as a “labyrinthine work.” These works, as Penelope Reed Doob offers, are difficult in their ambiguity; they “force us to share the protagonist’s limited point of view,” where “the text itself is a kind of Ariadne’s thread extricating us from the maze we all inhabit for the work’s duration.” The album cultivates ambiguity in juxtaposing a
technique that privileges and engenders familiarity and concrete meaning with one that eschews it in favor of defamiliarization. Adaptation and analogy are set against aleatory compositional techniques and a resultant ephemeral, fragmented lyric style. Here, in “15 Step,” as seen above, we are guided by Adriane’s thread, and lost when we find it cut. Yorke has expressed his interest in labyrinths previously, and the Minotaur has figured prominently in both the paratexts and lyrical fabric of past albums. For instance, during the In Rainbows interview cycle, Yorke shared his most recent reading: “I don’t want anything heavy at the moment. But what was the last heavy thing I read? Borges’s Labyrinths. That was pretty cool. The idea is the story, you know.” Within “15 Steps,” the idea is the story and the song; the labyrinth echoes in lyric content and music form.

In Borges, a circular and thus infinite labyrinth arises in Ts’ui Pên’s The Garden of Forking Paths. The literary technique and form of this work parallels that of the album. In the short story, Ts’ui Pên discusses his desire to build a labyrinth and to write a book. But, we find no labyrinth, just a confusing, contradictory book. Ultimately, it is revealed that the book is the labyrinth. In the book, every chapter offers a possible continuation. Here, in the album, we have a Faustian labyrinth, each song offering a representation—at varying levels of ambiguity and/or obfuscation and contradiction—of Faustian themes or moments. As Borges writes, “In all fiction,

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Radiohead is no stranger to labyrinthine reference: a crying minotaur graces the cover of 2001’s Amnesiac and GooglyMinotaur was music’s first chat bot (who was programmed with numerous methods of returning the conversation to [radiohead], thus enacting its own labyrinth of sorts). You can still buy your own Crying Minotaur from W.A.S.T.E., where the object’s description emphasizes its referentiality: “MAKING BEST USE OF BOTH RECYCLED MATERIALS AND IDEAS, WE BRING YOU THE CRYING MINOTAUR IN EYE POPPING 3D. STANDING A MAGNIFICENT 300MM TALL, THESE SOFT FELLOWS ARE MADE FROM RE-IMAGINED T SHIRTS FILLED WITH RECYCLED FIBRE THAT QUITE FRANKLY IS BETTER HERE THAN IN LANDFILL.” Here, pastiche meets eco-commerce - a recycling of ideas and materials, retrospectively.
when a man is faced with alternatives he chooses one at the expense of the others. In the almost unfathomable work of of Ts'ui Pên, he chooses - simultaneously - all of them. He thus creates various futures, various times which start others that will in turn branch out and bifurcate in other times. This is the cause of the contradictions in the novel” (Borges 98). The non-linear labyrinthine narrative and musical structure of the album offers meaning reflected in disjointed concepts: we find, as the lyrics provide, “ripples on a blank shore,” “pretty patterns in duplicate and triplicate.” In this, we might be brought back again to the metaphor of the rainbow should we look to Deleuze, writing of Nieztsche and the labyrinth, as he tells of truth as mediated by place, refracted parts of an unobtainable absolute: “We only find truths where they are, at their time and in their element. Every truth is truth of an element, of a time and a place: the minotaur does not leave the labyrinth” (VP III 408).

“15 steps, then a sheer drop…”

In “15 Step,” 5/4 measures fall in triplicate repetitions, cycling and repeating motifs and lyric fragments. Following the metaphors of the music and lyric structures, to take a 15 step then, is to circle the labyrinth in triplicate, 5/4, 5/4, 5/4, and then fall, ‘a sheer drop,’ into the Labyrinthine abyss…. 
Bodysnatchers | A Feminist Faust

I do not
Understand
What it is
I’ve done wrong
Full of holes
Check for pulse
Blink your eyes
One for yes
Two for no

I have no idea what I am talking about
I am trapped in this body and can’t get out
Oooohhh

Bodysnatchers opens in a proclamation of confusion compounded by the lyric’s oscillating transitions from first person declarations to second person addresses and third person reference, which makes following and assigning the actions of the song to those persons a dizzying prospect without a clearcut solution. However, the ephemeral narrative and action leaves the listener with a concrete sense of the themes of the song: the fear of losing power over one’s self to some other controlling, menacing entity. This fear of transformation and loss of self reverberates throughout the lyrics of Bodysnatchers:

I have no idea what you are talking about
Your mouth moves only with someone’s hand up your ass

Here, in the middle of the song, the singer describes a fallen victim as one under the control of a puppetmaster we might align with the de-personified force described a few lines later:

It can follow you like a dog

It brought me to my knees

They got a skin and they put me in

Here, nearing the close of the song, we are brought to paint the third person antagonist as a Mephistophelean agent, as we are triggered by the source analog of Mephistopheles the poodle, following Faust, courting him –an analog found in the both the Faust-book and Goethe.

In several interviews, Yorke has claimed that the inspiration behind the lyrics of “Bodysnatchers” is a combination of Victorian ghost stories, Ira Levin’s 1972 novel, and the later film adaptation of, *The Stepford Wives*, and the experience of feeling your “physical consciousness trapped without being able to connect fully with anything else” (Yorke). He also shared the process behind the composition, which consisted of drafting pages upon pages of notes on those sources, which were then cut up randomly and drawn from a hat. Here, the Dadaist method of composition resists meaning and interpretation, providing an aleatory escape from the anxiety of authorship. The random selection mediates and obscures agency/authorial intent and absolute meaning.

In *The Stepford Wives*, women (wives) are replaced by robot replicas with the sole directives of cooking, cleaning, caring for “their” children, and fulfilling their husband’s sexual desires. The narrative follows the travails of Joanna, new to the town of Stepford, as she tries to escape this fate but ultimately undergoes the process of transformation into a robot Stepford
Wife. Mapped to the Faustian concept album, we see Joanna in the light of a feminist Faust, struggling to resist the reprogramming of a perverse patriarchy, which we might then read as analogous to the individual striving for authenticity within a corrupting mainstream ideology - whether of the patriarchy or the corporation. If we map this analogy onto the artist, the danger is the influence and control of the record labels taking the work of an artist and making it in over in the ideal image of the masses, echoing back to that from which the release method of the album resists and breaks free. With “Bodysnatchers,” Yorke’s announcement of the work as an adaptation of a novel/film that may itself be read as Faustian further fragments yet amplifies adaptive meaning through a palimpsest of reference. It’s adaptations/analogies all the way down; the labyrinth spirals on.

Nude | The Mermaid’s Bargain

“Nude” has existed in multiple forms, having been performed by the band at shows for ten years before the recording of In Rainbows. However, it wasn’t until the changes made during the album’s recording session that Yorke deemed the lyrics to have finally come together and made sense. What was added? An undeniable music quotation that has acted to Radiohead’s audience as one of the primary analogical triggers for consideration of the album as an adaptation of Faust.

“Nude” begins with the glitch of a cinematic organ that opens into an ethereal layering of swelling vocal intonations in harmony, clattering percussion, and resonant strings. The lyrics follow shortly after, offering a dramatic lament of the futility of human striving – and of desire as fleeting and unattainable:
Don’t get any big ideas
they’re not gonna happen

Now that you’ve found it, it’s gone

Now that you feel it, you don’t

The lyrics end with a Faustian warning as the song slows to drive home its climax with a haunting melodic line that finds Yorke abandoning his falsetto for full voice:

So don’t get any big ideas
they’re not going to happen

You’ll go to hell for what your dirty mind is thinking

This sets the stage for the ensuing musical quotation. I find that the lyrics of Nude can be construed as a Faustian character’s ambivalent inner monologue in which he or she is battling with the idea of making a deal. However, it is only through the song’s musical quotation, of a perhaps unexpected Faustian source text, that we can build a reading of the song as representing the making of that deal.

Here, our source text is Disney’s *The Little Mermaid*. Those who have seen the film and know its songs will recognize that in Nude, Yorke sings what is known as “Ariel’s song.” In the film, the mermaid Ariel (Faust) sells her soul to the sea-witch Ursula (Mephistopheles) in exchange for a chance at love with a human, Eric (Gretchen). Ariel sells her soul through the act of song. This is the exact song transformed in Nude by Radiohead. In quoting Ariel’s performative utterance – a speech act stripped of any vocabulary (meaning in the act of singing she sells her soul), Yorke performs the action of the Faustian bargain, selling his soul in the second degree. From 3:10-3:55 in Nude we hear Ariel’s melody transposed, altered,
The arpeggio (as a musical form) offers a sonic analogy for the rainbow – we move from the separation of white light into its constituent colors to the separation of a chord into its constituent notes. This stands as another example of the repetition of the theme in various facets of the work, from artwork to musical technique. The allusion solidifies into direct musical quotation, and from 3:55 to 4:15, we hear an exact replication of Ariel’s song. However, the version we hear is actually a version sung by Vanessa (who is Ursula in disguise) attempting to lure Eric. The bargain has been struck.

In Rainbows’ audience, when triggered to think back to the Disney film, in light of the analogy, may subsequently map additional analogs, and make further inferences, from the Faust narrative to The Little Mermaid that they’d not previously activated. Not only might they realize that the film is an adaptation of Faust for the first time, but they might also pick up on analogs to the Faust narrative in the film, such as the phantom or mirage Ursula uses to entice Ariel (akin to Mephistopheles’s manifestation of Gretchen to Faust) or Ursula’s quip “have we got a deal” and use of a paper contract (as typical to the Faustian bargain). In this example, we see how the larger analogy of the album with Faust orders and structures additional intertextual relationships and inferences.

From The Little Mermaid as Faustian tale and the artist as Faust, we are led to another analogical referent. In Thomas Mann’s Doctor Faustus, composer A. Leverkuhn makes his pact with the devil for the sake of his art - music. In wooing Leverkuhn to make the deal, Mann’s devil analogizes the pain and trials of the artist with that of Andersen’s Little Mermaid. The pain

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70 You can view this scene and hear Ariels “speech act” here: https://www.youtube.com/watch?v=iuwuMh3PmwM
of the mermaid is the pain of the artist, the “sword dance of art” and “the way and nature of the artist” to be both deeply miserable and uplifted. As he claims, “They are pains that one gladly and proudly takes in the bargain with pleasures so enormous, pains such as one know from a fairy tale, pains like slashing knives, like those the little mermaid felt in the beautiful human legs she had acquired for a tail. You know Andersen’s little mermaid, do you not? What a darling that would be for you! Say but the word, and I shall lead her to your bed.” (Mann 246)

In the Disney and fairy tale versions of the story, the little mermaid sacrifices her voice for love. This is a theme echoed in Nude’s allusions to unattainable desire and moreso in early versions of the song, which included this verse:

She stands stark naked and she beckons you to bed
don’t go, you’ll only want to come back again

What used to make Yorke “feel uncomfortable” with this song is now its allure for the musician – his perception of the melody as “too feminine, too high.” As he intimated, “Now I enjoy it exactly for that reason—because it is a bit uncomfortable, a bit out of my range and it’s really difficult to do.” Here, we see a ripple of human striving in vocal form. The feminine voicing standing for the phantom of the little mermaid, beckoning. Removed, the lyrics stand more malleable, enigmatic, elusives. The sexual narrative becomes mere overtone, signaled again by a single adjective (dirty) in the last climactic line of the song.

71 This is not the first of Yorke’s references to Thomas Mann. Immediately preceding his work with Radiohead on In Rainbows, he released a solo album, The Eraser, featuring the song “Black Swan,” which may be read as a meditation on the themes of Mann’s own Black Swan novella -- also treating a metamorphoses into youth (As we see in Part I of Faust).
Again, in Nude, we find no typical verse, chorus song structure. The song opens as it closes, with the same vocal and acoustic instrumentation: strings, percussion, non-lyric voice. Moreover, sections of the string part as well as the vocal accompaniment offer musical palindromes, a musical representation of (and an analogy of) the eternal return, the labyrinthine circle. Here as elsewhere the formal attributes of the work draw our attention to Faustian motifs (the rainbow, the labyrinth).

**Weird Fishes/Arpeggi | Thus Spoke Thom Yorke**

As “Nude” ends in reference to the Little Mermaid’s plight, we find ourselves at the onset of the next song within an underwater tale. Once simply called “Arpeggi,” “Weird Fishes/Arpeggi” starts with a percussive motif and arpeggiations of electric guitar, notes bubble up as the lyrics set the stage: “In the deepest ocean / The bottom of the sea.” Arpeggios in various forms and instrumentations act as a constant leitmotif throughout the album. Chords are refracted, note by note, reflecting the album’s rainbow theme in sonic form.

Fans of the album have not only noted the references to Zarathustra in this song, but have cast its meaning towards the Faustian realm of human striving. A host of scholars have placed Goethe’s *Faust* in conversation with Nietzsche’s *Zarathustra*, noting the ways in which the latter developed formulations derived from the former. For instance, Bishop and Stevensen write of how “the aesthetic transformation of the moment in Faust takes the form of the doctrine of the eternal recurrence in Zarathustra.” Thus, with *In Rainbows*, we begin with a Zarathustrian moment that we will find runs analogous the the album’s closing adaptation of the transformative
moment of Faust, casting a ripple of analogy, a circular labyrinth, a “ripple on a blank shore” (105).

MSNBC writer and blogger Ned Resnikoff details how the prologue to Part Four of Thus Spoke Zarathustra offers an elaboration of Zarathustra’s analogy for his views on the progression of mankind, where (in Walter Kaufmann’s translation) man is seen as “queer fish,” which Resnikoff notes may be alternatively translated as “weird fishes.” Here is the sum of Resnikoff’s interpretation of the song’s analogy:

In typical post-OK Computer Radiohead fashion, the lyrics are pretty cryptic, so there’s a lot of room for interpretation; but one interpretation I’m finding increasingly plausible is that the song is being sung from the perspective of someone who lives “in the deepest ocean” among all the other unenlightened “weird fishes” and knows he would be “crazy not to follow” Zarathustra, yet is too scared. I don’t know, maybe that’s a little far-fetched. But I wouldn’t put it past those guys (Resnikoff Online).

Zarathustra tells of his desire to go fishing for these weird fishes, as Resnikoff notes, “baiting his lure with his own laughter and humor and then reeling them in to bring them up to the height of his wisdom.” Here, Z seeks to enlist the unenlightened into the Faustian endeavor of becoming, of human striving.

Further reference rests in the lyrics, as Yorke sings, “I get eaten by the worms / Weird fishes / Get picked over by the worms.” One could interpret the narrator here as dragged down by those unenlightened he/she sought to bring up into “something beyond themselves,” as Zarathustra speaking as overman to man: “do you want to be the ebb of this great flood and even go back to the beasts rather than overcome man? What is the ape to man? A laughingstock or a
painful embarrassment. And man shall be just that for the overman: a laughingstock or a painful embarrassment. You have made your way from worm to man, and much in you is still worm...” (Nietzsche 7).

One analogy begets another, and the previous song’s quotation of *The Little Mermaid* draws one to make an analogy between this song’s ‘wierd fishes’ and ‘worms’ to those “poor unfortunate souls” of Disney’s Faustian adaptation. After Ariel has made her deal and sold her soul to Ursula, after she has been lured by the Phantom Eric, we see the fallen Fausts, helpless worm-like fish creatures having lost their own individual bargains. These two analogous sources for our weird fish stand as opposites yet are aligned as dystopic exemplars, the former are pre-Faustian while the latter are fallen Fausts – these Fausts are not activated into rebellion or striving nor are they saved.

For Ed O’Brien, this song is “obviously epic.” in a way that is less about the “stadium” effect and more about “beauty, like a majestic view.” Certainly, many listeners have also taken the song to bear an ecocritical imperative, for which the band is known to make both explicitly in their advocacy work and implicitly in their “cryptic” lyrics, echoing the call of Zarathustra as well to “remain faithful to the earth and do not believe those who speak unto you of superterrestrial hopes! Poisoners they are whether they know it or not.”
All I Need | Of Gretchen

All I Need offers one of the album’s rare narrative treatments, which threads throughout the song’s lyric. Through this narrative, we find an adaptation of Faust’s retreat into the woods, there drawn for solitude and respite from his conflicted love for Gretchen – torn between erotic love and agape. Our Faust too is torn by the ambivalent nature of a relationship characterized as simultaneously destructive yet desirable. The narrator describes this relationship in two sets of analogies:

I’m an animal

Trapped in your hot car

I am all the days

that you choose to ignore

I am a moth

who just wants to share your light

I’m just an insect

trying to get out of the night

Among the two scenarios, we map the following analogs, leading to the overarching source analogy:

animal - hot car - death/danger

moth - flame - death/danger

**narrator/self - other/lover - death/danger**
In each analogy, the animal/moth/narrator is helpless, unable to escape the deadly heat of a car in summer, drawn to danger on instinct, unable to see the perils of the flame. In Goethe’s play, when Faust retreats into nature to regain his control over his desire for Gretchen, he is confronted by Mephistopheles with a picture of Gretchen. He then gives up the struggle and returns to seek her out. “All I Need” offers an analogous course of action here:

You are all I need
I’m in the middle of your picture
Lying in the reeds

It’s all wrong
It’s all right
It’s all wrong

Our narrator concedes his need for the other, in a moment characterized by its setting, its natural surroundings, and his actions “I’m in the middle of your picture.” Here, the meaning of the song rises from the second degree, attained through the interpretation of analogy. Meaning is distanced from the literal, refracted. The musical approach of the song, as throughout the album, echoes this motif. Yorke spoke to the complexity of recording, and its intentions: “We deliberately did this thing to get a series of disembodiment when we were assembling tracks. So the vocal may be from one version or the drums may be from another. If there was something that you were particularly fond of you kept it from that take and forced it on the other version…. ‘All I Need’ was the outcome of four different versions of it. It was all the best bits
Thus the recording is refracted too, recorded “in rainbows,” parts of a whole that never existed, aimed at instilling a sense of “disembodiment.”

Within “All I Need,” tone clusters echo on pipe organ, a continuation of the celestial soundscape of the album. The percussion leads the track at the onset alongside a vocal line that carries the melody alone. The bass line and Fender Rhodes tremble in unison, buzzing in technical overlay (pedals). Later, the vocals become harmonized by light, romantic glockenspiel, its entry marked by the whirr of sinister electronic effects that continue to streak across the soundscape in gathering intensity until they drop out at 2:26. This offers one of the more striking examples of where the album’s instrumentation and techniques echo characters and themes from Faust. We’ve seen the arpeggios scattered throughout the work. Now, we see Gretchen, who can only arrive in conjunction with Mephistopheles. Throughout the work we may trace the attribution of instruments/motifs to characters. Faust is symbolized by the arpeggios (A symbol of his human striving) and organic instrumentations – the human voice, the driving (striving) guitar and piano. Mephistopheles appears with the entry of distorted technological tricks and eerie electronic noise. At 2:45, as our narrator gazes upon the portrait of his other, the mood and orchestration of the song changes, reflecting the shift in the narrator as he comes to a decision. The mood simultaneously lifts and intensifies, glockenspiel is joined by York’s offbeat hammered piano accents on a complex and ambiguous, yet ultimately major, chord (Cmaj9# 11). Strings swiftly gather, offering full coverage of the frequency spectrum, a technique mirrored in György Ligeti’s *Atmospheres*. In this string approach, Greenwood sought to capture the white noise effect generated when a band plays loudly in an enclosed room (as opposed to a studio environment), the sound signifying to him the way in which “all this chaos kicks up.”
Faust Arp | Defamiliarization vs Adaptation

Like the staggered entry of instruments into each key movement, like the separated rises and falls of the chord structures, the lyrics too reveal themselves in pieces, fragments of meaning that resist deterministic absolution, ripples on a blank shore awaiting the assignation of multiple meanings. In addition to their formal fragmentation, the lyric fragments invite a layering of meaning, opening themselves to multiple simultaneous referents. Take the title of Faust Arp, for instance. Fans have several theories on its connotation.

The title is sometimes read as a play on the name Jean Arp, the founder of Dada. By alluding to Jean Arp, through the suggestion of the “first name, last name” structure implied by the use of Faust (a first name) and Arp (a last name) together, the song references one of the first artists to enlist randomness and chance as collaborators in their process. Arp was a founder of the Dada movement and a participant in Surrealism and the Abstraction-Création movement. Major themes connect much of his art: transformation, growth, metamorphosis. Yorke too is known for employing chance and randomness in his compositional techniques, leading listeners to assume those techniques may be at play here. Furthermore, the conjoining of the two identities (Faust + Jean/Hans Arp) in this titular interpretation exemplifies the entire album’s overriding technique of juxtaposing contradictory creative/interpretive forces. Analogy and adaptation are born out of our primary human drive to create order, they guide meaning through the analysis of similarity

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72 Interestingly, the allusion begets another interpretive referent. Dali’s 1968 “la Nuit de Walpurgis” of Faust (21 pieces) used rubies and diamonds as engraving tools. For In Rainbows, Donwood used hypodermic needles. A similar physical etching process, the former through the use of natural objects and the later through the use of scientific instrument.
and difference between concrete source and target analogs. In opposition, surrealism privileges chance/chaos, and eschews guided/absolute meaning. The work’s arpeggios and constant fragmentation of both form and content acts in a similar fashion. Throughout the work, these techniques come into conflict, offering a heady mix of familiarity and defamiliarization – this is the crux of *In Rainbows* as a resistant, adaptive concept album.

However, there are several compelling references conjured by the title, and discussions of the song often mention at least two other alternative meanings. Some have thought that the Arp of the title refers to the ARP synthesizer manufacturer, as the band was known to have used an Arp 2600 during the recording of *In Rainbows*. Others, thinking of the album’s other track, “Wierd Fishes/Arpeggi,” think the title alludes to the musical term ‘arpeggio.’ With these interpretations, we find a connection between form and content typical to the work: the musical form of the arpeggio is given attention in the album’s lyrics in name and in allusion and the arpeggio is also a key formal motif of the album.

The direct reference of the name of Faust here in the song title, paired with the Mephistopheles name drop in the final song of the album, was enough for many fans to start looking for larger connections and meaning throughout the album. In other words, the direct reference of the two main characters and analogs of the Faust narrative function as analogical/adaptive triggers, signaling to the audience to consider the album as a full adaptive work. For example, as one questioned:

Is there any reason why there are multiple references to German folklore in In Rainbows?

One is the title "Faust Arp," where Faust is a man and he gives his soul for unlimited knowledge and worldly possessions, and the second is the line "Mephistopheles is just be
neath" in Videotape. Mephistopheles is a demon in the Faust legend. So, fellow Radio head lovers, I ask you, do you know of any links between In Rainbows and German Folklore/The Faust Legend? (TheFlanintheFace Online).

And so, fans came together to pour over the album looking for more references and trying to weave together a larger narrative interpretation from what they found. Triggered by these easier, more direct analogies, listeners are drawn to further -and often fully- analogize the work. Some listeners have attempted to form a complete Faustian narrative from first to last track (Online). This is the work of analogy - the audience moves from trigger to mapping, focusing on building a systemic series of analogies that contribute to an overarching analogy - the essence of the adaptation. This mapping illustrates how listeners have taken the dominant of the source analog and mapped it onto the album/target; here the narrative dominant of Faust becomes the primary lens for the interpretation of the concept album. This may be seen to cause a misfit, a ‘false’ or unintended analogy of the sort seen in cognitive studies on the function. However, this doesn’t invalidate the reading. Aside from our adherence to the principles of reader response criticism and the death of the author, it also points to the power of analogy in structuring our textual responses in adaptation studies.73

To perform the adaptive analogy holding the target dominant as an organizing structure, we’d instead consider the work “in rainbows” – where the formal dominant reflected in the music and lyric form engenders a non-narrative Faustian, where Faust is an analogy for human striving and the search for meaning. In this mapping, we might see each song as shedding light

73 Could do more ‘reader response” analysis here. If desired.
on one or more Faustian concepts, themes, or moments – a saved Faust, a damned Faust, an apparition of Helen, the making of a deal, etc..

The lyrics of “Faust Arp” seem to implicate us all in the analogy. We are all Fausts now, struggling against our own Mephistopheles, yet we “fall like dominos” to ideology, we arrive defeated, like Joanne, a robotic Stepford Wife “dead from the neck up.” “Stuffed” puppets, we “take a bow” not of our own volition. Perhaps now we are all weird fishes, welcoming a newly failed Faust to join our ranks:

Watch me fall
Like domino's
In pretty patterns
Fingers in the blackbird pie
I'm tingling tingling tingling
It's what you feel now
What you ought to, what you ought to
Reasonable and sensible
Dead from the neck up
Because I'm stuffed, stuffed, stuffed
We thought you had it in you
But no, no, no

With “Faust Arp,” York has commented that the lyrics are culled from much longer notebooks with stream of consciousness style constructions. The fragments we are left with here are imagistic, referential, evocative yet cryptic (likely the most used adjective in radiohead fan
analyses). What meaning is there in the reference to a nursery rhyme? Another statement on corrupt power structures? As the lyrics flit from fragment to fragment, reference to reference, the music too oscillates between 3/4 and 4/4 time. All is shifting, layered, unstable.

**Reckoner | The Next Act**

In a previous song we’ve been told “I’m the next act / waiting in the wings.” We could interpret this reference as an allusion to the 2 act structure of Goethe’s Faust, in which Faust’s final reckoning occurs in the second part. Considering Thom York’s typical reluctance to discuss intentions and meaning in his work, his repeated offering that “Reckoner” is the center and transitional point of the album is striking.

We might view “Reckoner” as representation of Faust’s transition at the onset of Goethe’s Part II, from individual to altruistic concerns. The opening of the Act finds Goethe’s Faust “refreshed anew” with a resolve to strive on. In “Reckoner,” we see a Faust who has “observed the restlessness of the tides, the fruitless beating of the waves upon the shore…”74 In Part 2, Radiohead’s Faust, like Goethe’s, turns away from sensual pleasure to esthetic striving:

Reckoner

You can’t take it with you

Dancing for your pleasure

You are not to blame for

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74 10198-209, 10212-33, 10783
Bittersweet distractor
Dare not speak its name
Dedicated to all you
all human beings

Here we have the faustian metaphor for striving for society - not personal gain, which you can’t take with you when you go. But, you can leave behind the changes you make, the ripples you effect. In Goethe, like Radiohead, we find a ripples on a blank shore:

“The Sea Sweeps on, in thousand quarters flowing,
Itself unfruitful, barenness bestowing;
It breaks and swells and rolls and overwhelms
The desert stretch of desolated realms.”

It is then, in seeing how the “endless waves hold sway,” that Goethe’s Faust renounces his individualist concerns in favor for the greater good, to furnish new earth for humankind (“to many millions let me furnish soil”). So too, is this a pivotal point in In Rainbows:

Because we separate like
ripples on a blank shore
(in rainbows)

Because we separate like
ripples on a blank shore
(in rainbows)

Reckoner
Take me with you

Dedicated to all you

all human beings

In pop culture, an “easter egg” is a cleverly hidden joke or reference - in a movie scene, a song, a website, a videogame… Radiohead are masters of the easter egg. Their entire referential aesthetic might be characterized as one extended easter egg hunt, one for which their fans are primed. For example, many think that *In Rainbows* is meant to be played in sequence with their album *Ok Computer*, with the tracks woven in a one to one ratio. Some would go so far as to say this theory offers the greatest musical easter egg of all time. I disagree. But, as evidence to the hunger of Radiohead fans to delve into reference and theory, take that a playlist featuring the two albums in sequence has garnered over 2 thousand followers in six months with no promotion or featuring (users had to search for the name of the playlist, which is the name of the conspiracy theory “0110”).

The most lauded easter egg of *In Rainbows* though, occurs at its “golden ratio,” which falls at 3 minutes into “Reckoner.” It is at this moment that the background vocals can be heard singing “in rainbows” – if you listen closely enough. It’s quite hard to discern. But here, at the “golden ratio” of the album,\(^75\) we find the core analogy of the work most directly expressed in lyric form:

Because we separate like

\(^75\) In a work of art the golden ratio appears at 1/1.618 (~61.8%) of the way through the work.
ripples on a blank shore
(in rainbows)
Because we separate like
ripples on a blank shore
(in rainbows)

Of the Golden ratio theory, the band quipped:

Ed O Brien: This is really interesting, because you know it's basically found in nature. Another thing that's interesting in terms of the record—because this theory apparently says that you get to the heart of the record right in the middle of "Reckoner". Which is...

Thom Yorke: That's very true.

**House of Cards | A Suburban Walpurgisnacht**

Where most songs of the album open with percussion, here we open with electric guitar, high in reverb enacting the song’s lyrics in sound: electricity spiking on a wire, “voltage spikes.” Later, the drum kit kicks in, then Thom’s wordless vocalizations, cloaked in reverb, finish the sequence of arpeggiated entries.

The lyrics begin, “I don’t want to be your friend. I just want to be your lover.” With “House of Cards,” we find ourselves in a suburban Walpurgisnacht: a swingers party. Here, the mainstream status quo of the suburban sublime so sinisterly represented in *The Stepford Wives* is inverted as friends and neighbors become lovers, but just for one night: “Throw your keys in the
bowl / Kiss your husband goodnight.” Here, the narrator implores his proposed lover to “forget about your house of cards” as “The infrastructure will collapse.”

In “Down is the New Up,” one of Thom’s rejected picks for inclusion in the main album (CD 1), we find our second Walpurgisnacht. The song stands out amidst the Radiohead oeuvre for its theatricality and cohesive narrative, offering an address of the audience that heralds: “Down is the new up, is the new up.” This is the class reversal of Walpurgisnacht, a “180 flip-flop” that the song suggests lands us in a “Topsy turvy town, topsy turvy town” in which a lens is aimed at the ruling class and power systems, whose “services are not required,” as the narrator asserts: “Your future’s bleak, you’re so last week.”

While not hitting upon the source analog of Walpurgisnacht, listeners and fans have nonetheless presciently remarked on the way in which the song carries out its agenda of dismantling power structures: “I always interpreted house of cards as meaning the economic, societal structures we have built for ourselves has given us a false sense of safety and permanence. These house of cards are so easily wisked away on a whim. That's why I thought the music video was perfect showing power lines, houses, people just sort of fading away like collapsing cards.” (Greenplastic).

As in most transtextual arenas, Radiohead makes concerted use of the music video medium, which is always an integral, and often interactive, paratext to their albums. Their music videos are consistently cinematic and signal departures from typical music video formats in various ways, by eschewing performance based narratives, opting for innovative cinematic and

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76 Wanted to expand here but can’t find the source I’m thinking of linking to… I know we read it in our Faust class. Bloch? on Walpurgisnacht…
animation techniques, and opening the videos and their creation up to fans and artists. *In Rainbows* was no exception.

In creative talks for the “House of Cards” music video concept, Yorke cited his desire for the representation of two things: a party scene and a vaporization. The party scene offers a paratextual extension of our Walpurgisnacht, where the latter, perhaps, as one fan notes, offers its intended effect: the dissolution of order. Alternatively, in its deterioration of representation, the vaporization effect of the song’s video paratext gestures towards the Faustian metaphor of the rainbow and the idea that meaning is ultimately and inevitably fragmented or unattainable. While the subject aligns with this reading, so too does the medium and “recording” process of the “video.”

The official music video for “House of Cards” advanced the use of technology in filmmaking. It was nominated for a Grammy Award for Best Short Form Music Video, a UK VMA for Best Rock Video, and for the British Design Museum Awards. The “film” was the first artistic work to be shot *without* the use of any cameras. Instead, the work employed lasers and scanners to produce moving 3D images. The video, like the album, also took a novel approach to distribution and interactivity, as it premiered on Google and was also launched as an Open Source project on Google Code. Furthermore, an interactive online viewer allowed anyone to alter the data online (using Flash).

The inspiration for the medium of the video came from electronic artist and researcher Aaron Koblin’s work at Center for Embedded Networked Sensing (CENS) at UCLA. Koblin acted as Director of Technology for the “House of Cards” 3d data “music video” source code and interactive data viewer (a version of which lives on at his website). This interactivity fragmented
the work, this time through the creation of myriad individually influenced and partially fan-authored versions. The pretext, like the album, is offered to us “in rainbows.” Echoing the use of multiple technologies to capture the solar flare that acted as source analog for the album art, several different technologies went into the making of the video: the Velodyne and Aerotec LIDAR (light detection and ranging) laser systems and Geometric Informatics sensors. A scanner operating through the use of structured light to compose detailed 3D images at close range, the Geometric Informatics system was used to capture human images. The LIDAR laser systems were used to scan large-scale 3D environments, with the Velodyne operating a sum of 64 lasers rotating in 360-degrees at a speed of 900 times per minute and the Aerotec composing airborne color 3D LIDAR models for large outdoor scenes. The colors of the video are sources in the Aerotec elevation models (versus their colorized models, which reproduce realistic color mappings), offering four levels of elevation from blue up through green, yellow, and red. Here again, we are directed to the artifice of the rainbow.

Yorke was drawn to this alternative use of technology. Of the creative process, he commented “I always liked the idea of using technology in a way that it wasn’t meant to be used, the struggle to get your head round what you can do with it. I like the idea of making a video of human being and real and time without using any cameras, just lasers, so there are just mathematical points – and how strangely emotional it ended up being.” The novel use of 3D mapping and modeling here brings attention to itself, its artificiality, and reinscribes the rainbow in a new, non-visual way – where still the rainbow represents fragmented, unattainable meaning.
"Videotape," the final song of the album offers a narrative adaptation of the climactic resolution of Goethe’s Faustian bargain. We find our subject addressing a sublime moment: “When I’m at the pearly gates / This will be on my videotape, my videotape.” The narrator, speaking of and/or to the moment, calls it fair enough to be what they’d bring to their final judgment to be remembered by. After exclaiming upon this moment, our narrator reveals “Mephistopheles is just beneath / and he’s reaching up to grab me.” Thus, the song takes us to Goethe’s tale, in which Faust’s bargain is to concede his soul and life to Mephistopheles, should the demon ever find him fully contented in a moment: “If to the moment I shall ever say: / “Ah, linger on, thou art so fair!” / Then may you fetters on my lay, Then I will perish, then and there!”

In Goethe, Faust is saved by having not yet experienced his wished for moment. Instead, he has merely said that he could see himself being contented in this moment. Thus, he is saved. Will our narrator be saved? Or, has a moment of contentment sealed his fate? We might look to the work’s musical analogies for one possible answer. “Videotape” is a streamlined ballad of voice, piano, and percussion. Its chord structure and piano part, a defining portion of the song, is a direct adaptation of the chord structure and piano part of Brian Eno and Harold Budd’s “Not Yet Remembered.” This would suggest our moment too is “not yet remembered,” and thus a parallel moment to Goethe’s wished for moment, thereby saving our dear narrator.\textsuperscript{77}

The narrator continues, remarking on the quality of the moment: “This is one for the good days.” Then, we’re told of the way in which the narrator experiences the moment: “and I have it

\textsuperscript{77} Add tracks referenced are playable here: https://open.spotify.com/user/1233889993/playlist/0iHC0B2oUAsvBBH1BjO4Pv
all here / In red, blue, green / Red, blue, green.” Color sources with illumination, such as this screen you’re reading or the screen of a television, operate via color additions, using RGB pixels (red, blue, green). The colors here are those of videotape, our moment as perceived through the technology of videotape, it is experienced in remove, in rainbows.

Ultimately, we’re not sure whether our Faust is saved: “No matter what happens now / You shouldn’t be afraid / Because I know today has been the most perfect day I’ve ever seen.” The moment has passed. But what happens now, we aren’t told. In live versions of the song before its recording, it was heralded for its dueling piano and percussion, the two lines engaged in “a rhythmic tug-of-war,” where the drums played opposite the piano. We hear this too in the more streamlined album recording. The percussion (a roland tr-909 drum machine) clatters with deep ominous echoes. Within the band, there was a disagreement over where the one beat should be; Yorke always wanted the piano to be an eighth note ahead of the drums, which conceptually bothered Jonny. But the piano is always seemingly ahead of the ominous technological percussion, reaching out to grab at the chords but not quite catching up to them. This never resolves. The rolling snare never quite catches the churning cycles of piano chords. Perhaps, Mephistopheles never quite captures our Faust.

*It’s Analogies all the Way Down*

Once hooked into viewing the album as a Faustian concept album, listeners are drawn to make repeated analogies that link the album to past referents from their own knowledge and experience—or else search out new ones from textual or authorial allusion. Regardless of authorial intent, meaning is generated through the interpretation of these analogies. The process
of adaptive consumption leads listeners through their own oscillations, making connections between the album and their experienced source analogs. Where in film this oscillation process is most present during the initial viewing, with *In Rainbows*, the oscillation is protracted, with triggers hidden throughout the work and referents often sought out through research by listeners instead of remembered from the experience of a single source analog.

As a final example, one might consider the “bonus” CD that accompanied the collector’s edition, which included two instrumental interludes. The first, titled MK1, serves as the bridge between the first and second CDs, processing cuts of vocals and piano from Videotape. A second is titled MK2. According to the Thompson Motif Index, the M category signifies bargains, it is exactly where the Faustian bargain motif resides: “man sells soul to devil” (M211). The other letter in which Faustian themes appear (of 26 employed in the index) is K, which signifies deceptions, including “deceptive bargains” (K100– K299) a trend in Faustian adaptations:

- K170. Deception through pseudo-simple bargain
- K200– K249. Deception in payment of debt
- K200. Deception in payment of debt
- K210. Devil cheated of his promised soul

A listener familiar with the literary Faust and having listened to the whole album, with its myriad analogies to Faust, may read in this epilogue, an definitive answer. Our Faust is saved. The devil is cheated of his promised soul.


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