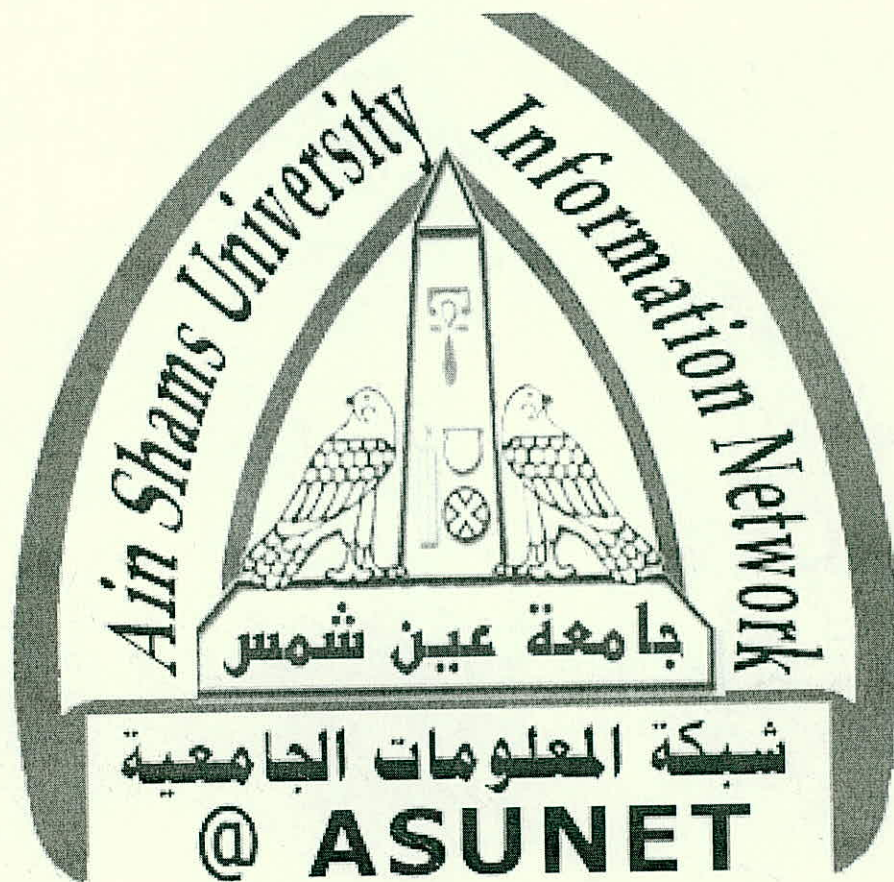




شبكة المعلومات الجامعية

بِسْمِ اللَّهِ الرَّحْمَنِ الرَّحِيمِ





شبكة المعلومات الجامعية



شبكة المعلومات الجامعية

التوثيق الالكتروني والميكرو فيلم





شبكة المعلومات الجامعية

# جامعة عين شمس

التوثيق الالكتروني والميكرو فيلم

## قسم

نقسم بالله العظيم أن المادة التي تم توثيقها وتسجيلها  
على هذه الأفلام قد أعدت دون أية تغييرات



## يجب أن

تحفظ هذه الأفلام بعيداً عن الغبار

في درجة حرارة من 15 – 20 مئوية ورطوبة نسبية من 20-40 %

To be kept away from dust in dry cool place of  
15 – 25c and relative humidity 20-40 %



شبكة المعلومات الجامعية



بالرسالة صفحات

لم ترد بالأصل





شبكة المعلومات الجامعية



# بعض الوثائق الأصلية تالفة

**The 'Literariness' of Text In Jakobson's Formalism and  
Brooks's New Criticism**

**A Thesis Submitted to the Department of English  
Language and Literature, Faculty of Arts, Cairo  
University**

**In fulfilment of the requirements  
for the Ph.D. Degree in English Literature**

**By**

**Mahmoud Amin Shehab**

**Under the Supervision of**

**Professor Mohamed Enani**

B  
07C12

**2002**

## الاجازة

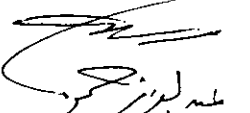
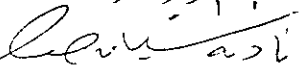
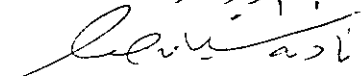
أجازت لجنة المناقشة هذه الرسالة للحصول على درجة الدكتوراه في ٢٩/٦/٢٠٠٢

بتاريخ ٢٩/٦/٢٠٠٢

بتقدير / بمرتبة ١ شرف المولى

بعد استيفاء جميع المتطلبات

### اللجنة

الاسم	الدرجة العلمية	التوقيع
(١) د.أ.د. محمد محمد عناني	أستاذ متفرغ	
(٢) د.أ.د. عبد العزيز حمودة	أستاذ متفرغ	
(٣) د.أ.د. نادية سليمان حافظ	أستاذ متفرغ	

## Table of Contents

Acknowledgement .....	1
Preface .....	2
Jakobson and the Misconceptions of 'Scientific conceptions' .....	7
The Well-Wrought Urn and Misunderstanding Poetry .....	54
The Breakdown of Theory and Practice .....	131
Conclusion .....	181
Select Bibliography .....	190



## Acknowledgement

I would like to thank Professor Mohamed Enani for his patience and kind support. Since I became a postgraduate student he has never failed to show concern for my academic welfare. As the supervisor of this thesis, he has shown a flexibility of mind coupled with his usual sagacity, a combination that, I have found, allows for the free play of personal academic potential while at the same time providing the solid reassurance that one requires when undertaking to write a thesis. This work is dedicated to him.

## Preface

Affinities have been observed between Formalism and (by now) the old 'New Criticism'. Indeed, the exponents of both have openly declared their advocacy of a closed reading of texts on the basis that literariness can only be regarded as emanating from within texts, and that a work of art is thus an integral and complete 'whole' independent of extraneous factors.

As is invariably the case with every movement of literary criticism, there have been divergent views within each school. Focus therefore becomes necessary. This thesis is therefore concerned with the theories of Jakobson and of Cleanth Brooks and Penn Warren. Jakobson is considered one of the pillars of Russian Formalism who gave it its 'scientific' outlook. Because Brooks and Warren collaborated together in writing university textbooks on literary analyses which have had their impact in the academic field, they are ranked as two of the most important of the New Critics. In dealing with these three exponents, it was natural to concentrate on their

seminal works: Jakobson's 'The Dominant', Brooks's *The Well Wrought Urn*, and Brooks and Warren's *Understanding Poetry*.

There is an advantage in juxtaposing Jakobson on the one hand with Brooks and Warren on the other. Jakobson's theory remains nothing more than abstractions, for Jakobson never brought them into the realm of applications. Brooks and Warren display the practical side of closed reading and may therefore be said to supplement Jakobson in this respect. The three seen together allows one to form an opinion on the validity or otherwise of a formalistic literary criticism.

The thesis is divided into three chapters. The first examines Jakobson's theory as expounded in "The Dominant". Chapter II analyses Brooks's *The Well Wrought Urn* and his and Warren's *Understanding Poetry*. The ordering of the chapters is not merely dictated by chronology. The first chapter is based on refutations of abstract contentions, and the arguments involved are thus on a purely theoretical plane. The second chapter hardens the arguments against a formalistic approach into practical expositions. In the third chapter



the theories of Jakobson and Brooks and Warren merge, again with practical demonstration provided by the latter two. The strategy of the thesis may therefore be delineated as: abstract-practical –abstract and practical, the last meant to be an amalgamation of the first two.

It will be noticed, however, that Brooks and Warren did not adhere to any one strict rule. Though they insisted on a closed reading approach they sometimes deviated from their emphasis on form to encompass content; for example, Brooks's insistence on 'essential reality' which is mentioned in chapter II. This makes an exposition of their theory somewhat problematical, since it raises the issue of whether they really knew their mind. In this light it was impossible to focus solely on their insistence on formalism, since such a focus would entail presenting a one-sided view. But formalism does rank uppermost in their writings, and so it has been given its due prominence.

Critics naturally fall into two camps, those who attack a formalistic approach, and those who support it. Their arguments however are purely in the abstract and therefore tend to be

generalized. To the knowledge of this researcher, no critic has attempted a step-by-step analysis of "The Dominant" or, more conspicuously, of *The Well Wrought Urn* and *Understanding Poetry*. Critics have been used only when deemed absolutely necessarily. They are mentioned in two cases. The first is where critics may present formidable arguments against our own. In such instances the core of the arguments they present is given with a view to counter-argument. The second case is where critics consolidate our own contentions. But in the main, a step-by-step analysis of the texts under discussion meant that space had to be cleared for the arguments presented by this researcher; and it has been considered that such an approach not only may bring out the theories under question in a detailed and concrete manner: it may incidentally enhance the argument against those critics who advocate a formalistic approach to literary texts.

The reader will notice that judgment has already been passed here on 'closed readings'. The premise is not one of personal bias. The judgment springs from the simple common-sense fact that the

literary talent, and more so, the genius of countless men-of-letters cannot be imprisoned in a set of formulas, no matter how elaborately woven – and Jakobson does weave them elaborately, complete with terminology and fuzzy declarations. It was in order to prove, or to attempt to prove, this simple observation (amazingly missed by all the schools of literary criticism) that quotations are used extensively, particularly the poems cited by Brooks and Warren and their comments on them. This has been considered a necessary procedure in order to show the inadequacy of formalism and, more to the point, what is wrong with it.

But it is hoped that the judgment expressed here does not prejudice the observations made in the concluding chapter. The ultimate goal of the thesis, which the concluding chapter expresses, is to suggest a sound critical method derived from the arguments presented in the main chapters. If this suggestion may be considered at least by some as commendable, then the effort that went into this thesis was well spent.



## Chapter One

### **Jakobson and the Misconceptions of ‘Scientific Conceptions’**

The basics of Jakobson’s theory of Formalism are of course well known to the student of literary criticism, but it would be convenient to set them down for the sake of argument, in order to examine the objectivity it claims to be its characteristic.

Formalism ultimately aims at literariness; that is, what makes a work of literature distinct from other modes of writing. The focus in this connection is on the linguistic aspects. The Formalist claims that literature is based on a specialized mode of language or ‘formal features’ centering on the interrelationships among the linguistic signs themselves. These interrelationships in turn lead to the foregrounding of the utterance; that is, to bring it into prominence and make it dominant in perception. With this, literature ‘defamiliarizes’ language, to make a freshness of