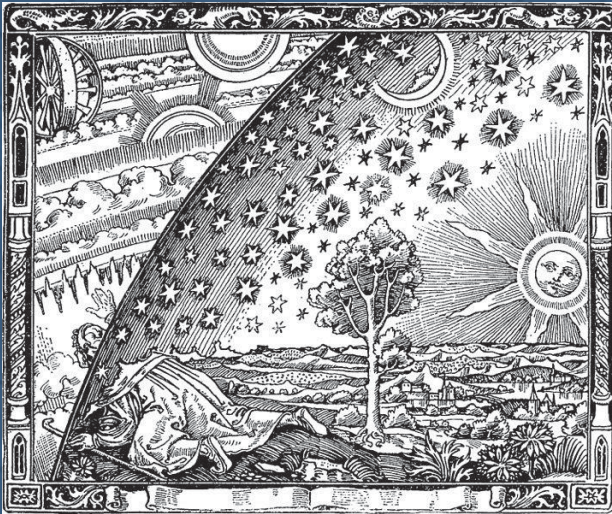


# Time and Space

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Proportion Harmony Identities



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## TIME AND SPACE

The texts presented in Proportion Harmonies and Identities (PHI) Time and Space were compiled to establish a multidisciplinary platform for presenting, interacting, and disseminating research. It also aims to foster awareness and discussion on Time and Space, focusing on different visions relevant to Architecture, Arts and Humanities, Design and Social Sciences, and its importance and benefits for the sense of identity, both individual and communal. The idea of Time and Space has been a powerful motor for development since the Western Early Modern Age. Its theoretical and practical foundations have become the working tools of scientists, philosophers, and artists, who seek strategies and policies to accelerate the development process in different contexts.

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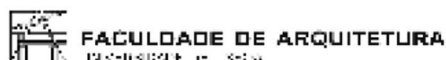
Through an international CFP, scholars have been invited to submit full chapters on theoretical and methodological aspects related to the theme “TIME AND SPACE” in the scientific fields of Architecture, Arts, Humanities, Design, Social Sciences, hard sciences, and technology.

All full chapter proposals were subjected to double-blind peer review and distributed to senior researchers for evaluation according to each scientific area. Members of the scientific committee also peer-reviewed papers within their field of expertise. This book is the outcome of the assessment, revision, lengthy selection, and production process that lasted ten months. Chapters proposed by members of the Committees also underwent the double-blind peer review and obeyed the anonymity rule.

## BOOK PRODUCTION REPORT

Eighty-three full papers were submitted. After the selection, the Reader will find in this book sixty chapters written by authors (senior researchers and post-graduation students) from Brazil, Germany, Italy, Japan, Poland, Portugal, Romania, Sweden, Ukraine and the United States of America.

## Sponsors



This book had the support of CHAM (NOVA FCSH/UAc) through the strategic project sponsored by FCT (UIDB/04666/2020 and UIDP/04666/2020).





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## Editorial foreword

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Dear Readers

We are pleased to present the fifth volume of the PHI series (Proportion, Harmony, and Identities)<sup>1</sup>, entitled *Time and Space*. It is the outcome of a Call for full papers launched internationally in October 2021

PHI book series and congresses are annual international events for the presentation, interaction, and dissemination of multidisciplinary research related to the broad topic of “Harmony, Proportion, and Identity” relevant to Architecture, Urban Planning, Design, Arts, the Humanities, Social Sciences but also opened to the hard sciences and technology.

The PHI Project aims to foster awareness and discussion on the importance of multidisciplinary studies and their benefits for the community at large, crossing frontiers set by Western academic tradition, which, according to the project organizers, frequently prevent the communication of knowledge and the creation of bridges that may foster humanity’s evolution.

Due to the pandemic, the INTERNATIONAL MULTIDISCIPLINARY CONGRESSES PHI were canceled in 2020 and 2021<sup>2</sup>. In October 2022, we organized on-site the PHI Multidisciplinary Congress at the Faculty of Architecture, University of Porto. During the three days, researchers, from ten different countries, all over the world, presented their research on *Time and Space* and shared it in a friendly and inspiring atmosphere.

The book you are about to read collects their research, organized into four major sections, each divided into chapters.

When organizing the book, we’ve tried to leave some feeling of the multidisciplinary research presented during the Congress. However, that could not be done by randomly organizing the chapters or reproducing the Congress Program; therefore, you will find four parts. The content of the presented research conveys the sense of multidisciplinary in the various ways Time and Space were approached by each researcher and the multidisciplinary perspective that stands at the foundation of every essay here published.

The first part, bearing the same title as the book, includes the texts of our invited scholars. The first one is a brief introduction to the theme by Mário Kong, followed by Marc M. Cohen’s text on “Space, Time, and Space Architecture,” which interweaves the humanities, physics, and the young research field of space architecture. Next, Marie-Laure Ryan’s “Objects, Narratives, Museums” focuses on the recent “material turn” in cultural and literary studies and how this trend reflects a new conception of museums<sup>3</sup>. Our third Keynote, the artist Tatiana Macedo, addresses the question of individuals’ relation to time-space and the

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1. The second in Open Access and the seventh PHI book published by Routledge/CRC Press.

2. Though the research produced by those who answered our CFPs in 2020 and 2021 was published.

3. Museum is a subject also discussed in other essays from different perspectives.

escape the mind can offer the body from time-space constraints. This exercise is developed using Tatiana Macedo's Experimental Documentary *Seems So Long Ago, Nancy*.

The second section deals with Time and Space in architecture, urban planning, and design. These areas' strong connections with the humanities, the social sciences and the hard sciences are unquestionable. The chapters within the second part include theoretical discussions, the applications of new technologies, reflections on pedagogy and the teaching of architecture, and preliminary research data aiming at solving concrete issues, all having in mind the Congress/Book theme: Time and/or Space.

The third part assembles texts dealing with time and space in the arts, particularly theatrical performances, still lives paintings, alternate realities, and contemporary art.

The fourth and final part includes essays in the area of the humanities. In the second section, the chapters are organized broadly by areas of issues. The Humanities is, the *per se*, a multidisciplinary field: archeology, history, literature, culture, languages, and philosophy are intimately related, and, in all, time plays an important role. Therefore, we adopted the major rule of comparative studies: texts/issues must be chronologically arranged and analyzed. The Humanities section will take the Reader on a trip on how some human cultures dealt with time and space from pre-Classic Antiquity to the twenty-first century.

Apart from our intervention in the selection and organization of the volume, all individual chapters are the sole responsibility and authorship of their respective authors.

The present volume, *Time and Space*, would not have been possible without the support of the Faculdade de Ciências Sociais e Humanas (NOVA FCSH), the Universidade NOVA de Lisboa, the Lisbon School of Architecture - University of Lisbon, the Research Unit CHAM – Center for the Humanities, the Faculdade de Arquitectura do Porto-Universidade do Porto, as well as Fundação para a Ciência e Tecnologia (FCT).

## Erratum

It came too late to our knowledge that in the Book Series PHI 2021, in the chapter written by Miguel BAPTISTA-BASTOS and Soledade PAIVA DE SOUSA, entitled “Innovation versus Tradition in a building in Portugal; Casa da Música, in Porto,” there is a mistake in page 234, lines 2 to 3: where it reads “This chapter had the financial support of CHAM (NOVA FCSH/ UAc) through the strategic project sponsored by FCT (UIDB/04666/2020)” should read “This chapter had the financial support of CIAUD through the strategic project sponsored by FCT (UIDB/04008/2020.”. We apologize to the authors for this unfortunate mistake.

*Part I*  
*Time and space*



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# Introduction: Time and space

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**ABSTRACT:** Veniet tempus quo ista quae nunc latent in lucem dies extrahat et longioris aevi diligentia; ad inquisitionem tantorum aetas una non sufficit, ut tota caelo uacet: quid, quod tam paucos annos inter studia ac uitia non aequa portione diuidimus? Itaque per successiones ista longas explicabuntur. Veniet tempus quo posteri nostri tam aperta nos nescisse mirentur.

Seneca, *Naturales Quaestiones*, Book 7, [25,4] and [25.5]<sup>1</sup>

**Keywords:** Time, Space, Artes, Architecture, Science, Creativity

## 1 INTRODUCTION

The creative spirit does not only live from the internalization of concepts, rules, practices, and conceptions. To trigger the creative process, it needs to fantasize, idealize, ramble and harmonize.

In the creative process, time is differential, and space is unifying. It can be said that time is memory and utopia; space is the real, the concrete, and the representation.

## 2 TIME AND SPACE

The study of the tradition/innovation dichotomy, as a reading of temporalities, whether in arts, architecture, design, engineering, humanities, sciences, social sciences, or technologies, among others, allowed us, in a previous volume of this book series, to exercise the understanding of the experiences carried out throughout history, either through styles or through the cultural circum-

stances associated with the temporal factor that made them last. (Monteiro & Kong, 2021, p. 3-4).



Figure 1. Ptolemy Astrology (1564) unknown author, from “Clavdio Tolomeo Principe de Gli Astrologi, et de Geografi” published by Giordano Ziletti.

1. There will come a day when the passage of time and the efforts of a longer stretch of human history will bring to light things that are now obscure. One lifetime, even if it can be wholly devoted to astronomy, is not sufficient for the investigation of such important matters. And just think of how we divide our tiny number of years unequally between our studies and our vices. So it will take a long succession. [...] There will come a day when our descendants are astonished that we did not know such obvious facts (Seneca, 2010, Book 7, 25. 4-5, p. 130).

Thus, the interest was launched in deepening the question of temporality and confronting it with the place, the space where time acts. In the Time/Space binomial, tradition is based on the physical space that supports and sustains it, while time incites change and innovation.

Anchoring our reflection on the binomial time/space that supports the existence of humanity since, according to the philosopher Kojève, “This other thing is, first of all, Space (the stopping place, in a way). Therefore: there is no Time without Space.” (1990, p. 39).

Following this order of ideas, the two entities are difficult to dissociate: time for a chronological understanding of historical experiences and as a driving factor for a future perspective; space as a material and local reference.

The evolution of life has always been accompanied by the human desire to build and create “something.” This “something” is the need to overcome one’s limits and to find the one ideal place of existence. Thus, Human Beings throughout history in the field of sciences invented - and in the field of arts created - to fulfill their needs at material, physical and spiritual levels.

All creation thus arises from a need, which is transformed into a will and materialized into a reality.

In this order of ideas, time and space allow for explanations based on the conceived heritage and its temporalities. Time and space are interconnected to give connection and cohesion to the formal and functional aspects of humanity’s creations, thus allowing, through their externalization, to denounce time.

Art can contribute, in many ways, to the objectification of the world. Through art, the Human Being seeks explanations that underlie its existence.

The importance of achieving the truth and that it is strictly in correspondence with the aspects of materialization of factual reality is fundamental. The philosopher Immanuel Kant (1724–1804) reflected on this issue in his work “*Metaphysical Foundations of Natural Science*” (1796), referring that sometimes finding the truth requires an investigation in various areas of knowledge. The relationship between theory and experience guarantees us to obtain this truth. Getting to this truth cannot be achieved by a copy; it will inevitably depend on the world, what exists, and who observes it. Throughout its history, Human Being has been revealed to have sensations and to be aware of their experiences in the space in which they live in an attempt to find the references that determine the possible path to finding the truth, that is, knowledge.

Through the artistic and built testimonies our ancestors bequeathed to us, we can see that the search for the reason for existence, the understanding of the world, phenomena, and events are closely linked to the societies’ relationship with the space and the time they inhabit and imagine - past, present, and future.

The procedure of involving time in an artistic work of art is evident in objects that manifest a historical dimension, as is the case in architectural monuments, which necessarily express a spatial and

temporal dimension essential for the perception of the way of life in the time of their conception.

Due to their dimension and durability, buildings and monuments are real examples of the dynamics of time. Therefore, we can define architecture as an art inserted in the class of trans-temporal art forms - they appear in a certain space under specific conditions, but their existence is prolonged in time. Over that time, cultural and social conditions undergo changes that will be reflected in the use of spaces and lead to interventions in the built heritage, especially in the most monumental and significant. These successive interventions mark the unfolding of time and convert architectural work into a witness to history.

Before proceeding with our presentation, it should be noted that the architectural suggestion mentioned throughout this work is justified, in our view, by its evident relationship with the binomial Time/Space. However, the fact that we highlight architecture in this context does not disrespect other disciplines since what applies to this specific artistic area can also apply to others.

The studies and investigations that we have carried out lead us to conclude that, to understand better time and space or space/time in architecture, we will first have to understand the circumstances that led to it. Social data, that is, of function, the constructive data, that is, of technique, the volumetric and decorative data, that is, plastic and pictorial data, are certainly quite useful but ineffective in helping to understand the value of architecture if one forgets its essence - the noun that is space. Bruno Zevi (1918-2000) was led to say: “that space is not only the protagonist of architecture, but represents the whole of architectural experience, and that consequently, the interpretation of a building in terms of space is the only critical tool required in judging architecture.” (1957, p. 29).

In other words, becoming masters of knowing how to see constitutes the key that will allow us to understand architecture. Nevertheless, it would be absurd to think that space is a merely aesthetic object of study since, fundamentally and functionally, it must house human activities. According to Zevi, “everyone who has thought even casually about the subject knows that the specific property of architecture – the feature distinguishing it from all other forms of art consists in its working with three dimensions, even if it can suggest three of four. Sculpture works in three dimensions, but man remains apart, looking on from the outsider. Architecture, however, is like a great hollowed-out sculpture which man enters and apprehends by moving about within it.” (1957, pg.22).

However, it would also be absurd to disconnect from the functional concern of the space and its aesthetic aspect, as both must be combined better to satisfy users’ comfort and well-being needs.

For a building to be considered balanced, all the elements that compose it must be carefully studied so that the set of all components is proportionate and harmonious. (Kong, 2013).

In architectural pieces, the proportionate and harmonious arrangement and organization of the elements of form and space convey meanings and inspire the user's responses, wishes, and intentions. However, these elements of form and space present themselves as the result of the need to solve a problem in response to the conditions of functionality, intentionality, and the context in a given cultural time. For example, Herbert Read (1893-1968), in his work *The Meaning of Art*, noted, "The Architect must express himself in buildings which have some utilitarian purpose." (Read, 1936, p.15).

Thus, we can deduce that human beings, in the idealization of their forms and spaces, use various means to convey feelings, emotions, sensations, and ideas that reflect their culture, place, and time, thus identifying the fundamental need to communicate something that implies intentional expression and mobilizing power - this is what defines the process of artistic thought.

### 3 CONCLUSION

One can conclude that the entire process of artistic thought appears closely linked to sensory perception, the ability to see, and the possibility of formulating judgments about things. In other words, Human Beings live in a world of countless natural forms and objects of civilization, which conditions behavior and the formation of their way of perceiving in a specific context of time and space.

We see things differently because there are different types of aesthetic codes. These change depending on the time, place, and society in which it operates. We can say there is a different code of beauty and harmony for each moment, problem, and case. This difference will determine, in practice, a significant

variety of ways of doing things, that is, a variety of solutions that each person finds to transmit to others the experience of the world around them.

We can, however, assume that at any time, in any culture, the ultimate objective will always be to provide quality of life to those who come to enjoy the projected spaces.

### ACKNOWLEDGMENT

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# Space, time, and space architecture

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**ABSTRACT:** Space and Time are inextricably connected. Humans' earliest indicator of the passage of time was surely the Sun's apparent movement through the sky from sunrise to sunset. The day/night cycle was just the first metric for the passage of time-based on the passage of celestial bodies through space. Following the measure of the day, the next longest metric would be the month, the unit of a lunar calendar, based upon the revolution of the Moon around the Earth. Finally, the measure of a year reflects one revolution of the Earth around the Sun. Each of these measures brings profound implications for all forms of life on Earth, perhaps most particularly human life as our species expands into space.

These fundamental time measures provide the raw material for many concepts in astronautics, astronomy, mathematics, physics, and space mission design. Rather than trace the chronological or historical development of these disciplines, this essay follows an associative pattern to describe the linkages and leaps among these ideas, associated precepts, and the phenomena they describe.

**Keywords:** Spacetime, Lunisolar calendar, Synodic period, Human mars mission, Space architecture

## NOMENCLATURE

$\Delta v$ :	Delta $v$ , the change in velocity necessary for a spaceflight from one set of coordinates to another serves as a first-order indicator of the propellant mass that will be required.
AIAA:	American Institute of Aeronautics and Astronautics
Aphelion:	here a celestial body or spacecraft is farthest from the Sun in its orbit.
ECLSS:	Environmental Control and Life Support System
ISS:	International Space Station
JPL:	NASA's Jet Propulsion Laboratory in Pasadena, California
JPS:	Jewish Publication Society
JSC:	NASA's Johnson Space Center in Houston, Texas
LEO:	Low Earth Orbit
MSIS:	Man-System Integration Standard, NASA Standard 3000c(1995).
NASA:	National Aeronautics and Space Administration
NEO:	Near Earth Object, typically an asteroid
NIAC:	ASA Innovative and Advanced Concepts (a classic acronym within an acronym in NASA speak)
Perihelion:	Where a celestial body or spacecraft is closest to the sun in its orbit
PHI:	Proportions, Harmonies, and Identities
RAP:	Robotic Asteroid Prospector

SAE:	Society of Automotive Engineers
Spacetime:	Einstein and Minkowski's relativistic construct for a 4-Dimensional integration of space and time.
Stadion:	Ancient Greek measure of length 155 to 160 meters. Plural is stadia.

## 1 INTRODUCTION

Probably the most important and influential architectural history book published in the 20<sup>th</sup> Century is Siegfried Gideon's *Space, Time, and Architecture*. The theme of this 2022 PHI Conference is Time and Space. Out of respect for Gideon and the humanistic vision of this conference, the title of this keynote is Space, Time, and Space Architecture.

Space and time are inescapable. At the most fundamental and formative level of human experience, we inhabit both. We inhabit volumetric space measured in square meters ( $m^2$ ) on the surface of the Earth and measured in cubic meters,  $m^3$  in outer space. We measure our lives by time with a granularity of the periods of revolution of the Earth around the Sun, broken down into digital calendars, often by the quarter-hour (or for lawyers, by the sixth of an hour). From the Earth's day/night cycle to the cosmic rays that bombard our chromosomes, triggering potential mutations, the dynamic forces of space *writ large* are all-pervasive.

This essay connects to leading pioneers of astronomy, engineering, and physics. These figures include Eratosthenes, Copernicus, Galileo, Kepler, John Harrison, Buckminster Fuller, among others.

Our knowledge of space leads to the concept of space-time, which yields several understandings. These insights range from astrophysics to the human factors of habitability. Einstein's vision of *spacetime* (single word in good *Deutsch* style) in his Theory of Special Relativity (1905) plus Special Relativity (1915) laid the foundations of modern physics. But more than that, relativistic spacetime reveals a spectrum of physical and temporal reality that suggests infinite intersections between time and space, yielding a profound interconvertibility between them. Einstein is credited with the assertion, "It is in consequence of this that space and time are welded together into a uniform four-dimensional continuum" (although Herman Minkowski was the first to declare that space and time together make the 4-dimensional "independent reality") (Overduin, 2007).

Einsteinian spacetime has emerged as a metaphor endemic to most themes in science fiction. Where would Star Trek go without warp speed—a multiple of the speed of light ( $c$ ) before the end of the TV season?

At the opposite end of this spectrum arises the formulation: how much time can a human live in a space of a specific, confined volume? At the Newtonian level, this question poses profound issues for how long a space mission can endure. Given a constant velocity or constant acceleration of a given propulsion system and propellant supply, the length of a human mission will be limited by the explorers' ability to tolerate and hopefully thrive in their living and working environment.

## 2 THE FIELD OF SPACE ARCHITECTURE

My field is Space Architecture. I am a licensed architect who has devoted his career to researching and developing design concepts for crewed spacecraft, space habitats, space stations, and lunar and planetary bases. That professional practice made me one of the "founders" of Space Architecture as a discipline. Much of this work focuses on research for human living and working environments in space, including the microgravity of orbital space stations and the partial gravity of Moon and Mars habitats and bases.

I wrote this keynote for the PHI Congress in attendance here in Oporto. But in a broader sense, I wrote it for new and future generations of Space Architects. I have become deeply concerned that among the new wave of young people entering our nascent profession, too many are uninformed about the topics of space and time that I present in this essay.

This situation concerns me because I fear they are entering the profession of Space Architecture

without the essential baseline of knowledge about the phenomena of space, time, and the movement of celestial bodies and spacecraft that are so central to our human spaceflight enterprise. The new generation has tremendous enthusiasm, energy, and persistence that I admire and with which I identify from my own misspent youth. What I fear is that while they make gorgeous presentations through sophisticated computer-aided rendering and additive manufacturing (also known as 3D printing), they may not grasp the physics, environmental control and life support chemistry, and structural engineering necessary to actually support human life, health, and productivity in the extremely hostile space environment. The crux of the matter is that the essential function of the architecture profession and the requirement to attain licensure is the knowledge and ability to protect the health and safety of the public. To put it more bluntly, many of the designs I have seen in recent years are highly artistic and beautiful but are neither evidence-based, nor research-based, nor functional. They would not protect the health and safety of a space crew.

Therefore, the leading principle of Space Architecture's professional standard of care must be to protect the health, safety, and life of the people in space. In order to meet this professional standard of care within the larger context of orbits, planetary surfaces, and the overall space environment within the Solar System, the second principle for Space Architects is to GET THE PHYSICS RIGHT. These principles of Space Architecture are necessary to design habitats and spacecraft that will take an effective, pragmatic, and realistic approach to protect the crew in the extraordinarily hostile space environment. In responding effectively to the orbital mechanics and physical environments of planets and their moons, the Space Architect must comprehend the exposures, hazards, and potential threats that may affect any crew, location, logistics mission, operation, orientation, protocol, resources, spacecraft, space habitat, or structure. This comprehensive understanding should be cognizant of Buckminster Fuller's Dymaxion Principle and apply it (Fuller, Marks; 1965; Fuller; 1969):<sup>1</sup>

**Comprehensiveness**—seeing the big picture, the integrated system with all it entails,

**Anticipation**—foreseeing what the building, the house, the invention, the operation, the system will need in its full development, and

**Design as Science**—the idea that not only should there be a rational and empirical basis for design

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1. This paper includes multiple lists of arguments, evidence, observations, and precepts. These lists are not quotations but are my interpretations or summaries of these points.

decisions, but that it should derive from a testable, empirical, and “provable” basis.

This last point is especially relevant to Space Architecture today. The act and the art of designing are fun, and I always found them to serve as the most gratifying part of the job. Yet, unless there is an empirical, evidence-based foundation for a design in Space Architecture, it can be no better than any ego-driven, glossy magazine pictorial. Unless it brings true insight into human needs in all their complexity, it can be no better than any unselfconscious engineering scheme that fails to consider its human impact and consequences for the crew.

### 3 BASIC RELATIONSHIP BETWEEN TIME AND SPACE

Perhaps the simplest example of the relationship between time and space is distance when defined as velocity  $\times$  time = distance. This definition may seem tautological or self-referential, given that velocity is distance/time. Yet motion is essential to the relationship of time and space. Motion cannot happen without time. As Albert Einstein teaches us in Special Relativity, all measures of velocity are, well, *relative* to one another, including not moving at all. Given Michaelson and Morley’s estimate of the speed of light, as 300,000 km/sec (or 186,000 ft/sec), and the time it takes to travel from its source, we can measure the distance to astronomical objects. The light travels for years, ergo light years.

And what about these objects in space? How does space and time and the motion and light that mediates them inform us about bodies in space? The earliest application may appear in the ancient Greek’s proof that the Earth is round, or more precisely, a sphere. Around 700 BCE, the Greeks made three observations:

When ships sailed away at sea, they appeared to sink lower and lower until they disappeared beyond the horizon.

When people traveled north or south, they saw different constellations at different altitudes in the sky.

When a lunar eclipse occurs, the Earth’s shadow projected upon the Moon’s surface is always a curve. The only object around which the light could always project such a curved shadow from any direction is a sphere, as shown in Figure 1.

Eratosthenes refined the definition of the spherical Earth and provided a remarkable accurate measurement of the Earth’s circumference. This measurement depended first upon the apparent movement of the Sun through the sky and the fact that its highest altitude occurs at the midpoint of its transit, noon. As shown in Figure 2, Eratosthenes measured the angle of the shadow that a stick of constant height cast in Alexandria,



Figure 1. Partial lunar eclipse as the ancient Greeks might have seen it (16 June 2019). Wikimedia Commons.

Egypt, and then marched south 5,000 stadia or 800 km very close to the Tropic of Cancer at Syene (today’s Aswan) where the Sun stood directly overhead on the summer solstice. There he took the measurement using the same stick and the same angle measurement *tenu*e a second time. Based upon these results, he computed the angle from the center of the Earth to the two stick positions and, from that, calculated the circumference of the Earth with surprising accuracy. He calculated the circumference of a meridian at 252,000 stadia (where archeologists and classical scholars estimate a stadion at 155 to 160 meters). That value converts to 40,032 km (25,020 statute miles).

#### 3.1 Lunar calendars

Second only to the evidence of the Sun’s apparent movement through the sky in the daytime was the Moon’s actual and apparent movement through the sky during the day and the night. Observations of the Moon’s cyclic motion led to the development of lunar calendars, which may have been the first calendars invented. At least three ancient lunar calendars appear to remain in use today: Chinese, Haida, and Hebrew. The Hebrew and Chinese zodiacal calendars are based on principally lunar models with some solar-influenced interpretations. It is difficult to determine which may be the first or oldest, but at least in terms of the documentation available, a common interpretation traces the Hebrew calendar’s origin to Exodus 12:2 (Parshah Bo), which recounts Passover and the departure from Egypt (generally dated 1447-6 BCE):

הַחֹדֶשׁ הַזֶּה לְכֶם רֵאשׁ הַחֹדֶשִׁים  
וְהָיָה לְכֶם לְרֵאשׁ הַחֹדֶשִׁים הַשְּׁנִי

This month shall mark for you the beginning of the months; it shall be the first of the months of the year for you (JPS, 2006).<sup>2</sup>

2. Passover marks the beginning of the religious year. Rosh Hashanah (literally “Head of the Year”) marks the beginning of the civil year.

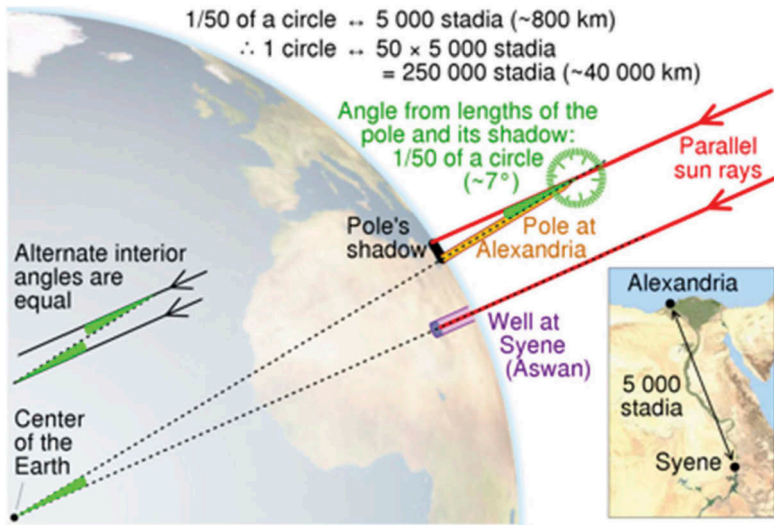


Figure 2. Diagram of Erasthene's Method of Calculating the circumference of the Earth, according to Cleomedes' simplified version, based on the approximation that Syene is on the Tropic of Cancer and on the same meridian as Alexandria. Courtesy of Wikimedia Commons.

The Hebrew year is made up of 12 months of either 29 or 30 days. Because these 12 months do not add up to the 365.25 days of the Earth's orbit about the Sun, periodically, it is necessary to add a 13<sup>th</sup> month, known as Second Av.

### 3.2 Solar calendar and sidereal year

The Solar Calendar is based upon the movement of the Earth around the sun, which takes 365.25 days. This measure leads to the addition of a leap day every four years during leap year. However, the Solar Year is not the only metric based upon the motion of the Earth around the Sun. In comparison, the Sidereal Year is measured against the fixed stars relative to the Earth's motion, so it is 20 minutes longer than the Solar Year. Hipparchus first identified the Sidereal year through his observation of the precession of the equinoxes. The movement of the Earth through space is the same in both measures of a year, but the frame of observation differs, providing a modest relativistic example.

In the Solar year, as observed by cultures all over the Earth, the solstices (longest and shortest days of the year) and the equinoxes (literally equal night) widely became special occasions for holidays, marking the "quarter-points" of the year. Some cultures created special occasions on the cross-quarters (also known as "eighth-points") halfway between the solstices and equinoxes. For example, Shakespeare commemorated one such cross-quarter in *A Midsummer Night's Dream* marking the halfway point between the summer solstice and the autumnal equinox. Midsummer night<sup>3</sup> was

a popular pagan festival in pre-Christian Europe, and evidently, the tradition continued in some manner into the Elizabethan era. Shakespeare opens the play (1600, A1 S1):

## 4 THESEUS

Now, fair Hippolyta, our nuptial hour Draws on apace; four happy days bring in Another moon: but, O, methinks, how slow The old moon wanes!

I infer that the characters celebrate the holiday of Mid-Summer Night on the first New Moon following the Mid-Summer cross-quarter. Similarly, potential cross-quarter holidays such as Beltane (May Day), All Hallows Eve (Halloween), St. Valentine's Day, and even Easter may have slid around on the lunar-inflected solar calendar. In addition, the irregular changes from the Greek, Roman, Julian, and Byzantine calendars to the Gregorian calendar could have shifted some holiday observances by as much as a month. In this way, the Earth's motion around the Sun—particularly as observed from the Earth—provided a culturally rich calendar to many societies.

### 4.1 Copernicus and the center of the universe

Perhaps the most antagonistic controversy in the history of astronomy was the debate over where the center of the universe resided. The traditional view

3. Midsummer night is known in Gaelic as Lughnasadh or Lughnasa and in Old English as Lammas.

in the Ptolemaic model of the Solar System was that the Earth occupied the center and that all other bodies revolved around the Earth. The politics and religious roots of *who* or *what* occupied the Center of the (known) Universe were vicious. In Figure 3, around Peter Apian's (1524, 1545) geocentric model on the left, the circumferential inscription in Latin says:

5 COELVM EMPIRVM HABITACVOLVM DEI  
ET OMNIVM ELECTORVM

The Empire of God is the Divination of God and All are Electors.

Frank Swetz, Pennsylvania State University translates it (Apian, 1524, [Swetz], 2013).

Habitat of God and the Elected [Saints and Angels].

Clearly, this model was anchored in a religious predetermination about the universe. Although scientists were aware for millennia (Philolaus, c. 470 – c.385 BCE, Greece) that the Earth is a planet that revolves about the center of the Solar System (Stanford, 2020), Copernicus was the first astronomer with the courage to state it systematically and make rational arguments for his heliocentric theory. Although one of its weaknesses was the lack of new observations to support his claims, the Heliocentric Theory did offer simpler explanations than the Ptolemaic Theory for some existing observations, such as the retrograde motion of the planets and why Mars and Jupiter appeared larger and smaller at different times. Copernicus' arguments state:

1. The Earth revolves about the Sun. The planets revolve around the Sun in specific orbits for each planet's revolution. The Earth is a planet.
2. The Earth goes through three forms of motion, and these motions are simultaneous:
  1. The Earth revolves about the Sun. One revolution equals one year.
  2. The Earth rotates daily upon its axis. One rotation equals one day/night cycle.
  3. Because the Earth's axis tilts, the planet's surfaces receive varying amounts of sunlight throughout the year, hence the seasons.

The Earth's motion about the Sun affects observations of the planets. It accounts for the appearance of retrograde motion of the other planets.

The stars appear fixed in the sky because they are so much farther away from the Earth than the Sun or the planets. Parallax is not observed because the "fixed stars" are so far away.

Copernicus's heliocentric theory ran into stiff opposition from the establishment of his time. The adherents of Ptolemaic geocentrism considered their dogma as the infallible word of God, and Copernicus's heliocentric theory as equivalent to blasphemy. Figure 3 shows

a comparison of the two theories with diagrams from *De Revolutionibus Orbium Coelestium*. In the geocentric model on the left, the order of the celestial orbs moving outward from the Earth is: "Luna, Mercvrii, Venevs, Solis [the Sun] Jovis, Saturni, and Firmamentu" with the stars drawn onto that circular band. In the heliocentric model on the right, the Earth's orbit is clearly distinguishable as the fourth ring with the trajectory of the orbit of the Moon highlighting the position of the Earth. The third and fifth orbits intersect the limits of the Moon's orbit about the Earth, demarcating the zone of cis-lunar space.

One aspect of Copernicus that is often overlooked is his poetic language. This passage is how he introduces the celestial orbs in his heliocentric model from the outermost inward:

The first and highest of all is the sphere of the fixed stars, containing itself and all things: and therefore immovable. that is, the universal place to which the motion and position of all the other stars are compared. For some think that it is also changed in some way: we will assign another cause, why it appears so, in the deduction of the motions of the earth.

[The sphere of the fixed stars] is followed by the first of the planets, Saturn, which completes its circuit in 30 years. After Saturn, Jupiter accomplishes its revolution in 12 years. Then Mars revolves in 2 years. The annual revolution takes the series' fourth place, which contains the earth, as I said, together with the lunar sphere as an epicycle. Venus is reduced to the fifth place in the ninth month. Lastly, the sixth the place Mercury holds, eighty days peacefully running in a circle.<sup>4</sup>

At rest, however, in the middle of everything is the sun. For in this most beautiful temple, who would place this lamp in another or better position than that from which it can light up the whole thing at the same time?

### 5.1 Galileo

Great scientists followed Copernicus in advocating for the heliocentric theory, Galileo perhaps the greatest among them. Galileo discovered the moons of Jupiter and recognized their motion about Jupiter as a sub-scale model of the Solar System. Figure 4 shows three Jovian moons, as Galileo might first have seen them. This discovery involved a vital set of observations of small celestial bodies revolving around a much

4. Copernicus introduces Mercury in his *De Revolutionibus* (1543) in Latin as "Sextum denique: locum Mercurius tenet, octuaginta dierum pacio circū currens." Pacio means peace or to peace. However, in all the modern transcripts I found, the transcriber/translator (or her spelling checker) adds an "s" at the beginning, changing it to "spacio" which means space. Although it may seem consistent with the subject, inserting the word "space" is completely superfluous, whereas "peace" or "peacefully" adds meaning and richness.



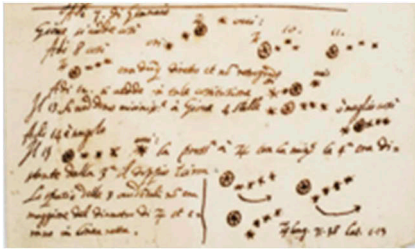


Figure 5a. Galileo's first sketches from his observations of the Jovian moons. NASA: <https://solarsystem.nasa.gov/news/307/galileos-observations-of-the-moon-jupiter-venus-and-the-sun/>.

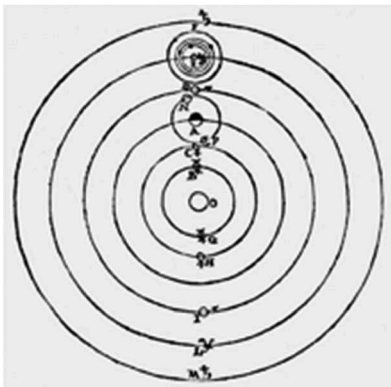


Figure 5b. Galileo's Solar System with Jupiter's four moons and without the fixed stars of the Firmament.

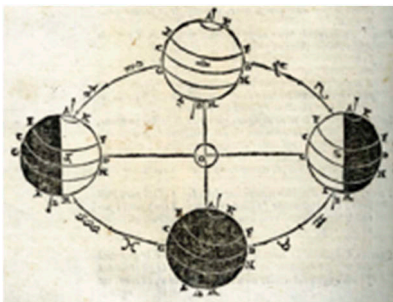


Figure 5c. Galileo's Diagram of "The Four Orbs" showing the Earth, tilted on its axis, in four positions around the Sun. From the *Dialogue*.

**Law 1.** Every planet's orbit is an ellipse in which the Sun sits at one focus, and there is a second focus at some distance from the center of the Sun [If a truly circular orbit exists, it would still be an ellipse, but with both foci at the same location.]

**Law 2.** A line (the radius vector) from the Sun's center to the center of the planet sweeps out equal

areas in its orbit at equal times as the planet revolves about its two foci. See Figure 6.

**Law 3.** The square of a planet's orbital period is proportional to the cube of the semi-major axis of its orbit.

In Figure 6, illustrating Kepler's Second Law, the blue pie shapes are all equal in area. The difference among them is their distance from the Sun. The speed of revolution varies, with the fastest speed (distance traveled in time  $t$ ) at perihelion and the slowest speed at aphelion.

Kepler's second law offers a fascinating example of the relationship between time and space. One way to understand it is that the *rate* ( $dA/dt$ ) at which a planet sweeps out an area in its orbit is *constant*. This perspective reiterates the precept (in the introduction) that distance = velocity x time. Equal time, equal area (space).

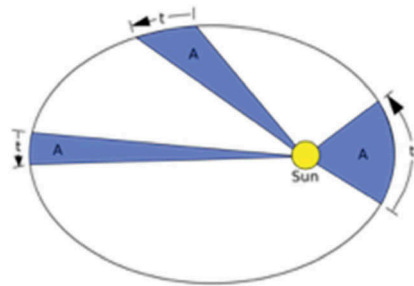


Figure 6. Diagram illustrating Kepler's Second Law. Credit: Wikimedia Commons.

### 5.3 The longitude prize

The previous anecdotes have all placed the primacy of Space ahead of Time. However, in this exemplar, time is the key to finding a physical position in space. That position was the location of the ship with respect to its East/West travel, its *longitude*. Once frequent and regular transoceanic navigation began in the 16th century, the ability to find the longitude of a ship's position became crucial to safe and efficient ship-handling. Finding Latitude had ceased to be a problem with the advent of the quadrant and the sextant in earlier centuries that navigators used to "shoot the sun" or the "fixed stars" at night (mainly Polaris, the north pole star). To determine longitude accurately and precisely, navigators needed a different approach. See Figure 7. Recognizing that because the Earth rotates continuously about its axis in 24 hours, the scientists of the day sought to reconcile this passage of time with the rotating meridians of longitude.

This feat required a highly accurate and reliable clock, which became known as a chronometer. The governments of several European countries offered prizes to find a solution for the longitude problem beginning in the mid-16<sup>th</sup> century.



However, it was not until the British government offered its Longitude Prize in 1714 that the battle was truly joined. Britain was the most technologically advanced of the great sea-going powers of that century. The *Longitude Board* could award various sums of money for technological improvements in timekeeping at their discretion.



Figure 7. Meridians of Longitude. Credit: Pearson Scott Foresman, Public Domain.



Figure 8. John Harrison's H5 Chronometer at the Science Museum, London, UK. Credit: Racklever, English Wikipedia. Open license to all.

After developing four prototypes over 36 years, John Harrison “won” the Longitude Prize with his H4 chronometer of 1761. Figure 8 shows the H5 Chronometer. Harrison won a total of £23,065 in incremental prizes over this period, the largest amount awarded to any inventor.<sup>5</sup>

The Royal Navy quickly adopted this revolutionary device. They established a system in which each ship carried two chronometers, set to the same time at the beginning of each voyage by an official chronometer master. Each clock was locked in an oak box

to make it tamper-proof. The Captain of the ship took responsibility for winding the spring-regulated chronometer. If the two timepieces diverged in their timekeeping, he took the average between them. At the end of a voyage, he returned the chronometers to the time master.

Knowing the time to a high precision made it possible to calculate the longitude from shooting the Sun at noon. The marine chronometer enabled determining longitude accurate to half of 1° (30 minutes of longitude). Many improvements in Harrison's chronometers followed quickly from inventors around Europe. While there is debate about which advanced chronometer laid the foundation for modern navigation (until the advent of electronics), the significance of Harrison's contributions to the Longitude Prize is indisputable.

#### 5.4 Synodic period of asteroids and planets

Marine navigation is not the only situation in which timing is primary to the task. Another example comes from spacecraft missions to asteroids. At the level of celestial mechanics for exploring asteroids exists another intersection of space and time—the synodic period<sup>6</sup>—that derives from the tyranny of orbital mechanics. As of this writing, there are about one million known asteroids orbiting the Sun, and many more yet to be discovered. Some tens of thousands of known asteroids pass close to the Earth and so are called Near Earth Objects (NEOs). To visit an asteroid when departing from Earth orbit, timing is everything: *when* you go determines *where* you can go. Figure 9 comprises a plot of synodic periods between the movement of planets and asteroids, and the (green) curve that arcs upward from left to right represents asteroids. The other three curves represent Earth, Mars, and Venus, which are always favorites for flyby gravity boosts.

This table of Synodic Periods comes from our 2013 Robotic Asteroid Prospector (RAP) report to NASA. The project was to design a spacecraft that could explore asteroids and extract exploitable quantities of resources, starting with water to be returned to customers on the Moon, Mars, or in orbit around those bodies. The challenge for RAP was not just to fly to the target asteroid but to

5. I visited the Greenwich Observatory, Greenwich, UK in 1997 and viewed Harrison's H4 chronometer in an exhibition commemorating the longitude prize competition.

6. The **synodic period** is the amount of time that it takes for an object to reappear at the same point in relation to two or more other objects. The time between two successive oppositions or two successive conjunctions is equal to the synodic period.” Courtesy of Wikipedia. For example, the next two oppositions of Mars are 2022-12-08 and 2025-01-16.

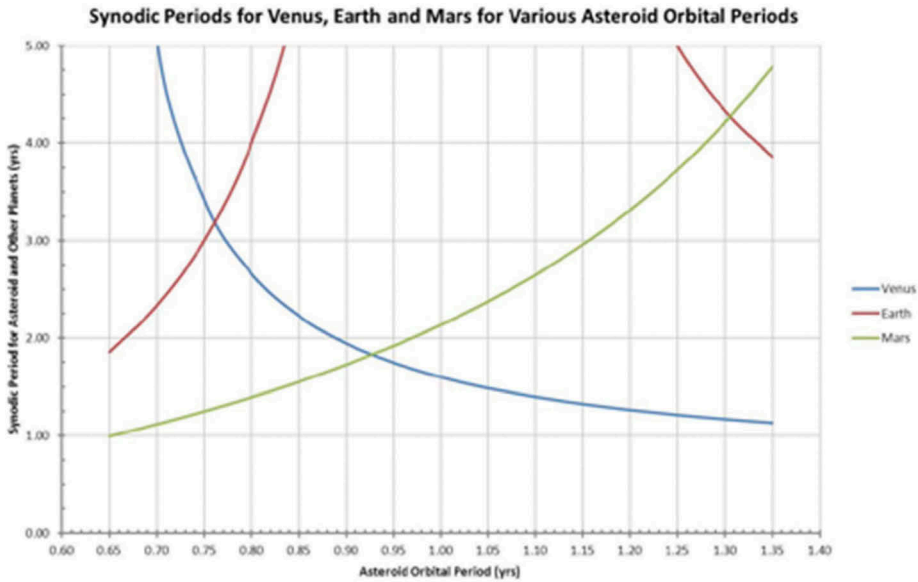


Figure 9. Synodic periods for planets and asteroids (Cohen, James, Zaczny, Chu, Craft, Blair; 2013; p. 53).

perform useful work of prospecting for resources, extracting them, and then flying this cargo to a spacetime coordinate where there are industrial facilities to process it or customers who can use it. These customers would most likely need to be people living in a permanently inhabited outpost on a moon, planet, or in orbit around such a celestial body. All these factors combine to emphasize the importance of navigating the synodic period between asteroids and destinations. The key to navigating the trajectories between planets or asteroids is to understand the synodic period. If I may indulge in one equation, the synodic period  $S$  is defined in EQUATION 1, where  $E$  is the period of the Earth's orbit, and  $A$  is the period of the asteroid's orbit.

$$\frac{1}{S} = \left| \frac{1}{E} - \frac{1}{A} \right| \quad (1)$$

Because of the great expense of spaceflight and the imperatives of the rocket equation that can demand a mass of propellant orders of magnitude larger than the payload, the less  $\Delta v$  required to transit from the point of extraction to the customer, the better. This lesson in space economy means that the customer must reside in space. When thinking of gravity as part of the curved fabric of spacetime, this perspective shows that the best place to deliver it would be one with the shallowest gravity well. That could mean the moons of Mars, Phobos or Deimos, the Earth's moon, or perhaps the minor planet/largest

asteroid Ceres. In conducting the RAP study, we found no scenario in which it would be profitable to return minerals, metals, or water to the surface of the Earth or even to low Earth orbit (LEO).

Figure 10 shows a 3D view of the inner Solar System, generated using the "Small Body Browser"<sup>7</sup> at NASA's Jet Propulsion Lab. The wider white orbit represents the asteroid 2 Pallas, which tilts 34° from the ecliptic plane in which the inner planets all orbit.

Try to visualize the synodic relationship between the Earth and 2 Pallas. A spacecraft intended to navigate to a rendezvous with 2 Pallas would need to depart the Earth when the Earth passes closest to 2 Pallas' orbit. Also, 2 Pallas would need to be headed toward that closest space and time coordinate with the Earth to make the rendezvous feasible in terms of the propellant expenditure required. 2 Pallas appears in white; the vertical white lines portray its tilt from the ecliptic.

As part of the NIAC grant from NASA for RAP, it was necessary to design a credible spacecraft to transit through such a synodic period from the Earth to an asteroid of potential interest. Our team conceived a spacecraft design that incorporates several innovative features, shown in Figure 11. The propulsion system consists of a pair of solar dynamic parabolic concentrators. These concentrators are pointable and rotatable using a system of alpha and beta joints that

7. Known originally as the "Small Body Browser" the formal name of this online tool, is the "Small-Body Database Lookup Orbit Viewer," an exceedingly rare instance in which there is no approved acronym in NASAspeak.

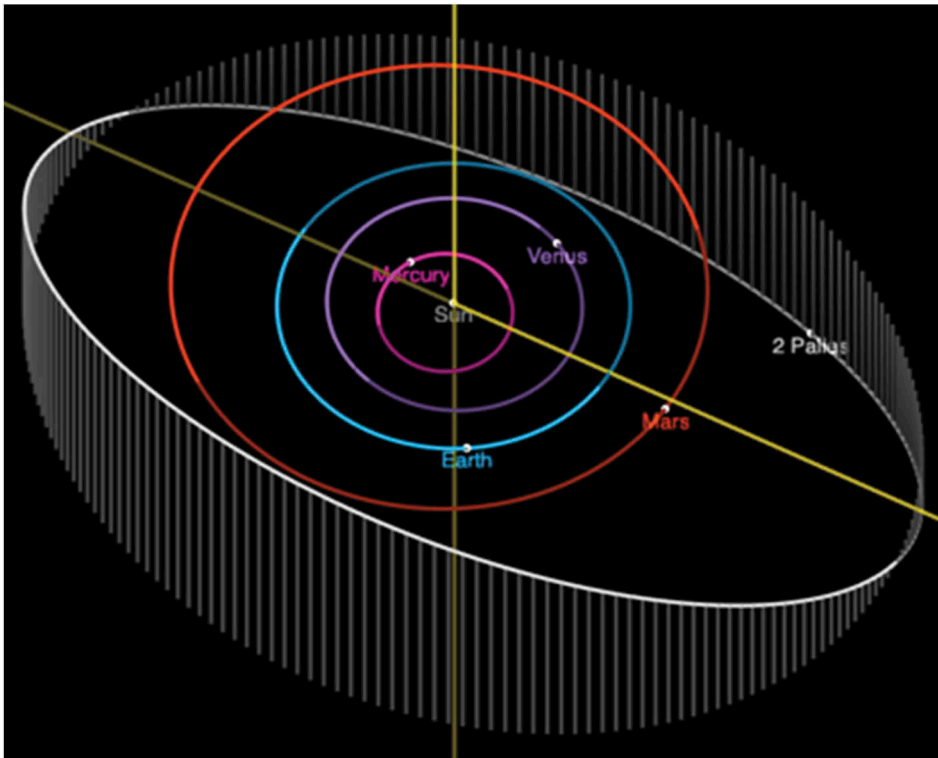


Figure 10. 3-dimensional diagram from the NASA-JPL Small Body Browser showing the orbit of 2 Pallas and the inner planets in the ecliptic. [https://ssd.jpl.nasa.gov/tools/sbdb\\_lookup.html#/?sstr=Pallas&view=VOP](https://ssd.jpl.nasa.gov/tools/sbdb_lookup.html#/?sstr=Pallas&view=VOP)

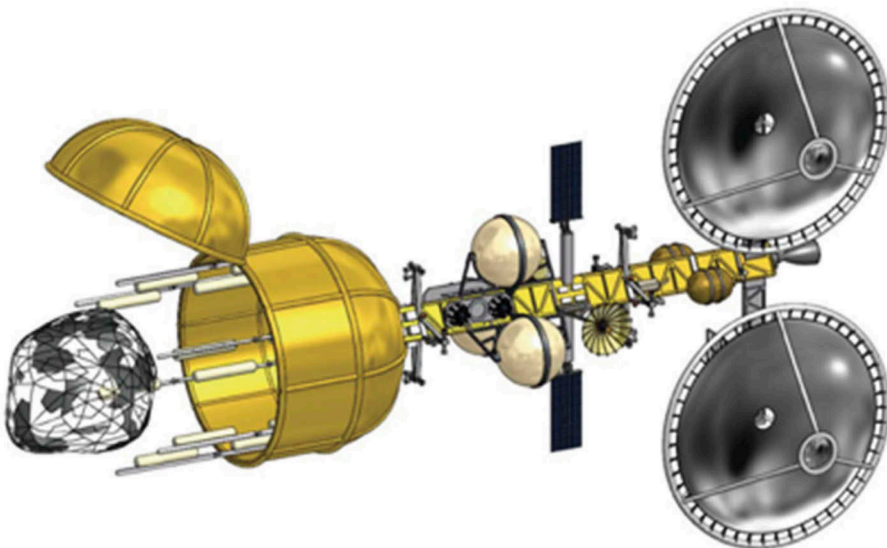


Figure 11. Robotic Asteroid Prospector spacecraft design shown capturing a small asteroid, showing the truss, engine, fuel tanks, water cargo tanks, outriggers, solar parabolic concentrators, and alpha joint configuration. CAD drawing by Phillip Chu, Honeybee Robotics, as subcontractor to Astrotecture®.

work similarly to the ones on the ISS. The concentrated sunlight serves three functions:

1. The concentrated sunlight drives the engine through which RAP expels super-heated water as its primary propellant mass.
2. The concentrated sunlight drives an electric power generator that provides power throughout the spacecraft. This power can be stored in batteries that can heat coils in the engine and in auxiliary thrusters that can operate the spacecraft at low speeds. The concentrated sunlight can be directed through a system of prisms and mirrors to the surface of a captive asteroid, where it can melt or sublimate off any water ice or extraction. It may also prove useful for extracting any metals or minerals with a relatively low melting point.

### 5.5 Mars missions

This section focuses on the time and space integration issues. In organizing a mission from Earth to Mars, time and location in space share critical importance. On a Mars mission, *where you start* and *when you start* become almost synonymous. This unity becomes apparent when examining the two main trajectory options for sending a spacecraft from Earth to Mars. These two main options are the Opposition Class or “short stay” mission versus the Conjunction Class or “long stay” mission.

There have been a great many architectural design projects for Mars surface habitats, bases, settlements, and even cities. Unfortunately, if any of them have considered the full implications of the space and time interaction. In this assertion, I include my lunar and Mars base designs, such as “First Mars Outpost Habitation Strategy” (Cohen, 1996). This necessary integration may not seem like a big deal if we assume that everything will always go as planned on the way to Mars, after arrival on Mars, and in departing Mars to return to Earth. As either a government or a corporate program, what could possibly *dare* to go wrong?

The next diagrams in Figures 12a and 12b demonstrate how differences in perspective and perception can sow the seeds of fundamental disagreements about the physics, navigation, and spacetime of anything so simple as a human Mars Mission.

The two trajectory diagrams begin to explain the differences, but first, in both figures, the view is from the “north” or “top-down” toward the ecliptic plane. From this vantage point, all the planets revolve about the Sun in a counterclockwise direction. I chose these diagrams from among many by NASA to show specific dates upon which the major departures and arrivals would have occurred (in 2014). In the case of both mission classes, the launch windows from Earth to Mars and return last about 60 Earth days, and the departure windows open only every Earth-Mars Synodic Period (approximately 26 Earth months).

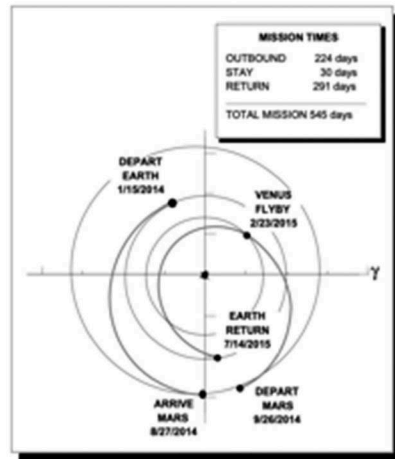


Figure 12a. Opposition Class “long stay” mission to Mars., (Hoffman, Kaplan; 1997; p. 3-37) Credit: NASA. <http://spacearchitect.org/pubs/NASA-SP-6107.pdf>.

### 5.6 Now for the differences

An Opposition Class mission such as the one shown in Figure 12a affords the short stay and gives the crew about 30 days on the Mars surface, depending on the particular departure window in the series of 26-month synodic periods between the Earth and Mars. Overall the “short stay” mission duration would be about 545 Earth Days. This value gives a ratio of  $30/545 = 0.055$  days on the Mars surface per day in space.

A Conjunction Class Mission affords the long stay time of about 500 days on the Mars surface, depending on the particular departure window in the series of 26-month (780 days) synodic periods between the Earth and Mars. Overall “long stay” mission duration would be about 900 Earth. This value gives a ratio of  $500/900 = 0.555$  days on the Mars surface per day in space.

This pair of diagrams “stacks the deck” in favor of the Conjunction Class trajectory. It was not enough for the team leaders that all the evidence supported the “long-stay” mission and that we reached a rare consensus to recommend the conjunction class. They inserted this bias into the documentation. They show almost the same Earth Departure date for both trajectories, but the Opposition Class requires a much longer return leg involving a Venus flyby to return to Earth with the least expenditure of  $\Delta v$ .<sup>8</sup> This departure date for the Opposition Class is unnecessarily disadvantageous, but that’s how they played the game in Houston in those days.

8. For a given propellant mass constraint, which relates to total propulsive  $\Delta v$ , mission expense is a function of space, time, gravity and gravity losses, and most of all, *mass*.

Realistically, the optimal Opposition Class mission would depart Earth on a different launch window than the rival trajectory. Because of this type of example that scientific and engineering diagrams, findings, and results can be presented in a biased way, it is vital for Space Architects to become critical consumers of the relevant scientific and technical literature.

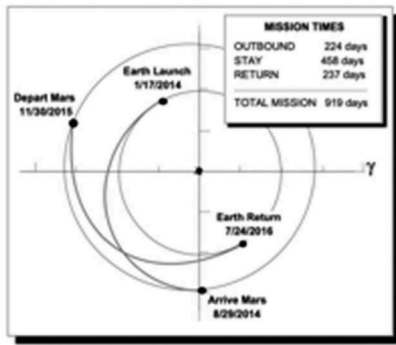


Figure 12b. Conjunction Class “long stay” mission to Mars. (Hoffman, Kaplan; 1997; p. 3-37) Credit: NASA. <http://spacearchitect.org/pubs/NASA-SP-6107.pdf>.

This next comparison of Opposition and Conjunction Class trajectories in Figures 13a and 13b show a fair comparison of them in probably their most optimal launch windows touching the current decade. The second pair of orbital trajectory diagrams show this different rendering of the Opposition Class Mission. This comparison of the two pairs of diagrams demonstrates how even astronomical data can be slanted or bend the reality of the physics. That is why it is essential for Space Architects to be literate in these fields and to comprehend the forces that will influence their designs, often in ways that may drive success or failure.

In this second pair of Mars trajectory diagrams, the Conjunction Class mission departs the Earth about 90° further counter-clockwise than the Opposition Class Mission. Think of the Opposition Class Mission as the Earth and Mars starting on near-opposite sides of the Sun. Certainly, the spacecraft arrives at Mars more than 180° from where it departed Earth, arriving on the opposite side of the Sun.<sup>9</sup>

In this pair of examples, the time ratio on the surface occurs similarly to the previous pair of

diagrams. For the Opposition Class, the ratio of 40 days on the surface/661 days in space = 0.060 days on the surface for each day in space. For the Conjunction Class, the ratio of 545/905 = 0.602 days on the surface for each day in space. Both these results are better than the results from the first pair, and they maintain the 10:1 ratio of surface time on a long stay to surface time on a short stay.

I served as a “contributing author” on the first NASA Mars Design Reference Mission “MDRM 1.0” (Kaplan, Hoffman; 1997; pp. 3-37 to 3-42). Perhaps the most definitive result of the MDRM 1.0 — and never altered in subsequent serious study iterations — was the selection of the Conjunction Class trajectory for the first human mission to Mars. This result was based on the recognition that the only safe and realistic mission design is to conduct the 500 to 600 days on the surface Conjunction Class mission instead of the 30 days on the surface Opposition Class Mission.

In fact, that decision marked a rare unanimity and consensus on our team. One of many reasons was that in the event of a failure to be able to launch the crew in the Descent-Ascent Vehicle (DAV) safely back to Mars orbit, the necessary fail-safe would be to “abort to the surface.” To make the failsafe viable would mean sending an additional 600-day surface habitat in addition to the 30-day Opposition Class habitat.

The most immediate effect of time and space on Space Architecture involves the distance from the safety of the Earth and the amount of time required to travel to a lunar, orbital, or planetary destination and then the time to return safely to the Earth. In addition, to travel to Mars, there are limited departure windows to launch from the Earth that occur every Earth-Mars synodic period of approximately 26 months (780 days). Similarly, the departure window to return from Mars occurs only after a long interval of 500 to 600 Mars sols (24-hour, 40-minute day-night cycles). This interval dictates that the design of such a human Mars mission must support the crew on Mars for those 500 to 600 days, with further fallback and safety provisions in case the crew cannot launch at the planned departure window.

Also, the crew and operations support on Earth must contend with the communications two-way time lag that will range from about 16 minutes when Mars is closest to the Earth to about 46 minutes when it is (almost) farthest from the Earth. When Mars is actually farthest from the Earth, it is on the other side of the Sun; there are no communications because the Sun blocks all transmissions. Under these types of constraints and imperatives, the influence of time and space will cause a far greater impact on humans on space missions than they do on Earth.

### 5.7 Space, volume, and mission duration

One of the leading questions that challenged NASA human factors engineers, mission planners, and

9. The two mission classes derive their names from the relative positions of Earth, Mars, and the Sun at the mission midpoints. The Opposition Class mission midpoint occurs when Mars is near opposition to the Sun as seen from Earth; the Conjunction Class mission midpoint occurs when Mars is near conjunction with the Sun as seen from Earth.

psychologists was: How much space cabin volume does the crew need to conduct a healthy, safe, and successful mission? Available pressurized volume constitutes one of the leading challenges of Space Architecture design for habitability. Crew requirements and tasks can vary substantially from one mission to another and from one spacecraft to another. Researchers suggested multiple independent variables, including the number of crew, level of crew performance required, spacecraft mass, and mission duration, to name a few.

In 1963, Celentano, Amorelli, and Freeman<sup>10</sup> at North American Aviation in Downey, California (where they became members of the team that built the Apollo Command module and the Space Shuttle as Rockwell International) proposed *mission duration as the crucial independent variable*. They presented their conjecture as a set of curves with varying levels of being “tolerable” or “optimal.” Figure 14 shows an imitation of the Celentano conjecture. But the space age was just in its infancy, particularly concerning human spaceflight. So, the debate about the relationship between crew number, cabin volume, and mission duration only intensified.

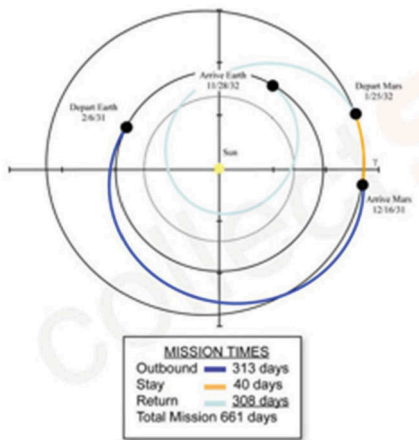


Figure 13a. Opposition Class “short stay” Mission to Mars. Credit: NASA, courtesy of Collectspace.com.

In the period 2004 to 2010, NASA and its contractors were preparing for the Constellation lunar program. Questions about the necessary volume arose again concerning the Orion Crew Exploration Vehicle, the Altair Lunar Lander, and lunar surface habitats. By this time, forty years after Celentano, Amorelli, and Freeman, we

10. In 1984 I met Amorelli and Freeman at the Rockwell Downey plant (Celentano had retired) where we discussed their famous conjecture and how it might be possible to research and improve upon it.

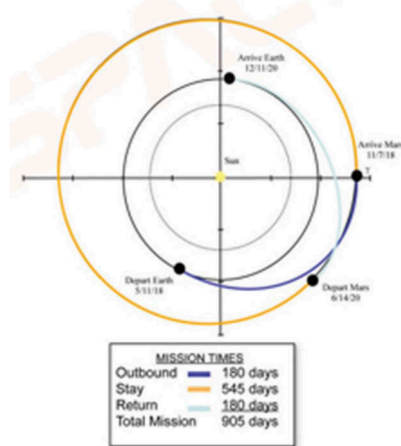


Figure 13b. Conjunction Class “long stay” Mission to Mars. Credit: NASA, courtesy of Collectspace.com.

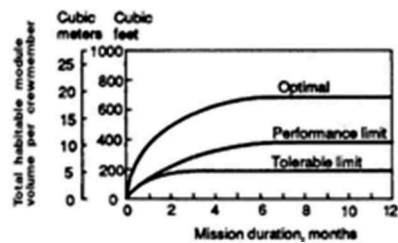


Figure 14. Marton, Rudek, Miller, Norman (1971) imitation of Celentano, Amorelli, and Freedman’s curves, as published in NASA Std. 3000, *Man-System Integration Standard (MSIS)*, Figure 8.6.2.1-1. Guideline for determination of total habitable volume per person in the space module.

had accrued a much larger data set consisting of about 250 human space missions. Compiling and using this data, the Northrop Grumman team developed a strategy that would lead to proposing a design and size for the Altair Lunar Lander.

We published these results in 2008. There was an abundance of “common sense,” “gut feelings,” and received wisdom about this vital question, but they only added up to a severe poverty of data in any organized format. Many people throughout the human spaceflight community had produced their own pet versions of the Celentano Curve. One such example is Marton, Rudek, Miller, and Norman (1971) in Figure 14, who basically just copied the Celentano curve uncritically and without giving credit. The main purpose of our Northrop Grumman exercise was to establish what are the facts about pressurized spacecraft volume, crew size, and mission duration.

In *Testing the Celentano Curve*, I constructed the curve based on data from over 250 spaceflights. The

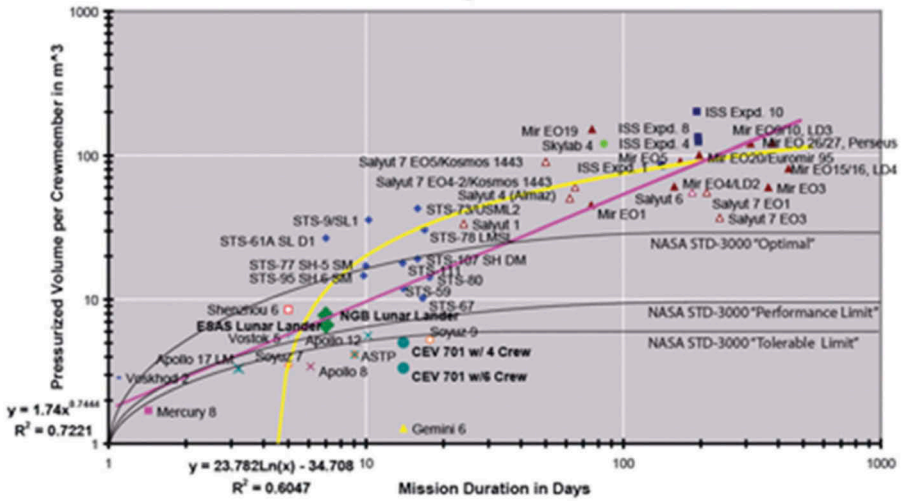


Figure 15. Pressurized volume per crew member versus mission duration: Maxima for mission durations for every crew size in each spacecraft configuration (Cohen, 2008, p. 20).

results of Testing the Celentano Curve (Cohen, 2008) showed that Celentano, Amorelli, and Freeman’s conjecture about the curve rising and then leveling out held up to scrutiny, at least when plotted as a logarithmic curve as shown in Figure 15. However, two other prominent features of Celentano failed to find any supporting evidence. There is no evidence WHATSOEVER of the three hierarchical curves of tolerable, performance, and optimal levels of volume to accommodate the crew. Neither is there any support for the arbitrary notion that all three curves pass through the origin (X=0, Y=0).

This plot of pressurized volume per crew member versus mission duration displays the crewed spaceflights with the largest crew or the largest volume for that class of vehicle. Their pressurized volume is plotted against their mission duration. The light (yellow) logarithmic curve confirms the Celentano, Amorelli, and Freedman conjecture that the curve rises and then levels off as the mission duration lengthens. The darker (purple) straight line power curve shows the same data but with a slightly different distribution. Neither curve passes through the origin, 0,0. This plot from Testing the Celentano Curve has been reproduced widely in articles, books, and dissertations, much the same as happened to the original conjecture. Hopefully, Space Architects will learn to take a critical view of conjectures that do or do not stand on empirical data.

## 6 CONCLUSION

Just as the sequence of the text is associative, so is this conclusion — perhaps even more nonlinear. The first finding in the conclusion is that Time and Space

influence our lives and daily routines to a much greater extent than most people realize. Yet, in space travel, these influences become far more acute and potentially more hazardous to the crew’s health and lives.

Second, Space Architects can play their full role in protecting the health and safety of people in space only if they comprehend that environment and the forces that shape it, much in the same manner that James Marston Fitch<sup>11</sup> (1947, 1999) advocates. Unlike on Earth, where the ground on which architects build is relatively static — even with earthquakes — the space environment is much more dynamic and influenced in uncontrollable ways by the absence of an atmosphere, reduced or microgravity, and the motion of spacecraft and celestial bodies through spacetime.

The third finding is that Space Architects need a solid foundation in these influences that derive from astrodynamics, celestial motions, physics, and space-time. Without this understanding, astronautics would be impossible. So would be Space Architecture that meets the professional standard of care to protect the health and safety of the people.

Fourth and finally, Space Architects must learn to become generalists in the external imperatives and constraints of humans living and working in space. These forces and their design solutions determine what is and is not possible in designing a space mission and the spacecraft or surface habitat to perform that mission.

11. Fitch was a professor at the Columbia University Graduate School of Architecture, Planning, and Preservation while I was a M. Arch student there, but he was committed to developing the Historical Preservation program. I attended a couple of his talks.

In managing a building project on Earth, architects coordinate all the allied disciplines as the design integrator. Why shouldn't architects perform the same role in space? Why should it be expected that Space Architects can be relegated to making shells in which engineers pack their subsystems? Why isn't the Space Architect taking charge of these distributed systems both internally and externally to the habitat?

To sum up: Space may not prove to be the "Final Frontier" as envisioned during the Apollo era; hopefully, it won't be. There may be further frontiers, both internally and externally. However, Space is the most immediate and most vast frontier. Understood within all the infinite potentialities of spacetime, it offers the greatest challenges to all the architectural, design, engineering, and construction professions.

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# Objects, narratives, museums

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**ABSTRACT:** The current “material turn” in cultural and literary studies has led to a focus of interest on how objects shape our daily lives and to a shift of attention from extraordinary things to what French writer Georges Perec calls the “infra-ordinary.” This shift is reflected in a relatively new conception of museums: they were traditionally dedicated to unique and rare things, but nowadays one finds museums devoted to everyday, mass-produced objects. This article discusses three narratives that not only foreground ordinary objects, but also concern objects that inspired so much interest that they ended being displayed in real-life museums: *The Madeleine project*, by Clara Beaudoux, the novel *The Museum of Innocence*, by Orhan Pamuk, and the story of a sack filled with useful supplies that an enslaved mother gave to her young daughter as she was about to be sold away and forever separated from her mother. Displayed at the Smithsonian Museum, this sack has become a cultural icon for a society that hopes to amend for the injustices of its past by fully acknowledging and exploring this past.

**Keywords:** Narrative, Objects, Material culture, Museums, Ordinary things, Fetishism, Slavery, Collective Memory, Collecting, Junk

## 1 INTRODUCTION

Through the study of narratives that focus on objects, more particularly on objects that end up in museums, I propose to link the topic of this conference—space and time—to a trend that is currently gaining considerable momentum in the humanities and in cultural studies, a trend known as the material turn. The quick spread of post-humanism and of critiques of anthropomorphism in the past few decades has resulted in greater attention to concrete objects, both as existing independently of human cognition, and as caught in a relation subject-object that determines our experience of our surrounding world. Daniel Miller, a pioneer of the movement, captures the spirit of material culture studies through this formula: “In material culture we are concerned at least as much with how things make people as the other way around” (2010, 42). This focus on how objects shape our daily lives has led to a shift of attention from extraordinary things to ordinary ones, or, to quote French writer Georges Perec, to the “infra-ordinary.” “Today” writes Bill Brown, the pioneer of an approach known as “Thing Theory,” “you can read books on the pencil, the zipper, the toilet, the banana, the chair, the potato, the bowler hat” (2001, 2).

Museums have been traditionally dedicated to unique and rare things, such as ancient archeological artifacts, outstanding examples of craftsmanship, and

sublime artworks; but nowadays there are museums of everyday things, such as the Museum der Dinge, in Berlin, which displays cooking ranges, TV sets, dolls or Nivea boxes, or the Musée de la vie quotidienne in Saint-Martin-en-Campagne, Normandy, which documents the life of ordinary people in the region in the 19th and 20th centuries. Museums have obvious connections to time and space: they contain objects that bring the past to life, and they display these objects in spatial exhibits, organizing the visitor’s tour along pre-designed itineraries. In this presentation, I discuss three narratives—two about real people, the third about fictional characters—that not only foreground material objects, but also concern objects that are displayed in real-life museums.

How narratives connect objects to time and space: some fundamental questions

Since all existents exist in space and time, it should not be too difficult to link material objects to spatial and temporal categories. Here are some of the questions pertaining to time that we may ask of the objects represented in narratives:

### 1.1 *Past/present/future*

Do objects speak about the past, the present, or the future? The past is the most frequent orientation in narrative because the past is set and can be narrated, and inspires the romantic feeling of nostalgia. Objects are invaluable as witnesses of history and as

catalyzers of memories, and some of them—think of souvenirs or family photo albums—have no other function than conjuring memories. Practical objects used in everyday situations have a present orientation, while technological innovations shown at exhibits or objects depicted in science-fiction speak about the future. Another kind of future orientation is represented by the time capsule, in which people gather objects typical of their time, to be discovered by later generations. Insofar as the prospective finders will interpret the objects as witnesses of the past, the time capsule embodies an orientation of future retrospection.

### 1.2 *Deliberate investigation of the past/voluntary memory/involuntary memories*

When objects speak about the past, do they function as indices that allow the reconstitution of past events by an external observer, do they embody known memories about a personal past, as do photos or souvenirs, or do they unexpectedly release memories, as does the famous *madeleine* in Proust?

### 1.3 *Object biography/people biography*

When objects inspire the investigation of past events, will the resulting narrative be centered on an individual object, or will it concern the people associated with a given set of objects? In the first case, the narrative will take the form of a “biography of the object” that chronicles its passage through many hands and links the object to many different characters, while in the second case, the focus will be on the life of the person who owned a collection of objects, and the relation will be one character, many objects.

### 1.4 *Increasing/decreasing value*

Does the value of the object increase or decrease with the passing of time? This notion of value can be either commercial, market-driven and shared, or sentimental and deeply personal. Increased value is demonstrated by our love for ancient things, most notably antiques, that we do not seek for their practical function, but rather for their aesthetic appeal and for the history they embody. Decreased value is typical of objects we seek for their functionality, because their ability to perform certain tasks declines with time, or they are being replaced by more efficient technologies.

### 1.5 *Heirlooms/ephemera*

Correlated to the previous distinction is the question of the time-span of the life of objects: are they conceived to last, like the watches of which advertisements say “you never actually own a Patek-Philippe;

you merely look after it for the next generation,” or are they ephemera, meant to be thrown away after use (but now judged worthy of preserving, as the creation of museums of everyday life suggests)? This second category includes movie tickets, bank checks, shopping lists, business cards, catalogs, envelopes, postcards, receipts, birthday cards, etc.

The investigation of the spatial manifestations of objects leads to another series of contrasting features:

### 1.6 *Traveling/sedentary*

Are objects represented as tied to a certain place, or do they travel in space? In narrative, an example of the first kind would be objects that define the setting, such as the furnishing of a house, while the second kind is illustrated by the so-called “novel of circulation,” a genre popular in the 18th century that represented the travels of objects such as bank notes (and also of animals and humans considered “property,” such as pets and slaves) through the many layers of society. The novel of circulation also involves a time element, whose extension depends on the nature of the object.

### 1.7 *In place/out of place*

Even when objects are by nature sedentary, rather than meant for travel like bank notes, they can be represented “in place” or “out of place.” The case of objects in place is again illustrated by descriptions of the furnishing of a house, a feature particularly prominent in those 19th-century novels that regard individuals as the product of their environment. Objects out of place have been taken away from their environments and share space with other objects of various provenance. Garbage piles, storage areas and junk stores are among the most common locations for objects out of place.

### 1.8 *Thrown together/organized*

Objects can be either randomly thrown together, or properly organized and displayed. In the first case they accumulate within a space that may become too small to contain them all, and when they are needed, they are very difficult to find. Basements and attics are the preferred locations for storing away unwanted objects in disorganized heaps, and for this reason, they are also the most likely places for unexpected discoveries. In the second case, each object is given its own space and remains easily accessible. Well-displayed collections, archives, and museum exhibits are the epitome of organized space.

These di— or trichotomies will guide my reading of the spatial and temporal manifestations of objects in three narratives.

## 2 THE MADELEINE PROJECT

The Madeleine Project<sup>1</sup> is a serial and multimodal narrative first told on Twitter through 280-character fragments often accompanied by photos, videos and audio recordings. It gathered a considerable following, generated discussions, inspired reader contributions, spread to other platforms, such as Facebook and WordPress, was printed in book form in both French and English, and became the subject of a traveling museum exhibit. The origin of this media phenomenon is presented as follows by the author and investigator, French journalist Clara Beaudoux:

Her name was Madeleine, she would have been 100 in 2015. My name is Clara, I am 31 years old. We never knew each other. She is the woman who lived in my apartment before me for 20 years. She died a year before I moved in, the apartment had been completely redone. But it seems that everybody forgot about the basement. I discovered there the whole life of Madeleine, objects, photos, letters. I dove into it. (Introductory text on Web site; my translation)<sup>2</sup>

Out of the objects that she finds in the basement, and by following the leads that they suggest, Clara reconstitutes the life of Madeleine, whose first name she learns through an advertisement left in the mailbox.<sup>3</sup> The name Madeleine suggests the famous Proustian pastry, and two objects evocative of it are found in the basement: a copy of *La Prisonnière* by Proust, though it is not the novel in which the madeleine episode is told, and a mold for baking madeleines, which appears on the cover of the book inspired by the project. But the only common denominator between the biographical investigation systematically conducted by Clara and the involuntary resurgence of memories caused by the Proustian madeleine is their ability to revive the past.

The story excavated by Clara from the basement falls into the category “many objects, one (human) life.” The objects that lead to its reconstruction illustrate all three of the types of signs identified by C.S. Peirce: indices, based on a causal or metonymic relation; icons, based on resemblance; and symbols, based on a conventional relation between signifier and signified. Indices are represented by Madeleine’s material possessions, such as old shoes, cheap jewelry, a luxurious fur coat, ice skates, a tennis racket,

school supplies and textbooks, a collection of guide-books about Holland, and a bottle of Lourdes water of which Clara asks: did you believe in that nonsense? We can conclude that Madeleine was a teacher, was athletic, cared about her appearance, and traveled in the Netherlands, but the meaning of the Lourdes water remains mysterious, since no other religious item is found, and her only relative says she was an unbeliever, like most French teachers at the time. Iconic meaning is represented by photographs that show what Madeleine looked like, but most scholars agree that photography combines an iconic with an indexical dimension, through which, as Roland Barthes observed, it testifies that “something has been there.” As an example of this indexical value, we can infer from photos of Madeleine in various recognizable places where she spent her vacations. While indices give general information about Madeleine (that is, features shared by many other individuals) and icons tell mostly about her appearance, it takes text-bearing objects such as letters, diplomas, diaries, obituaries, and newspaper cut-outs to flesh out Madeleine’s life and to provide a glimpse into her personal experience, thanks to the symbolic meaning of language, which is infinitely more versatile than icons and indices. Clara learns through a collection of letters that the great love of Madeleine’s life was a man named Loulou to whom she was engaged, but who died of tuberculosis in 1943 at age 31. Though the written documents mean primarily through their text, they are also material objects that mean indexically through properties such use of certain fonts, type of paper, smell, handwriting style, printed decorations, etc. These physical properties do not yield precise, propositional information about Madeleine’s life, but they bear cultural significance by telling us how graphic design, calligraphy, or even the packaging of objects have changed. In some cases, the textual meaning of written documents is eclipsed by their indexical meaning: once textbooks or guidebooks have been identified as such through their written title, it is not necessary to read them to conclude that Madeleine was a teacher and vacationed in Holland.

To what purpose did Madeleine keep so many things? There is too much junk and ephemera—shopping lists, recipes, dried four-leaf clovers—mixed in with the letters, diplomas, note-books, obituaries, and newspaper clippings mentioning relatives for Madeleine to have conceived of the stuff as strictly biographical documents. People who select what things to keep and organize them properly are known as collectors, a respected pursuit; people who keep everything are known as hoarders, a habit considered unhealthy if not morbid, when taken to an extreme. Was Madeleine a hoarder or an archivist of her own life, which means a collector? Clara cannot decide. In the book she writes: “Why did you keep so many things? Why did you organize it so well?”

1. The English spelling “project” is used even in the French original title.

2. The project is divided into 5 “seasons.” 1 and 2 have been translated into English; 3 to 5 have not. I use the translation when I quote from seasons 1 and 2, and my own for other sources.

3. Marta Caraion (2020, 28) thinks that the name Madeleine is a pseudonym, but it appears in a handwritten document that lists the members of the whole family: Henri, the father; Raymonde, the mother, and Madeleine, the only child.

Did you hope that somebody would discover your things? Why do some people keep everything? And others throw away everything? (2017, 121). The materials are organized into neatly labeled containers: there is a suitcase for Loulou's letters, a sealed envelope for obituaries (Clara feels guilty about breaking the seal), and a cardboard box for little things ("babioles"), some of which are little purses containing even smaller things, forming a structure reminiscent of Russian dolls. An example of Madeleine's painstaking organization is a box that contains a collection of the magazine *Historia*, a popularization of history writing that concentrates on leaders and celebrities, against the current trend, represented by the Madeleine project, of focusing on ordinary, forgotten or oppressed people. On this box, Madeleine lists the issues that are there, the missing issues and the doubles.

From a temporal point of view, the project tells two stories: first, the personal life story of Madeleine; second, the story of everyday life, of "how it was" for ordinary people in the late nineteenth and twentieth centuries. As Clara writes: "I also understood that, from fragment to fragment, your portrait was drawn, but not only your portrait: with it, a whole facet of our History. I am now convinced that this basement holds much more than the story of an individual: a piece of our collective memory." (2017, 258). This second story is told not only by objects deliberately saved by Madeleine, but also through information that comes as an unintended bonus, such as the articles in the newspapers used to wrap objects, or the advertisement of the magazines that Madeleine saved for their content. An ad for Kronenbourg beer from the fifties will amuse (or anger) contemporary readers for its stereotyping of women: it features a man who thanks his wife for buying the beer, with no suggestion that she may enjoy it herself. The story of collective memory told by the project captures not only cultural change and everyday life, it also reflects how History with a capital H affected ordinary people. The letters of Loulou tell about coping with the invasion of France by Nazi Germany in 1940; the food coupons saved by Madeleine testify of the privations of life during the occupation, and her newspaper clips document the moments in history that she wants to remember: Russian troops closing in on Berlin in 1945; French women being granted the right to vote in 1945, the Moon landing in 1969, the death of de Gaulle in 1970, and, surprisingly, news about Steve Jobs and breakthroughs in computer technology in the eighties and nineties. A life-long learner, Madeleine told a neighbor that her greatest regret was not being able to use a computer.

But the Madeleine project is more than the life story of an ordinary person and the evocation of the times she lived through: it is also the story of an investigation that puts Clara and her relationship to

Madeleine in the spotlight. As Bikialo and Guilbard observe (2020), the entanglement of Madeleine's and Clara's lives is represented visually in photos that bear the imprint of Clara's presence, such as her fingers holding documents, and, in the most blatant sign of her presence, the reflection of her face in the glass of a framed photo of Madeleine by the sea (Figure 1).

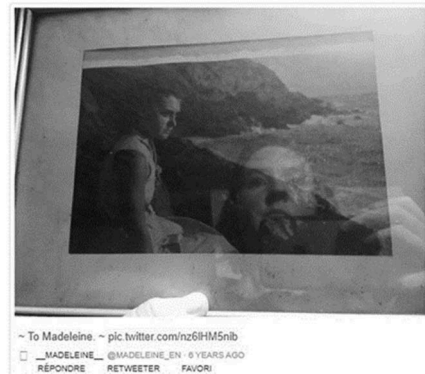


Figure 1. A photo of Madeleine with the reflection of Clara.

Clara's narrative relies on the double temporality that is typical of detective stories: it follows her investigation chronologically, taking the reader through both productive searches and false leads, but it reveals Madeleine's life non-linearly, as bits and pieces of this life come to light through the investigator's discoveries. The main difference with detective stories is that there is no specific case to solve, and the investigation could go on forever, since a human life is not a mystery awaiting a solution. The various pieces of evidence are documented through photos of objects taken by Clara, but when they consist of written documents, only selected passages are shown and transcribed in the caption: rather than displaying complete documents, Clara maintains a strict control on what the reader sees. This method is not as different from history writing as one may think: historians base their narratives on archival documents, but they select information that fits their purpose rather than quoting the entire archive. An example of Clara's selective approach is her contrasting treatment of Madeleine's relationship with Loulou, her fiancé, and with Bernard, a fellow teacher with whom she lived for a while in the fifties but never married. Clara presents excerpts of Loulou's letters that express a loving relation but avoid intimate information. In the case of Bernard, no letter is shown and the relationship is kept hidden: all that Clara says of Bernard's letters (in Season 2) is that they are "full of everyday stories, which I wouldn't know how to write down today. And there is a complicated story with his daughter, it looked quite serious. I read some 'don't cry for too

long', some 'grieving is useless', it sounds grey, sad, cold, like the concrete walls around me. I leave this story aside." Clara refuses to speculate and does not pursue the thread, putting her respect for Madeleine's privacy ahead of the curiosity of her readers. Throughout the narrative, Clara expresses deep concern for the ethical nature of her project. She respects Madeleine's privacy by never revealing her last name, and she goes to great lengths to hide her identity: when she shows photos of official documents that bear her full name, she covers it with a piece of paper, an obvious visual intrusion of the narrator into the narrated. Similarly, Clara does not show a photo of Loulou's grave, though she does visit it, probably because it would reveal his name. A recurring concern of Clara is whether or not Madeleine would approve of her life and things being so publicly exposed; Clara must have experienced great relief when, in the fifth season, she visits Madeleine's Dutch acquaintances, who remember her fondly as "aunt Madeleine," and they vindicate Clara's project by telling her that Madeleine would have been delighted.

Are the objects found by Clara in place or out of place? They are in storage, which means that they are no longer displayed in the apartment nor used on an everyday basis. Storage is the first step toward discarding things, a middle ground between the home and the trash can: you put in storage things you no longer want to see but you do not have the heart to throw them away. But storage is also the place where you put things for which there is no room in your house, but that you might need some day. As long as Madeleine lived, then, the rightful place of the objects was the darkness of the basement, where the past is both accessible, and conveniently out of sight. But what will be the place for Madeleine's possessions once the story has been told and the project is complete? The expected thing to do would be to send them to the landfill, but Clara cannot bring herself to throwing them away, because, as she learns more about Madeleine's life and becomes emotionally more and more attached to her, the objects take on the value of relics. Disposing of the collection would be tantamount to disposing of Madeleine herself. But just as there was no room for the things in Madeleine's apartment, there is no room for them in Clara's home, since she lives in Madeleine's apartment. Clara finds a solution to the dilemma by creating a museum exhibit out of Madeleine's things, a move that turns the more or less randomly assembled stuff into a genuine collection. It is shown, among other places, in the Musée de la vie quotidienne (Museum of everyday life) that I have mentioned above. Objects displayed in museums are always out of place compared to where they come from, but their new place is an honorary location that signals them as interesting and protects them from the wear and tear of time, since they no longer have to fulfill a practical function. Yet a museum home is not

necessarily a forever home. Madeleine's objects are only part of temporary exhibits, and one wonders what will become of them once the considerable public interest raised by the project has waned and their museum tour is over.

### 3 ORHAN PAMUK'S MUSEUM OF INNOCENCE<sup>4</sup>

My next example is part of a triptych that includes a novel, Orhan Pamuk's *Museum of Innocence*, a real-world museum by the same name that has become a significant Istanbul tourist attraction, and a partly autobiographical text titled *The Innocence of Objects* that mediates between the novel and the museum and functions as catalog. The novel narrates the creation of a fictional museum; the museum displays objects that bring to life the historical, geographical and social setting of the novel, and the autobiographical text (henceforth referred to as the catalog) mediates between the actual museum and the novel: on one hand, it describes the contents of the actual museum and how it came into being, on the other hand it reveals hidden connections between the displays and the chapters of the novel to which they refer. Here is a summary of the novel:

Set in Istanbul from 1975 to 1984, *The Museum of Innocence* tells the story of an unhappy love affair that turns into a fetishist obsession. The narrator, Kemal, belongs to the upper crust of Istanbul society, a class that tries to emulate European culture at all costs. He is engaged to Sibel, a heavily Westernized young woman. One day he walks into a store and he falls in love with Füsün, the salesgirl, a stunning beauty who is a distant relative of his. They engage for a short time in a passionate sexual relationship, but after Kemal's formal engagement to Sibel, Füsün disappears and Kemal is heartbroken. His strange behavior leads Sibel to break the engagement. When Füsün renews contact with Kemal a few months later she is married to Feridun, a fat boy whom she married without love, because by giving up her virginity, she has compromised her marriage prospects. For eight years, Kemal visits Füsün four times a week for supper in her parents' house, where she still lives with her husband, and he spends his evenings watching TV with the family. He also steals various objects from the house, because they bear the imprint of Füsün's presence. Finally, Füsün gets a divorce from Feridun and she agrees to marry Kemal on condition that he take her to Paris. During the trip, they renew their physical relation, but the next day Füsün drives Kemal's car into a plane tree, killing

4. The following discussion of Pamuk condenses my article "How Stories Relate to Places? Orhan Pamuk's Museum of Innocence as Literary Tourism" (Ryan 2021).

herself and seriously wounding Kemal. The text is ambiguous as to whether it is an accident or a suicide. After Füsün's death, Kemal creates a museum with all the things he has stolen from her house as well as with other objects he has acquired in the meantime, for he has become a passionate collector.

Kemal's decision to create a museum develops in three stages. It begins with an attempt to conjure Füsün's presence through the objects that have touched her body. He retreats regularly to the apartment where he used to make love to her, and he tries to pick up her scent in the sheets or the trace of her hand in the objects that she used to touch. Kemal's desire to possess Füsün's objects is neither past nor future oriented but rather intensely focused on the present. Treating things that have been touched by Füsün as erotic fetishes, he asks of them to conjure her live presence, rather than to activate memories of her or to help him reconstruct her life story, as was the case for the Madeleine Project. In the second stage of his obsession—stealing objects that belong to Füsün—Kemal does not make a distinction between trivial ephemera and valuable artifacts: everything that has been touched by Füsün is equally precious to him, whether it is a cigarette butt or a golden earring. During the eight years when he visits her four times a week at her parents' house, he steals her earrings, barrettes, and combs, including those that he gave her as presents, and he brings them back to his apartment, where he tries to reassemble her body through the things that belonged to her. His kleptomania soon expands to other kinds of objects found in Füsün's parents' house, such as glasses, bottles of cologne, salt shakers, and a quince grater. He often replaces the stolen objects with new ones, only to steal them again. In a third stage of his obsession, the fetishist lover turns into a compulsive collector of objects of the same kind: he religiously picks up Füsün's cigarette stubs, and after eight years, he has collected 4213 of them. He also manages to steal numerous examples of the China dogs that sit on top of the TV, creating a unique collection of a kind of item that symbolizes an important turning point in middle-class culture—the moment when television replaced radio and became the center of domestic life. After Füsün's death, Kemal continues his gathering of mementos that represent Turkish everyday life in the seventies and eighties by getting objects from other collectors. To find room for his growing collection, he buys the family house of Füsün and he sends her mother to live elsewhere. Taken away from Füsün's house, the objects in Kemal's collection are out of place, but they find a new permanent home when he creates a museum for them. The museum is much more than a mausoleum to Füsün (Kemal reminds us that mausoleum is the etymology of museum), it is also a tribute to the passion that led to the creation of many small, private museums around the world: the

passion of collecting for its own sake. Compulsive hoarding is turned into a labor of love and into a work of art.

Pamuk's museum is, in many senses, the opposite of Kemal's. It is a real museum that tells a fictional story, while Kemal's museum is a fictional museum that tells what is, from Kemal's point of view, a true story. In Kemal's museum, objects are, in a sense, derealized, since they stand for Füsün and the memories they evoke, while in Pamuk's museum, they stand primarily for themselves, projecting a mute presence that combines strangeness and familiarity. While Kemal *first* falls in love with Füsün, *then* becomes an obsessive collector of objects connected to her, and *ends up* with a museum, Pamuk *starts* as a passionate collector of objects, and *ends* with the simultaneous creation of a museum that hosts the objects, and of the fictional characters of Kemal and Füsün as the thread that connects the objects. In the catalog, Pamuk tells us that starting in the 1990s, he began collecting objects from antique shops that represented daily life in Istanbul in the 70s and 80s, a time when a Westernized elite was trying to erase any trace of the Ottoman past. Therefore, what one sees in the museum is not typical Turkish artifacts, the kind that tourists adore, but mass-produced objects similar to those found everywhere in the West.

Pamuk first thought of writing a novel in the form of a museum catalog; he would show objects, and then describe the memories that the objects evoke in the protagonist; but the novel eventually developed as a classic self-standing narrative, without illustrations. The catalog is the bridge that connects the museum to the novel. The novel consists of 83 short chapters, and each of them is represented in the museum by a box that shows some of the objects mentioned in the chapter (Figure 2). Through their spatial organization, these boxes are reminiscent of the work of the artist Joseph Cornell, who pioneered the practice of arranging objects in a box in an aesthetic and meaningful way that makes the whole more than the sum of its parts. While Pamuk does not mention Cornell as influence in the catalog, he acknowledges another important source of inspiration: the so-called cabinets of wonders, or *Wunderkammer*, that displayed disparate collections of exotic objects in the 17<sup>th</sup> and 18<sup>th</sup> centuries. The *Wunderkammer* treads a thin line between a disciplined collecting of objects representing specific categories, and indiscriminate acquisition driven by the need to possess. Similarly, the Museum of Innocence is part highly selective display of mementos from a certain period in Istanbul's history, and part random collection of objects that happened to strike a chord in Pamuk's imagination when he saw them in a junk store. Some of the objects shown in the Museum play an important role in the plot, while others are inserted into the text through casual mentions, not because of their

strategic importance for the novel, but because these objects grabbed Pamuk's attention. When the reader re-reads the novel and consults the catalog at the same time, she will discover many objects in the text that she had overlooked on a first reading, because these objects are shown in the corresponding box.

From Pamuk's point of view, the objects in the museum play many roles. (1) Found objects that excited his imagination and inspired the plot of the novel. (2) Mementos of a vanished way of life—the Istanbul of the fifties to eighties. (3) Materials for the creation of works of art. (4) Means of organizing space and of turning time into space: when visitors climb the stairs in a spiral movement to the top story and look down at the other stories, they will see all the displays simultaneously, together with a large spiral drawn on the bottom floor. This spiral symbolizes the Aristotelian conception of Time, which links all the moments together, just as a story links isolated objects and characters into a meaningful sequence of events (2012, 253). (5) Words in an unknown language whose meaning arises from their relations. About frame 9, which shows junk crammed under the metal frame of a bed, Pamuk writes in the catalog: "As they gradually found their place in the museum, the objects began to talk among themselves, singing a different tune and moving beyond what was described in the novel" (2012, 83). This remark prefigures role. (6) Bearers of a will of their own, so that beauty can emerge from random arrangements, rather than from premeditated designs. As Pamuk writes of box 14: "I



Figure 2. One of the displays at the Museum of Innocence featuring mementos of Füsün. Its design is reminiscent of a Cabinet of Wonders.

am particularly fond of this box, which, despite my sketching and designs, has been so receptive to the whim of uncalculated beauty" (2012, 100). This observation reminds us of the Surrealist conception of beauty as the chance encounter of an umbrella and sewing machine on an operation table.<sup>5</sup>

An important difference between Kemal's and Pamuk's museums is the importance of Füsün. While Kemal conceives his museum as a mausoleum to Füsün, she is only represented in the real Museum of Innocence through her earrings, one of her dresses, her shoes, socks, panties, combs and barrettes, and her cigarette butts. It would have been easy to include photos of her (or rather photos of a woman posing as her), but this would have turned the museum into some kind of photo-novel, and it would have detracted attention from the objects. The museum is not really a memorial to the fictional character of Füsün, it is a tribute to that which she represents, namely the city of Istanbul. The love of Kemal for Füsün is an opportunity for the novel to explore Istanbul in its diversity, from Nişantaşı, the rich neighborhood where Kemal's family lives, to Çukurcuma, the ethnically diverse, occasionally run-down, but vibrant neighborhood where Füsün's family lives, and where the actual museum is located. To quote a favorite cliché of literary critics, Istanbul is truly the main character in the novel. After Füsün's death, "Istanbul [becomes] a very different city" (2009, 492), a city of paved streets and concrete buildings rather than the sensory feast of noises, sights and smells that it was before.

The objects in the displays speak of Istanbul much more than they speak of Kemal and Füsün, and even more importantly, they speak to the visitor of a past that is perceived at the same time as very remote and very close. Very remote, because technology steadily accelerates the rate of change of the world, and the world of our youth seems to be centuries away. But also very close, because some of us can actually remember using the kind of objects displayed in the boxes. This is why a museum like Pamuk's creates much more personal emotions than, say, a museum devoted to medieval artifacts or to objects from the antiquity. This emotion has a name: it is called nostalgia.

Pamuk's combination of novel and museum represents a unique literary experiment. Unlike existing museums devoted to literary works and characters—for instance, to Don Quixote or to Sherlock Holmes—the Museum of Innocence is not a commercial exploitation of the success of the novel nor an illustration of its plot. From the very beginning, the museum and the novel were mysteriously entwined in Pamuk's imagination. He wrote the novel to give meaning to

5. Conception originally formulated by Lautréamont, but adopted by Surrealists.



the museum, and he used the museum as inspiration for the novel. Like most works of art, the museum fulfills an obscure personal desire, and it is in order to understand this desire that Pamuk wrote the story of Kemal and Füsün.

#### 4 ASHLEY'S SACK

While the objects in our first two narratives chronicle an everyday life that could be ours, though slightly removed in space or time, the third one concerns an experience that strains the imagination: that of enslaved people who are considered property and are therefore reduced to the status of objects. As Tiya Miles, the author of *All That She Carried: The Journey of Ashley's Sack, a Black Family Keepsake*, writes of her project: "But we can be sure that Rose faced the deep kind of trouble that no one in our present time knows and only an enslaved woman has seen" (2021, xiii). This trouble is Rose having her 9-year-old daughter, Ashley, sold on the slave market and forever taken away from her. The story is embroidered on a cotton sack yellowed with time that was found in 2006 in a bundle of textiles bought by a woman for 20 dollars in a flea market in Tennessee (Figure 3). She immediately recognized the immense historical value of the object, and donated it to Middleton Place in South Carolina, a former plantation that now hosts a foundation devoted to the history of slavery. In 2016 the sack was borrowed and displayed at the Smithsonian National Museum of African American History and Culture in Washington, D.C., where it caused deep emotional reactions—"torrents of tears," according to Miles (2021, 34). The story reads as follows:

*My great grandmother Rose  
mother of Ashley gave her this sack when  
she was sold at age 9 in South Carolina  
it held a tattered dress 3 handfulls of  
pecans a braid of Roses hair. Told her  
It be filled with my Love always  
She never saw her again  
Ashley is my grandmother  
Ruth Middleton<sup>6</sup>  
1921*

The simple eloquence of the text defies critical commentary: whatever we can say about the story, Ruth says it better. In ten lines, she narrates an incident that captures the profound dehumanization of slavery, how it reduces people to object status, how it disintegrates family ties, but the tale also

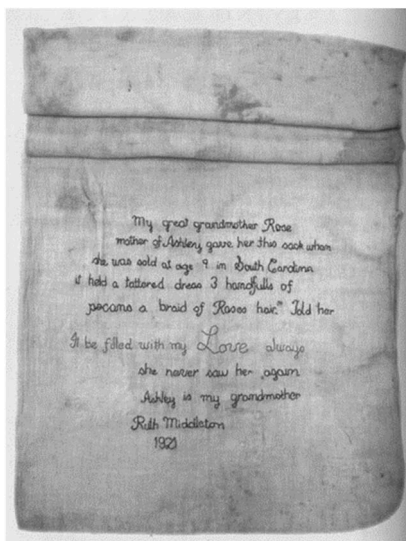


Figure 3. Ashley's sack. Middleton Foundation.

celebrates the persistence of love and the will to survive in the direst conditions. The size of the sack and the time-consuming medium of embroidery limit the story to the bare facts, but it presents a classical narrative structure:

*Exposition:* the narrative begins with the identification of the characters and the specification of family relations.

*Complication:* The mention of Ashley being sold provide the context that explains the central event. No mention of slavery is made, because it is implied by the act of selling, and it would be obvious to future readers.

*Central event:* Rose gives the sack to Ashley.

The enumeration of the content of the sack captures the meaning of this central event. A mother's essential duties to her child are to feed her, clothe her and give her love. The first two of these duties are represented, symbolically, by the dress and the pecans, while the braid of hair, taken from Rose's body, stands metonymically for the loving presence the mother will no longer be able to provide physically.

*Climax:* The direct quote of Rose's parting words to Ashley represents the emotional highlight of the story. This line is stitched in a different color, separated from the neighboring lines by a larger space, and the capitalized word "Love" is twice as big as the rest of the text. The unusual position of the word "always" (as opposed to the more common "it be always filled") stresses the everlasting nature of this love, a love that spreads from Rose to Ashley and from Ashley to Ruth.

The *Resolution* is represented by the statement that "she never saw her again." Since the story is told from the point of view of Rose, the pronouns

6. The relation between the Middleton place and Ruth's last name of Middleton, which she acquired through her marriage, is coincidental, though it is not impossible that her husband's ancestors were slaves at the Middleton plantation, from which they could have received their name.

can be resolved as “Rose never saw Ashley again,” but the experience of separation is reciprocal, and the reference of the pronouns can be easily inverted into “Ashley never saw Rose again.” One can imagine that the separation was just as painful for the nine-year-old Ashley as for her mother, Rose.

*Conclusion:* By specifying her family relation to Ashley, already implied by the first line, Ruth suggests that she knows the story through Ashley’s storytelling, thereby establishing a chain of transmission that guarantees its truth. The transmission of the tale skips a generation—that of Rosa, Ashley’s daughter and Ruth’s mother—but it is not uncommon for grandmothers, rather than mothers, who have to work, to be the tellers of tales and the guardians of family history, especially since their memory reaches deeper into the past.

The *signature*, Ruth Middleton, 1921, establishes her identity and authorship for future owners of the precious object and inserts her in the broader story of the survival of the object. Through the act of stitching the story on the sack, she gives a literal meaning to the expression of tell-tale object: thanks to the material inscription that it bears, the sack can no longer be separated from its story.

In an important sense, however, the embroidered story remains incomplete. If we analyze narrative structure according to the schema problem—action (aiming at solution)—result, the parameters problem and action are filled, respectively, by the sale and the gift of the sack, but the outcome remains unspecified: did Ashley find comfort in the love symbolically contained in the sack? It is in the context of Ruth’s act that the narrative receives its full meaning and achieves closure: by committing to writing the story told to her by Ashley, Ruth provides proof of Ashley’s gratitude toward Rose, proof that Rose’s gift of love did indeed fulfill its goal.

In addition to its role in the story it tells, the sack participates in a larger narrative that scholars have been eager to reconstitute: the story of its travels through several generations, and of the lives of the Black people—all women, it turns out—who passed it on as a memento of the suffering of their enslaved forebearers. The story of the sack begins in the first half of the 19<sup>th</sup> century, when it is woven out of cotton, probably by Black slaves, as a container meant to carry grain or food. Its dimensions—75 by 40 cm—are out of proportion with the small collection of objects that Rose gives to Ashley, but while it is far too large for a tattered dress, three handfuls of pecans and a braid of hair, all that Rose could gather, it has room for lots of love. The sack’s travels in space start in South Carolina, as the inscription tells us. Scholars have been able to identify Rose and Ashley on the basis of the archives of slaveholders. 200 Roses were found, but only three Ashleys, an uncommon name in the 19<sup>th</sup> century. The two names appeared together in the records of a prominent family of South Carolina named Martin, and it is assumed that they refer to the

protagonists of our story. We don’t know what happened to Rose after the sale. Ashley was freed by the emancipation act in 1865 and had a daughter around 1880 named Rosa, who was the mother of Ruth. Born in 1903, Ruth took the sack to Philadelphia, where she resettled as part of what is known as the Great Migration of Black people from the South to the North. Ruth worked as a domestic servant, like most Black women at the time, but enjoyed some level of social prominence in the Black community of Philadelphia. She died in 1942 at age 39 of tuberculosis, and her daughter Dorothy inherited the sack. Dorothy died without heirs at 69 in 1988, and the whereabouts of the sack are unknown between 1988 and 2006, when it mysteriously resurfaced in Tennessee. It returned to South Carolina when it was gifted to the Middleton Foundation, and from there started a triumphal tour that took it to Washington D.C. in 2016, as well as to other museums, though it will eventually return to South Carolina and to the Middleton foundation. Throughout its story, the sack evolves from modest, functional object used to transport goods, to treasured family heirloom, a status that makes it unique for its private owners among all objects of the same kind, to part of a bunch of undifferentiated rags offered for sale at a flea market, to venerable relic displayed to the public in a protective glass case in a prestigious museum.

## 5 CONCLUSION

What is it that makes the objects in these three narratives remarkable enough to merit exhibition in a museum? Or to reword the question, what kind of interest do they elicit in museum visitors? The appeal of the Madeleine Project and of Pamuk’s Museum of Innocence lies in nostalgia. By displaying ordinary things, they invest in our penchant to cherish any object that evokes personal memories, even though we may have been indifferent to these objects when the past was the present. The objects shown in the Madeleine project present the additional appeal of belonging to one particular person: visitors are invited to imagine Madeleine’s life on the basis of the things she wanted to keep. Clara’s comments about what she learned from the project can be extended to the experience of many visitors: “I don’t watch old ladies the way I used to.” “And when I go to flea-markets, I think of the lives behind each thing, it all looks tremendous.” Pamuk’s museum, being made of objects found in the various junk and antique stores of the neighborhood, and concerning fictional characters, lacks this biographical dimension, but it makes up for it through its sentimental connection to Istanbul (for to access it you will have to walk through some of the older and most charming neighborhoods of the city), through its relation to the novel, and for those visitors who have not read it, through the aesthetic arrangement of the displays. It is simultaneously an

art museum and a “museum of things,” like the Berlin museum that served as Pamuk’s inspiration.

There is no hint of nostalgia in the public’s fascination for Ashley’s sack: it tells a story that no visitor has experienced, whatever their race. This story is both very general and very particular: on the general level, it speaks for the thousands of enslaved parents and children who were separated from each other by being sold away; of these thousands, probably many parents gave their child something to remember them by or something to help them survive. But, to our knowledge, only one of these multiple stories was commemorated by a descendant who put it into writing in a strikingly original manner. Ashley’s sack is a unique object that tells us about circumstances that inspire horror rather than romantic longing. It has become a cultural icon for a society that hopes to amend for its slavery past by fully acknowledging and exploring this past.

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# Seven decisive minutes over a lifetime of resilience; expansion and fall

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**ABSTRACT:** What can a museum invigilator and a figure skating athlete have in common in their activity's time-space relation? Could it be the repetition, the sustention and the fall? If the first compresses time and space by means of "sliding" through the ice-ring and executing complex jumps that require challenging body techniques with full concentration and focus in the present; the latter "lives" an expanded territory by means of a profound time in near stillness. They will both fall when their minds fail to be present or, from another perspective, when the mind escapes the condition in which it is expected to be active. They occupy opposite sides of the spotlight: the athlete is present as an athlete and a dancer - embodying a character in the choreography; the invigilator, in turn, represents the institution through his presence in uniform. The human behind the character and the institution is present within "the fall." The body is the terrain of the experience with its escapist desires and constraints. It is both object and subject of discipline and liberation, where resilience can occur through continual expansion and fall.

**Keywords:** Time-space, Dance, Steve Paxton, Liquid modernity, Tate

## 1 FAILING THE TRIPLE AXEL

One of my childhood memories in front of a TV screen is sitting on the couch on a Sunday afternoon watching world figure skating competitions. Nowadays, I find myself glued to the screen, again, watching the highest level figure skaters, in particular the men's singles World and Olympic Competitions.

In as little as 2 minutes and 40 seconds – the duration of a short program, plus the long and free programs (my favorite) of 4 and half minutes - skaters must show the technique and artistic sublimation of years of practice. Within those 7 minutes, each split-second movement counts. My breath is in suspension accompanying the music and choreography of the dancer/athlete until those decisive moments when he jumps for the triple and quadruple Axel, Toe Loop, Lutz, Salchow, their mind and body deeply focused on every minuscule movement of their body from the top of the head to the tip of their toes. A split-second concentration loss and they may fall (or should I say fail?). These are complex movements they have mastered and practiced over and over again. When an athlete jumps, we are suspended with him, in mid-air, a good landing brings us joy and elevation, while a fall disappoints our weak hearts, and we instantly close our eyes - failure is hard to watch. Falling is a downward movement towards the ground - an unconscious analogy to death. But as quickly as he/she falls, they also stand up and continue their combinations; as the music goes on and so do they, attempting to master another extremely

difficult jump, and staying focused on their choreography, technique, body expression and dance 'artistry' - the show must go on. There and then, inside the ice-skating ring in the context of a high level competition, time and space are charged with the sharp observation of judging panels and coaching teams, shouldered with the weight of years of longing for those career-changing minutes. Expectations are high. Like a tennis player serving for a match point, the athlete is alone and his/her first opponent is him/herself and their nervous system, more precisely, their emotions and internal representations.

I have always admired such athletes who can, at times, master and control these internal images and deliver the right gestures, tactics and movements at the right moment, that split-second window to achieve a superhuman form of perfection.

But as I am writing this, I realized that I am also drawn to what could be considered the opposite of this time-space mastery, hence the slowing down of time, the gap and the gutter needed for imagination to take place, for the body to be present as a subjective territory.

In 2012, I made a film entitled *Seems So Long Ago, Nancy*<sup>1</sup>, which derived from my MA thesis in Visual Cultures Anthropology entitled *Docile Bodies*

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1. The film was awarded the SAW Film Prize by the American Anthropological Association - Society for the Anthropology of Work, in 2014. It was also screened in Film Festivals and art galleries worldwide. It can be

(FCSH- Faculty of Human and Social Sciences, New University of Lisbon, 2012). The thesis is an account of the experience of making the film where I closely met, recorded and observed several people who perform Visitor Assistance roles at both Tate Galleries in London. My interest laid, amongst other things, in the embodiment of the institution, the corporeal image, surveillance and the unconscious body. In the following chapters I will revise this film and my study in relation to the notion of stillness, repetition and dance as a space of resilience and fall within the time and space constraints of the subjective body and the body-space.

### 1.1 Seems So Long Ago, Nancy: *Time, Space, Body and Gaze*

From the Neo-Classical Tate Britain to the Post-Modern Tate Modern, one can draw an analogy with the emergence of the contemporary art museum in the West, whose present time is characterized by the coexistence of various architectural models and programmatic lines. The Gallery Assistant in an art gallery or museum is a fundamental piece in its spectacular *mise en scène*, a sense of authority is projected upon them, their primary role is to see and be seen. An inversion of roles takes place when I look closely at them. But as soon as I place myself with my camera, I also become a target for scrutiny; my body is as present as theirs, with my own ideas, anxieties, desires and impulses. Inside the white cube, everything becomes hyper-visible. The process starts off with trying to free my consciousness in order to learn to become what I see. (MacDougall, 2006, p.7).

By refusing to give the spectator a counter shot, the space is perceived as if looking at itself, in a claustrophobic circle. The territory of the museum/gallery becomes a mechanical and organic body, both observer and observed, where numerous powers and performances take place. This chain of looks exists within a continuous flux of production of docile bodies, as Foucault puts it, in “*Surveiller et Punir*” (1975), serving the disciplinary society in building a mass of controlled and functional bodies. But people simultaneously have and are bodies, they are both objects and subjects, hybrid beings performing multiple roles in their everyday lives. The close-up shots enable me to capture the body at rest, trying to adapt to a certain space and time interval; their smallest spastic movements and evasive thoughts are enhanced. The act of breathing is amplified and prolonged to its limit, like the sustenance of a note. Time is suspended until everything starts again, the mechanized repetitive movements, looping patrols, rotating positions, their routines, and those of the visitors, until it stops, the

work shift ends, the museum closes its doors, and the next morning everything starts again.<sup>2</sup>

The film’s title refers to a mental state of drift; it is indeed the title of a Leonard Cohen song that one of the Visitor Assistants confesses to being one of the songs he has had in his mind while I was filming him. The mind’s subjective space is one the camera cannot enter. Or can it? The film then ends with the only fragment of dialogue in all of its narrative structure (heard in the off during the ending credits), precisely the moment when he tells me about the song and sings its chorus: “It seems so long ago, Nancy was alone... have you ever heard that song? It seems so long ago ... and that was the song I went home with in my head.”

## 2 DEEP, INTERNAL, MEASURED, SUSTAINED, LINEAR AND LIQUID TIMES

The first scene in *Seems So Long Ago, Nancy* is a long shot of a steel pillar with its projected shadow appearing and disappearing as the sun moves in and out of Tate Modern’s Turbine Hall. In turn, the film’s last scene is a shot of Tate Britain’s clock hanging on the cloakroom wall, with its pointers going around, measuring up time in circles. Time measured by the sunlight and a mechanical device at both Museums.

The duration of the film is 45 minutes – precisely the duration of one of the invigilating patrols at Tate Britain (they alternate between sitting and standing positions in different gallery rooms for 30, 45 and 50 minutes each). The film spectators “endure” the same amount of time in the same observational mode, observing people as if in an invigilating sitting position, and therefore performing an exercise in empathy (if they resist the impulse of walking out and leave the film theatre, or pushing the “pause button” when watching the film privately). On the other hand, the invigilator can only abandon the space and that physical position via a mental drift.

Diogo Seixas Lopes, Portuguese Architect and Researcher (1972-2016), pointed out to me, in a written conversation edited in the catalog of the Ano Zero Coimbra Biennial, 2015, that in my film “the employees appear as guardians of a ‘profound time’ in contrast with the voracity that guides almost every activity nowadays – including artistic fruition – for which we are called upon.” He then asked me if my focus in this film was on this “profound and rare” time. I replied to him by digging into the many aspects of my film and study, as well as other film works that influenced me unconsciously, such as

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viewed at the Filmin Platform: <https://www.filmin.pt/filme/seems-so-long-ago-nancy>

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2. As can be read in the Abstract of my MA Thesis in Visual Cultures Anthropology, *Docile Bodies* (FCSH- Faculty of Human and Social Sciences, New University of Lisbon, 2012).

“Playtime” by Jacques Tati and “Modern Times” by Charlie Chaplin. Both films offer an acute humorous critique of Modernity as manifested in culture and social relations: body, power, aesthetics, surveillance, standardized work, linear production, leisure and consumption. Both do it via an intricate work of body movement by the characters but also the camera, the montage and the sound.

But Diogo reinforces his question again as if trying to bring me back to the core of it: “to go back to the theme of time, perhaps we are beyond a ‘modern time’ and now living ‘liquid times’ according to the expression coined by Zygmunt Bauman. Nothing is made to last. As an artist connected to an activity that assumes a certain idea of permanence, how do you understand this supposed change? *Seems So Long Ago, Nancy* seems to be the opposite of that. It reveals an interest for a ‘profound time,’ even if filled by boredom, against the ‘liquid time’ that has been imposing itself on our every day.” My reply came once again as an expansion on this and how I saw it as an act of resistance: how stillness and slowing down time were the only ways to really “see” with corporeal and critical investment, allowing the time and opportunity to question ourselves about how profound or how liquid and superficial we are (and under what circumstances), how sensitive we are and what are our ethical and moral values.

Back to Bauman, I added that when he analyses the post-modern condition, the social networks, the fluidity of human relationships, he states that “we are in solitude and in a crowd at the same time” and that the great appeal of social networks is “the possibility” to disconnect from a relationship as quickly as it is to connect, one only needs to click on a “delete” button and the relationship ceases to exist. The concept of a relationship became a fluid one too.

It is a fact: living as post-modern subjects, we have lost the use of physical contact to understand each other. (Godfroy, 2019, p.74)

Bauman also claimed that we live in the ambivalence of searching for the perfect formula between two essential values for a relatively happy life: safety and freedom. The problem is that “each time we receive more from one, we lose a bit from the other. Safety without freedom is slavery and freedom without safety is chaos”. It’s funny how this can also be an allegory for my film: the loneliness in the crowd, the fleeting and ferocious artistic consumption are one part of my critique, at the same time as it offers openness to a resistance from the body and the mind to this condition. I later understood that I should have addressed my answer to Diogo also in terms of our own mortality. We are transient, but our experiences can be profound. I hereby thank him for his sensitive observation. His written work and the architectural forms he was passionate about<sup>3</sup> also exist in their own profound timelessness alongside their author.

### 3 BODY AS SPACE, TERRITORY AND SUBJECT

#### 3.1 *Reversing the gaze*

Gallery attendants are paid to watch, but not to watch the art. They spend their time looking at other people looking at the art. In fact, through their observation they are making sure that the visitor remains in observational mode. Tatiana Macedo’s 45-minute long film “Seems so long ago, Nancy” reverses this institutional order of gazes. (...) Macedo is able to shift our understanding of the museum space, as well as her own role as the artist and director within the web of interrelations set up by her film. The reversal of the gaze as a self-referential cinematic gesture, a gesture of empathy and complicity with her subjects (...). (Ulrich Ziemons in “Long Hours in the House of Mystery,” 2016, p. 12)

And if Cinema is the opposite of dispersion, if Cinema is concentration, what this essay film does is to make it evident, by confronting us with a presence, far more than representation, and by allowing us the necessary time so that we can see. (...). (CAPC Laboratory, Exhibition Sheet, Bienal Ano Zero, Coimbra, 2015)

As these quotes point out, one important aspect of cinematic art has always been an introspective look towards the medium itself and its ability to concentrate and create a present: while watching a film, we believe the world is what is being presented to us, that is our reality - the reality of spectatorship. And what if our spectatorship reality would be the same that is being presented to us by the film?

James Benning’s “Twenty Cigarettes” (2010) is another film without words; the title is very objective regarding the content: what we see and experience are twenty shots of twenty different anonymous people smoking a cigarette. The duration of each shot depends on how long that person takes to smoke the cigarette. Anxiety kicks in, as we cannot predict how long each cigarette will last (and Benning is famous for his one-hour-long shots). We need to let go. The spectators and subjects of my film experience a similar anxiety, although my subjects know how long their invigilating position will be, but they may be counting the minutes until the next change of rooms or the next break. Many times the body lets itself go and falls into sleep, unnoticed.

During the filming process, I was always alone, filming with my camera and tripod, over the course of three months. I would often alternate between following a strict number of people who have agreed to be filmed, and capturing the sound, and the architecture from the surrounding spaces, the gallery walls, etc. I was not allowed to film the art. On one of these

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3. Diogo Seixas Lopes is the author of *Melancholy and Architecture: on Aldo Rossi* (Zurich: Park Books, 2015).

occasions, as I was framing the ground in a static shot, someone approached me and remarked: “I’ve been watching you and it seems like you are filming empty space” – to which I smiled and thought to myself: “How can this space be empty if there is at least you and me in it? The camera isn’t framing us, but we know we are here.” The camera was framing the shadows of visitors passing by, instead.

The space of the museum becomes a body, and our bodies, in that space, for long periods of time, become one with it and embrace each other’s presence.

Although the museum has been adapting to new social, political and artistic challenges, it maintains its status as an “impenetrable archiving vault” where time, and its destructive action upon objects, must be suspended, as much as possible. And it still is the space where the “*Exhibitionary Complex*” (Bennett, 1998, pp.73-10) takes place. Even though after the 20’s avant-garde and the social movements of the 60s and 70s, several happenings attempted to throw down the “museum walls,” it still needs to look within itself and its inter-subjective power and social structures. Perhaps a good entry point to do so is through their staff’s “individual and social bodies.”

### 3.2 Resilience as dance: Expansion and fall

By framing certain activities as forms of dance, by considering the roles of attitude and gesture in determining social life, artists rejuvenate its emblematic function and so create possibilities for imagining new kinds of community, or communality.

Choreography – literally writing with people – links how one behaves to one’s conception of what a society, or a culture, looks like as a whole, and how one performs a part in that. (Wood, 2010, pp.40-47)

In *Notions de Techniques du Corps*, Marcel Mauss (1993) points at the resistance to an emotional capture as something fundamental in the social and mental life of the individual, separating him from the primitive societies that exhibited more brutal and unconscious behavior. According to the author, the education of the techniques of the body will happen through the imitation of prestigious role models for the individual. To this repetition of certain behavior patterns in a given society, he coins the term *habitus*, defining not only the notion of social practices that expose the individual to the sense of his own place but also the place of others. Going back to the reality of the museum, it is through the continuous repetitive exposure to surveillance that the visitors, as well as the staff, learn their places. But rescuing the body from these “places of capture” can be made by revolutionary artistic examples such as the work of dancer and choreographer Steve Paxton (b.1939).

Steve Paxton’s pieces from the 1960’s present a varied range of understanding of the ordinary. They were made at a time when many different forms of distancing from modern dance, ballet and the Cunningham

virtuosity appeared in the United States. Indeed, after training in gymnastics and performing modern dance, Steve Paxton came to New York in 1958 to study with Cunningham (who hired him in the company in 1961), for whom all movement, no matter how mundane, was potentially a dance movement – a concept the choreographer had borrowed from his partner, music composer John Cage, for whom all sound was potentially music. Paxton meant to put this theoretical position into practice - and went on creating dance pieces entirely made up of everyday gestures, such as sitting, standing, smiling, or walking. (Perrin, 2019, p.31)

Indeed Paxton has been dedicating his focus to the study of fundamental interior techniques, such as gravity, stillness, touch, anarchy, disorientation, solo, contact improvisation and relations - as explored in the catalog edited by Romain Bigé and homonymous to the 2019 exhibition at the Culturgest in Lisbon “*Steve Paxton: Drafting Interior Techniques*” curated by Bigé and João Fiadeiro. In this beautifully constructed book<sup>4</sup> we find preludes, chapters and interludes: texts by Julie Perrin (cited above), Hubert Godard and Romain Bigé, André Lepecki, Nancy Stark Smith, Alice Godfroy and Yvonne Rainer, amongst others, expanding on Paxton’s questioning of the smallest of the dances and its liberating potential: stillness as dance.

One of the most recurring questions he asked to himself and others was “What is my body doing when I am not conscious of it?” (Paxton, 2018:18) Dance was the name of the field of investigation of the question: how can I remain present, even when in all appearance, my consciousness goes away? Many disciplines served this purpose: from Cunningham technique to Aikido, from Yoga to Meditation, from Contact Improvisation to Material for the Spine, the game seemed to have remained pretty much the same - what can you learn from yourself? (Bigé, 2019, p.20)

Inspired by Zen Philosophy and Martial Arts such as Aikido and Tai Chi Chuan, Paxton internalized the concept of not-doing: to expand the ground and welcome the other, to let the universe move around and alongside oneself. He believed that, in order to become a better dancer, straining the senses was equally important as straining the muscles.

This is a core aspect of not-doing: accepting momentarily to be invaded by the very world I intended, a second earlier, to act upon. I can thus move without giving myself the instruction of movement, but the condition is that I let my imagination or affects build a world in such a manner that I no longer have to move, where the only thing I need, is to let myself be moved. (...) Of course, such a sensitivity to affects and imagination can be trained. (Godard/Bigé, 2019, p.101)

4. *Steve Paxton: Drafting Interior Techniques* was edited by Romain Bigé and published by Culturgest in 2019.

One way to train this is through the practice of meditation. During my off-camera informal interviews with the Visitor Assistants at Tate Modern (2011), I clearly remember one of them, a young graduating art student who confided to me that, while at work, he would sometimes practice a sort of meditation: an attempt to be present solely in his body, as a means to escape the condition he was in. He described that condition as being “the most cold cut exchange of time for money: eight hours of his time in exchange for fifty pounds.”

Other interviewees were consensual in affirming that one of the most pleasurable things they could do while at work was to spy on people, observing how they walk, how they dress, how they talk, the smallest and most ordinary details, something Paxton and Cunningham would perceive as a miracle: the grasp that no two ways of walking, breathing, standing and sitting, are identical. These so-called “ordinary movements” were part of the critical debates of dance in the '60s and have been observed by dancers and choreographers outward and inwardly (spying on these everyday movements on others and on themselves). In my film *Seems So Long Ago, Nancy*, I do exactly the same, pointing my camera at the invigilators, as well as zooming in on the visitor's movements, at the same time as I am aware of my own. It was a long process of many weeks of filming the same spaces and people that made my camera and me more invisible to them. A camera can be as inhibiting as the very presence of the invigilator is, for the visitors in an art gallery. Apart from children who seem to escape this awareness, we are all being observed. The apparent “not-doing” of the invigilator is effectively doing something on the level of disciplining behavior and feeding the *habitus*, solely by his presence in uniform - a projected authority - and our awareness of it. This effect can only be broken when the invigilator “falls” asleep.

But even awake, our bodies execute minuscule movements that lie outside our consciousness, so we are all involved in dance. Sitting or standing, invigilators are dancers - we are all dancers. Dancing with the ground, as Paxton puts it, each dancer with its own ground - a primary relation with gravity.

Paxton's revolution derives from his claiming of stillness as dance - ultimately, as he writes in the quote, there is no stillness, but only layers of minuscule motions. At the still point of the body, we are to find neither ascent nor descent but also no fixity. Stillness is full of microscopic moves. (Lepecki, 2019, p.111)

Figure skaters must excel in a number of extremely complex and artistic dance/acrobatics they have practiced for thousands of hours, but how many times do they fall during practice? Gravity pulls them down as they restlessly defy it. Few succeed in perfecting it within the context of those decisive minutes in the world's most prestigious competitions. But even then, before reaching that superhuman performance, they have resiliently experienced the fall.

Along the vertical axis, down is generally associated with evil, and falling is rarely considered an enviable activity - except, of course, when we fall in love (...). We need to multiply the axes of relation in our experience. The study of gravity suggests a sensorial basis for this alternative ethic. An ethic where instead of erecting ourselves against the ground, constituting our subjectivities against the Earth, we learn to recognize our movements are never more than inflections of preexisting forces that move us before we start moving.

Moving-moved, our bodies scream gravity. (Godard/Bigé, 2019, p.103)

In an opposite paradigm to this conscientious awareness, or the resilient relation with time, space and movement of the examples exposed (Figure Skating athletes, Museum/Gallery Invigilators, and the studies and practice of Steve Paxton), is our present consumer society culture, in its praise for instant recognition. Whatever form it may take (work, family, love, money, leisure), what is praised the most, is its representation and communication in and as an instant “snapshot” to be consumed in no longer than two seconds, preferably via an Instagram post. Will this “instant culture” eradicate more resilient and profound relational time-space practices?

Again, the body is the terrain of the experience, with its escapist desires and constraints. It is both object and subject of discipline and liberation, where resilience can and should take place, by means of a continual expansion and fall.



Figure 1. Film still from the first scene of “*Seems So Long Ago, Nancy*,” Tatiana Macedo, 2012 © Rights Reserved.



Figure 2. Film still from the final scene of “*Seems So Long Ago, Nancy*,” Tatiana Macedo, 2012 © Rights Reserved.





Figure 3. Film still from “Seems So Long Ago, Nancy,” Tatiana Macedo, 2012 © Rights Reserved.



Figure 4. Film still from “Seems So Long Ago, Nancy,” Tatiana Macedo, 2012 © Rights Reserved.

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*Part II*  
*Architecture/urbanism/design*



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# Architecture and the end of history

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**ABSTRACT:** In 1992, Francis Fukuyama published *The End of History and the Last Man*, one of the most discussed books of our time. In the aftermath of the fall of the Berlin Wall and the dissolution of the former Soviet Union, Fukuyama argued that humanity had reached a certain climax in its evolution, which would lead to the triumph of Capitalism as a global political-economic system. Although his theses are debatable, Fukuyama's book can be related to two crucial moments in the history of architecture in contemporary times. The first, in the aftermath of World War II, was marked by the utopias proposed by a new generation of architects, and the second was characterized by the new post-critical and post-theoretical reality that emerged in the last years of the 20th century. This period, which extends to the present day, had one of its most relevant moments in the early works of Rem Koolhaas. This article analyzes the historical moment in contemporary architecture, in which theoretical projects such as *Exodus*, the *Voluntary Prisoners of Architecture*, or *The City of the Captive Globe*, are already a foretaste of the idea of the *End of History*, the apparent triumph of neoliberalism in the disciplinary field of architecture, and that came to translate into the capitulation of theory and criticism as they were thought of in the 1960s and 1970s.

**Keywords:** The end of history, Architectural utopias, Rem Koolhaas, Paper architecture

## 1 INTRODUCTION

In 1992, 30 years ago now, Francis Fukuyama published *The End of History* and the *Last Man*, one of the most discussed books of our time. In the aftermath of the fall of the Berlin Wall and the dissolution of the former Soviet Union, the American historian optimistically argued that humanity had reached a certain climax in its evolution, which would lead to the triumph of Capitalism as a global political-economic system, with liberal democracy and the market economy conquering all societies and guaranteeing world peace.

With this conception, he resumed the historicity of the political organization of human society thought by philosophers such as Kant, Hegel, and Marx, namely the notion that it evolved from primitive social structures to more complex and highly developed ones. From Hegel, he retained the teleological conception of an end to history and the notion that human freedom is the ultimate goal of history. Thus, following Hegel, Fukuyama equated freedom, especially individual freedom, with the guarantee of human rights within a free market economy, suggesting that the fall of the Soviet bloc confirmed the theses of the German philosopher's philosophy of history rather than the theories of Karl Marx, his most "rebellious disciple."

Therefore, it is not surprising that in the American historian's view, Western liberal democracy was the final form of government of human societies since, with the end of the Cold War (and the victory of the United States of America), another ideological conflict could exist no longer arise. Events would undoubtedly continue to occur, but now that history had ended, what remained was mainly economic activity in a globalized world.

Although his theses are debatable, Fukuyama's book had what it took to become a fad: a good title, as Nicholas Boyle (1995, p. 164) points out. And that title, however polemical it may be, can be related to two crucial moments in the history of architecture in contemporary times. The first, in the aftermath of the Second World War, was marked by the utopian fantasies proposed by a new generation of architects, and the second was characterized by the new post-critical and post-theoretical reality that emerged in the last years of the twentieth century.

At the end of the 1950s, influenced by emancipatory social theories such as *Homo Ludens* (advocated in 1938 by the Dutch historian Johan Huizinga) and aware of the growth of computing and communications (cybernetics, as it was then called), some architects anticipated the potential for automation of machines and new technologies, proposing the construction of

self-regulating habitats, happy worlds in which work would come to an end, to be replaced by a hedonistic life free of alienating tasks and fully dedicated to leisure activities. Societies in which time and space, as historical categories, were compressed into an eternal present, a permanent state of homeostasis, able to adapt to the ever-changing desires of human communities.

With these new utopias, architecture celebrates not so much capitalism as humanity's final destiny but, above all, the idea of freedom and individual emancipation, which is central to the conception of the liberal state, both in Fukuyama and in the philosophies of Kant and Hegel, but also in 'critical theory' based on sociopsychological philosophy and the neo-Marxist critique of society and culture proposed by the authors of the 'Frankfurt School,' namely Adorno and Horkheimer. The central assumption of "critical theory" - the failure of bourgeois enlightenment - is the current of thought that will inform the "critical architecture" of the radical movements in which many architects and groups that protagonize these years will militate and oppose the reification and fetishization of architectural objects.

In the final years of the 20th century, and after several decades of utopias motivated by "Critical Theory," often marked by the escape into the realm of so-called paper architecture and postmodern criticism, architects gradually withdrew from the theoretical production and criticism of the previous years to resume professional practice and enthusiastically embrace the markets. With this shift, they were certainly among the professional groups that best confirmed Fukuyama's idea that once the end of history is reached, "what remains is primarily economic activity" (1992, p.5); as if with the end of utopias, it was no longer necessary to think architecture beyond its professional practice.

This period, which extends to the present day and is commonly referred to as post-critical and post-theoretical, had one of its most relevant moments in the early works of Rem Koolhaas, developed in the early 1970s, some of which while he was still a student at the AA. These works prophesied the end of history as far as architecture was concerned, deeply influencing the disciplinary debates of the following decades, marked by the end of the Cold War and the triumphant affirmation of neoliberalism.

## 2 CONTEXT

In the last years of the 1950s, with the end of the war and the development of new technologies, the direction of architectural culture became increasingly uncertain. In Europe, this uncertainty is manifested in the divisions between those architects who sought to root modern forms in the historical context of cities and those who, following in the wake of the progressive ideas that fueled the Modern Movement, favored the

use of new technologies related to the new spatial era that was announcing itself, and mass communications.

As was the case of Team X, younger people have an optimistic view of technology, developing an ideology around open structures in constant change, emphasizing networks and their flexible character (Cohen, 2012, p.378). Others, especially the more subversive ones, propose new ideas of urban planning, freed from the constraints of commercial real estate transactions and the weight of history (Cohen, 2012, p. 389), often taking refuge in defense of an autonomous architecture or the imagination of unbuildable utopian fantasies, intentionally taken from the capitalist productive reality, and which came to be known as Paper Architecture.

Two conceptual models emerge concerning the development and planning of cities and within the scope of the proposals presented by Team X. The first model is based on a set of social theories based on the concept of "community" and the psychology of perception. However, as Alan Colquhoun (2002, p. 220) points out, many of Team X's proposals also include another model that had been gaining ground in the field of human sciences since the Second World War: Systems theory, whose concepts, namely cybernetics, were enthusiastically embraced by the architecture of the late 1950s.

Systems Theory seeks to apply the principle of self-regulation to machines, psychology, and society - indeed to all organized totalities. It views societies as information systems, totalities, units without centralized control, organized to maintain themselves in a permanent state of "homeostasis," prophesying a capitalist world of open structures in which democracy, individualism, commodification, and consumerism are not constrained by any a priori set of cultural norms (ibid., p.220-221).

Swedish and Dutch structuralism, the current megastructures, and the English collective Archigram are among the first movements and groups to realize the potential of applying this model to solving the complex problems associated with modern mass societies. They propose the construction of large cities and buildings from "cybernetic" components, creating self-regulating environments able to adapt to the ever-changing desires of the human communities that inhabit them. Instead of being confronted with predetermined spatial patterns, these now have at their disposal, at least in theory, the means to alter their own micro-environments and control their members' behavior patterns (ibid., p.222).

Besides Systems Theory, which became central to the work of Cedric Price (1934-2004), Yona Friedman (b. 1923), Michael Webb (b. 1927), and Victor E. Nieuwenhuys, known as Constant (b. 1920), the ludic idea of play, as advocated by the Dutch historian Johan Huizinga in his book *Homo Ludens*, originally published in 1938, becomes fundamental to all these authors (Ibidem, p.225). The Fun Palace,

designed by Cedric Price in 1961, is probably the first attempt to apply research in cybernetics and information technology to an architectural project. Although it was never built, the innovative proposal of using computers, which was far ahead of its time, and the associated theoretical reflections had a considerable impact at the time (Cohen, 2012, p.386).

Huizinga's book also inspired the concept of New Babylon, a project developed over more than ten years (1959-1974) by the painter Constant Nieuwenhuis, a founding member of the Cobra group who went by the name Constant. This artist draws inspiration from the idea of *Homo Ludens* to elaborate a vibrant critique of Fordism (Ibid., p. 386), centered on a long-term prognosis of modern society, conceiving an imaginary environment constantly changing in response to play and other creative activities. A world in which nature is totally overcome by technology, communities by nomadic populations, and work by leisure. In his view, the environment of *Homo Ludens* ("man at play") has to guarantee individual freedom and the satisfaction of subjective personal interests. For such, it has first to be flexible and changeable, making possible any change of place or mood, any mode of behavior (Colquhoun, 2002, p.226).

In this city, industrial production, economic activities, and government seem to have disappeared into a state of automated perfection, while all social life, now free to develop without hindrance, is in a state of constant agitation, taking place within a large structure built above ground. This structure, which forms a network that will eventually cover the entire globe, is a continuous multi-story space containing all vital and social functions. Inside, since work has been abolished, life will be occupied with creative social interactions and innovative play activities in an environment that has been fully aestheticized (Ibid., p. 228). The population will migrate freely from one part of the city to another, and communities will be in constant formation, reformulation, or disintegration, in an environment that, because of these social changes, will be constantly reconstructed with the help of cybernetic machines. As Alan Colquhoun (2002, p. 228) states, "it is all too easy to see Constant's New Babylon as an allegory for a post-industrial, capitalist world." It is also not difficult to see in this work the anticipation of Francis Fukuyama's ideas, namely the idea of a world from which power and conflict have been eradicated, in which an invisible network, though able to maintain and reproduce itself efficiently, is no longer guided by any rational telos (Ibid., p.229).

Constant's work is an expression of the ideas of Situationism, a movement founded by Guy Debord in 1958 and which, in the following years, would radicalize its opposition to the capitalist order. In 1967, the year that Debord denounced the Society of the Spectacle in a global critique of capitalism, another radical group, Utopie - founded by Jean Aubert, Jean

Baudrillard, Jean-Paul Jungmann, Antoine Stinco, and Hubert Tonka - drew inspiration from the Marxist critique of sociologist Henri Lefebvre to challenge the illusions of the Archigram and other groups that sought to counter a class-based society with a world of unbuildable fantasies. The following year, critiques of dominant urban policies and distrust of large-scale construction became topics of debate in the student revolts that rocked Europe and America in this period (Cohen, 2012, p. 392).

Rem Koolhaas, who began studying architecture at the AA during the Paris protests and witnessed the counterculture movements of the 1960s, lived through this period as one of the most decisive of his career. Architecture academic works such as *The Berlin Wall as Architecture* (1971), an essay on the Berlin Wall, and *Exodus, or The Voluntary Prisoners of Architecture* (1972), developed while still a student, and the theoretical project *The City of The Captive Globe*, (1972) elaborated after the Dutch architect moved to New York, express not only the uneasiness and the feeling of impotence experienced during those years marked by the Cold War, but above all the will to overcome the crisis, anticipating the political changes that years later would lead Fukuyama to propose the End of History.

### 3 THE BERLIN WALL AS ARCHITECTURE

In *The Berlin Wall as Architecture*, which begins in 1971, the year marking the tenth anniversary of the wall, one can still feel the influence of the critical architecture of the 1960s that denounced architecture as an ideological instrument at the service of the ruling classes, revealing its deep involvement with the capitalist order, control, and power. The ultimate symbol of the "iron curtain" separating Western Europe from the Eastern Bloc, the wall allows Koolhaas to analyze the effects of the forced separation - both political and physical - on the city's inhabitants.

When visiting Berlin, Koolhaas realizes that the wall is deadly; it is the transgression of all transgressions. It is as if he is being confronted eye to eye with the true nature of architecture (Koolhaas; Mau, 1995, p. 222-225). Koolhaas recalls the countless individuals, mostly young men, who died in more or less disorganized escape attempts: shot through the barbed wire... in the sand, with the mines; caught dramatically on top of the wall. From this visit to Berlin, he draws a lesson: the Berlin Wall is not just a border or delimitation, it is pure architecture, and by functioning as an instrument of social exclusion, it is a perfect metaphor for the condition of architecture in those years:

In the early seventies, it was impossible not to sense an enormous reservoir of resentment against architecture, with new evidence of its inadequacies - of its cruel and exhausted performance - accumulating daily;

looking at the wall as architecture, it was inevitable to transpose the despair, hatred, frustration it inspired to the field of architecture. And it was inevitable to realize that all these expressions - the fanaticism of the tunnel diggers; the resignation of those left behind; the desperate attempts to celebrate conventional occasions, such as marriage, across the divide - were finally all too applicable to architecture itself. The Berlin Wall was a very graphic demonstration of the power of architecture and some of its unpleasant consequences. Were not division, enclosure (i.e., imprisonment), and exclusion - which defined the wall's performance and explained its efficiency - the essential stratagems of any architecture? (...) The wall suggested that architecture's beauty was directly proportional to its horror (Koolhaas; Mau, 1995, p. 226).

#### 4 THE PLAY OF OPPOSITES

The visit to Berlin probably gave rise to the desire to overcome the resentment against architecture felt in the early 1970s. For Koolhaas, this overcoming involves the inversion of some of the dominant values of the time in a strategy that consists in bringing out the positive from within the negative without, however, proposing the simple or formal annulment of the latter.

The inversion of values has always been a relevant topic in western metaphysics. However, António Marques states that it gains a new dimension in contemporaneity with Nietzsche's philosophy of opposites. The play of opposites, which includes ideas such as alternation, domination, exclusion, and assimilation, is done through oppositions and antitheses in which what is contrary is either dissolved to let us see better the genesis of what is opposed to it or is preserved and even intensified (Marques, 1996, p. xviii).

If we look at this definition, we can easily see how the play of opposites is structuring Koolhaas' work. His book *Delirious New York: A Retroactive Manifesto for Manhattan*, published in 1978, undoubtedly feeds on this topic. Just remember how in his narrative, the negative image associated with the modern metropolis is transformed into the positive "force" of Manhattanism and the Culture of Congestion. In fact, by defending the thesis of New York as the cradle of a new metropolitan culture, *Delirious New York* radically inverts the historical image of a city that, in the 1970s, was still looked upon with condescension and even disdain due to its strictly pragmatic and utilitarian character. For Koolhaas, this weakness of the city is, in reality, its great "hidden" virtue. In this sense, *Delirious New York*, like the German philosopher's reflections, is perhaps an experiment in the play of opposites:

You really have no idea about the deep and fundamental hostility against modernity that was then emerging - in the 1970s - and becoming an almost physical hostility. So, at that point I felt that the only way in which modernity could even be recuperated

was by insisting in a very progressive way about its other side, its popularity, its vulgarity, on its hedonism. (...) It was a strategy completely determined by the context of that time. You could read everything as a kind of dialectic between power and powerlessness. You may also have to be aware of the dialectic between reactions stimulated back or in response to a context and a kind of autonomous course that can, in spite of all these things, find continuity (Koolhaas, 1992, pp. 18-19).

#### 5 EXODUS, OR THE VOLUNTARY PRISONERS OF ARCHITECTURE

The experience of the Berlin Wall became fundamental to Exodus, or the voluntary prisoners of architecture, a project for central London developed in the last year of the AA course in collaboration with Elia Zenghelis, Zoe Zenghelis, and Madelon Vriesendorp, a group that years later will originate the OMA studio. *Exodus* starts from the idea that London is an underdeveloped city where the metropolitan ideal can be built in all its primordial intensity (Koolhaas, 1985, p. 2). It is a work consisting of drawings and collages accompanied by a text with reflections on the contemporary metropolis in a literary register that mixes realism and fiction. With allusions to the geopolitical condition of West Berlin during the Cold War, it proposes the construction in the center of the city of a strip enclosed by two continuous and rectilinear parallel walls, divided into eight square squares where vital and recreational activities take place. The two walls enclose and protect this inner zone to "maintain its integrity" in a kind of city-scale prison. The goal, in Koolhaas' paradoxical words, is to create a free zone in which a new metropolitan culture can develop in all its "primordial intensity"; a culture marked simultaneously by forms that provide "individual, almost mystical isolation" and by a "fervent collective life" that takes place in "serene monuments" inspired by the youth counterculture movements. This new and intense metropolitan life is characterized by a continuous state of ornamental frenzy and decorative delirium in an overdose of symbols (Koolhaas; Mau, 1995, p. 6-7).

Its power of attraction is so great that the first inmates - the inhabitants and immigrants strong enough to love this architecture - beg for admission, voluntarily taking refuge inside. Their numbers quickly increase, becoming an unstoppable flow, creating a veritable exodus that will empty the historic city (Koolhaas, 1985, p.2). The physical structure of the old city will not be able to support the continuous competition of this new architectural presence. As we know it, London will become a set of ruins (Koolhaas; Mau, 1995, p.7). Koolhaas uses the play of opposites to reverse the negative image that the wall - "one of the most original structures in

architecture” (apud Gargiani, 2008, p.7) - has in Berlin, placing it in the service of positive intentions:

It is possible to imagine a mirror image of this terrifying architecture, a force as intense and devastating but used instead in the service of positive intentions. Division, isolation, inequality, aggression, destruction, all the negative aspects of the Wall, could be the ingredients of a new phenomenon: architectural warfare against undesirable conditions, in this case London. This would be an immodest architecture committed not to timid improvements but to the provision of totally desirable alternatives. (...) Contrary to modern architecture and its desperate afterbirths, this new architecture is neither authoritarian nor hysterical: it is the hedonistic science of designing collective facilities that fully accommodate individual desires (Koolhaas; Mau, 1995, p. 6-7).

In *Exodus*, we find some of the themes of the utopias of the post-war avant-garde. In this delirious proposal, the aspects related to economy, production, government, and work are also absent. In it, we also detect the ideas of play and *Homo Ludens* proposed by Huizinga, in the way the destiny of humanity and the end of history are associated with the ideas of individual freedom and the eternal hedonistic celebration of the intensity and pleasures of metropolitan life. However, what distinguishes Koolhaas’ work from others of the same period is how he confronts us with a moral choice that symbolizes the Cold War, which divided the world into two blocks at that time. The emptying of old London is a necessity that results from the fact that the inhabitants are suddenly faced with an alternative that forces them to choose one part of the city, i.e., good or evil:

Once, a city was divided in two parts. One part became the Good Half, the other part the Bad Half. The inhabitants of the Bad Half began to flock to the good part of the divided city, rapidly swelling into an urban exodus. If this situation had been allowed to continue forever, the population of the Good Half would have doubled, while the Bad Half would have turned into a ghost town. After all attempts to interrupt this undesirable migration had failed, the authorities of the bad part made desperate and savage use of architecture: they built a wall around the good part of the city, making it completely inaccessible to their subjects. The Wall was a masterpiece. (...) Originally no more than some pathetic strings of barbed wire abruptly dropped on the imaginary line of the border, its psychological and symbolic effects were infinitely more powerful than its physical appearance. The Good Half, now glimpsed only over the forbidding obstacle from an agonizing distance, became even more irresistible. Those trapped, left behind in the gloomy Bad Half, became obsessed with vain plans for escape. Hopelessness reigned supreme on the wrong side of the Wall. As so often before in this history of mankind,

architecture was the guilty instrument of despair (Koolhaas; Mau, 1995, p.5).

Despite the ironic tone with which the new metropolitan enclave built in central London is described (see the paradoxical idea of the voluntary prisoner), the good side of the city is the only one that can fulfill the objectives of the utopias of the neo-avant-garde, and is therefore assumed to be the victorious side of a conflict - is not the statement that the old city is in ruins, unviable and will be abandoned/emptied a metaphor for the exhaustion of the social and economic formulas of the post-war world? Its replacement by a new city, capable of guaranteeing individual pleasures and freedoms, understood as the final destination for humanity, is the celebration of the liberal culture of the great capitalist metropolis. Indeed, the declaration of its victory anticipates the political and cultural transformations that took place in the following years and that came to culminate in the affirmation of the neoliberal ethos that, in the late 1970s, decrees individualism and consumption as the future for humanity: “This will be an architecture that generates its own successors, miraculously curing architects of their masochism and self-hatred” (Koolhaas; Mau, 1995, p. 6-7).

## 6 THE CITY OF THE CAPTIVE GLOBE

Like *Exodus*, *The City of the Captive Globe* is a theoretical work. The first of a series developed with Elia Zenghelis and anchored in the study of Manhattan urbanism conducted between 1972 and 1976 in collaboration with Madelon Vriesendorp and that will be included in *Delirious New York*. It stands out for being the first and decisive foray into the “essence of Manhattan”; a preview of Manhattanism and the Culture of Congestion, key concepts of Koolhaas’ first book.

In *The City of The Captive Globe*, as in Manhattan, the grid is the fundamental feature of the city. The grid creates an orthogonal grid of blocks, and there is a plot in each block. This plot is formed by a base of polished solid stone, which in turn is topped by a tower representing a particular theory or doctrine. The towers together frame the “captive globe” situated in the center of the city, in a metaphorical allusion to Manhattan as a “huge incubator of the world”:

The *City of the Captive Globe* is devoted to the artificial conception and accelerated birth of theories, interpretations, mental constructions, proposals and their infliction on the World. It is the capital of Ego, where science, art, poetry and forms of madness compete under ideal conditions to invent, destroy and restore the world of phenomenal Reality. Each Science or Mania has its own plot. On each plot stands an identical base, built from heavy polished stone. To facilitate and provoke speculative activity,



these bases - ideological laboratories - are equipped to suspend unwelcome laws, undeniable truths, to create nonexistent, physical conditions. From these solid blocks of granite, each philosophy has the right to expand indefinitely toward heaven. Some of these blocks present limbs of complete certainty and serenity; others display soft structures of tentative conjectures and hypnotic suggestions. (...) At these moments the purpose of the Captive Globe, suspended at the center of the City, becomes apparent: all these Institutes together form an enormous incubator of the World Itself; they are breeding on the Globe. Through our feverish thinking in the Towers, the Globe gains weight. Its temperature rises slowly. In spite of the most humiliating setbacks, Its ageless pregnancy survives (Koolhaas, 1994, p. 294).

In *The City of The Captive Globe*, unity welcomes heterogeneity. The relentlessly uniform grid paradoxically supports a multiplicity of functions and desires; an iconographic and programmatic diversity that, in Koolhaas' words, transforms the "City of the Captive Globe" into an "ideological laboratory" dedicated to discovering the untapped potential of the 20th-century avant-garde:

At the time of drawing the Captive Globe it seemed to me that the drawing was an exaggerated extrapolation of an essentially unconscious Metropolitan landscape, in which certain latent precepts about Metropolitanism had been turned into a manifesto. But on closer inspection it appeared that many of New York's skyscrapers had in fact ideological ambitions, to the extent that they represented in many ways the realizations of those European avant-garde movements - such as Futurism, Constructivism, Expressionism, Surrealism, Socialist Realism - that had each in their own way been pre-occupied with the invention and subsequent imposition of a completely new way of life. But in Europe, where they had been invented, these movements had considered themselves absolutely incompatible and their conclusions irreconcilable. Each of them therefore sought to impose the hegemony of its doctrines at the expense of the others. But in Manhattan, where they lived 'incognito' so to speak, they coexisted within the Grid as if they had always been intended as each other's necessary complement without any tempering of their truculence (Koolhaas apud Gargiani, 2008, p. 16).

The grid, the least "complex" formal order, has no directionality or expressivity and, supposedly, no symbolic content. "It is what it is" - as Pier Vittorio Aureli (2009, p. 6) states - and, in this sense, claims for itself a formal logic of neutrality. However, as its historical development in architecture and urbanism makes clear, this neutrality is far from being politically neutral. Now, it is precisely in using the grid as a political instrument of territorial control that Koolhaas' work apologizes for individualism and liberal ethics by recognizing the "freedom granted to the

isolated architectural fragment." Just look at New York and see how Koolhaas recognizes the purest expression of the capitalist system in the city's urban structure, as stated by Adrián Gorelik (2008, p.12). Better, how he perceives that the "revolutionary wealth" of the city lies precisely in the contradictions inscribed in its own grid, namely in the antinomy between collectivism and individualism, and that the Manhattan plan, dated 1811, more than the liberalization of space, "reveals and promotes the Protestant ethic of space" (ibid.).

Koolhaas does not deny the "tragic" destiny of the American metropolis. Indeed, he recognizes it. But at the same time that he denounces its "miseries," he also apologizes for its splendors. While he acknowledges that the grid promotes the dissolution of the traditional city ("with the grid, the history of architecture and all the lessons of previous urbanism become irrelevant"), he also affirms that the two-dimensional discipline of the grid creates a "freedom for three-dimensional anarchy," for architecture, that had never been dreamed of.

Each architectural ideology celebrates its own self-centered individuality, and the ideologies are all in competition with each other. However, because their horizontal expansion is prevented by the urban structure imposed by the grid, their existence is limited to the physical limits of their own block, and their growth can only take place vertically. The growth of one ideology occurs at the cost of the decline of another, whose failure, if it happens, is only on its own demerit. The grid is thus a kind of invisible hand that ensures individual freedom while guaranteeing perpetual peace: The more each "island" celebrates different values, the more the unity of the archipelago as a system is reinforced. Because "change" is contained in the component "islands," such a system will never have to be revised (Koolhaas, 1994, p. 296).

This is the sense of the apologia for the grid in *The City of The Captive Globe*, later reiterated in *Delirious New York*. However, *Delirious New York* takes this inquiry to another level by placing the grid as the founding device of Manhattanism, the "retroactive" doctrine of Manhattan urbanism, and by asserting the freedom provided by this device against "totalitarian" forms of control of city space, i.e., against totalizing and unitary visions. This is the only way to explain the statement that in Manhattan, there is "no hope that someday a client or an architect will be able to dominate larger parts of the island" and that "every intention-every architectural ideology-must be fully realized within the boundaries of the block." Thus, by stating that "one form of human occupation can only take place at the expense of another" and that "the city becomes a mosaic of [architectural] episodes, each with its lifespan, which rival each other through the grid," Koolhaas places the city project under the plane of "competition and

competitiveness” of the laws of economics based on individual competition and liberal ethics, heralding the triumph of the market liberalism of the 1980s.

## 7 EPILOGUE

With the fall of the Berlin Wall, architects sought to redefine the discipline in new terms by returning to professional practice. Europe saw the emergence of a generation of architects who enthusiastically embraced the cultural and social changes taking place in the EU and the countries that transitioned to the open economy model. With the new political and economic conditions and the deregulation of markets, critique, revolt, and subversion, which in the 1950s and 1960s, and early 1970s were part of the repertoire of resistance to “late capitalism,” were quickly internalized, commodified, and recycled into market products or marketing strategies (Fischer, 2012, p.59).

On the other hand, the collapse of socialism and the crisis of the European left created a general suspicion towards ideologies and any kind of ‘theory’ and ‘criticism.’ In 1994, Rem Koolhaas questioned the critical potential of architecture as a discipline: ‘The problem with the prevailing discourse of architectural criticism is this inability to recognize that there is in the deepest motivations of architecture something that cannot be critical’ (Apud Idem, p.56).

As Ole W. Fischer (2012, p.56) states, the objection against theory as a form of intellectual resistance could be seen as a prelude to the realist cynicism of *S, M, L, XL*, and subsequent OMA publications - if it had not triggered an ongoing debate about the disciplinary of architecture and the question of the interrelationship between theory, practice, and society.

In more recent years, one senses a widespread disenchantment and a broad fatigue with theory, not only in convinced architects, particularly those who have had direct relations with representatives of “critical architecture,” but also in the academic discourse of universities and specialized journals (ibid., p.60).

Indeed, realism, ‘post-critical’ pragmatism, indifferent skepticism, entrepreneurial realism, seemingly impartial objectivity, and professionalism have emerged as the new themes in the “post-theory” era - challenging the utility and efficacy of critical thinking, intellectual resilience, and elaborate theoretical constructs in a global and competitive marketplace of architectural design (ibid., p.58).

As a result, the relationship between theory and project seems to have been inverted: while “critical” discourse privileges theoretical writings and abstract conceptual models, “post-critical” protagonists prefer to draw attention to forms, images, and performative qualities of constructed objects (ibid., p.59). A change that goes along with Fukuyama’s

idea that at the end of history, “what remains is primarily economic activity” (1992, p.5-6), as if with the triumph of capitalism and liberal democracy and the consequent end of utopias, it were no longer possible to think of architecture as an instrument of resistance, liberation, and change.

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# Repetition, paralysis, and progression; a humanist dimension of time in architecture

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**ABSTRACT:** This paper is part of a research that promotes a reflection framed in the humanistic dimension of time translated into architecture design. The distinction, or the confrontation, is between the time that translates the mode of measurement and the calendar time that allows us to organize the facts. On one side, the domain of a language that measures without numbers although with rhythms, gestures, and body; on the other side, the rhythms of change that move forward or backward give proportion to History.

**Keywords:** Architecture, Design, Meta-Space, Time

## 1 INTRODUCTION

This paper presents its discourse within a contemporary framework. But being contemporary may mean not perfectly corresponding to the established time since in the “now” we walk along a relational path with the past contemporaries.

The present is the result of a path that does not entirely belong to us. For this reason, this article assumes a reflection that fits the expression of time that is extracted from the humanistic dimension of architecture in a binomial: the time of history that is inscribed by the occurrence and its categorical varieties; and the time of space that describes the conception, the proportion and explains the epiphenomena through the combined use with patterns or randomly. Methodologically this article assumes its transdisciplinarity and seeks that its content incorporates analysis from conceptually effective terms to understand scientific discourse. We could also bring a third aspect of the reflection about time in space, which would be the temporality of concepts, the dimension of the trendy, assuming they have legitimacy in the present time because they are established with the meanings for architecture in the history of the present. Possibly from the present into the future. The aim is to relate concepts and understand the potentialities of these crossings.

When terms like “confinement,” “isolation,” and “social distancing” are part of the history of contemporary architecture, the question is whether they are conceptually effective. We already know that they are based on the most pressing scientific and socio-political discourse, but it will be important to understand how they manifest themselves in architectural

discourse. The fact that they are used as historical concepts, even if they have some legitimacy in the present time, should not prevent us from keeping the contents and definitions up to date, precisely to establish what those terms now mean for architecture in the history of the present and from the present into the future. It is not a question of demonizing the concepts or defining them as synonymous with grotesque but of integrating our inability to relate effectively to them and their potentialities.

If we understand the present as what is contemporary, we must reflect or make implicit the analysis of the terms through design work. This may be the only observation that allows us to verify the symptoms of the context, from a critical point of view to sustaining architecture. It seems important to distance ourselves from the idea of progress as a reaction to the past, mediate the pandemic impact on universal civilization, and, as a result of the discipline, on architecture and the city, based on elements from each place.

## 2 TIME OF TIME: MULTIPLE DIMENSIONS OF TIME

In the reflection of the word time, confidence in the straight line is the guarantee that hides the digression. It may be in the hope for the infinity of this line that we find the trajectory of escapism. To this indetermination belongs what is truly of its time and of the society that welcomes it, but never in perfect coincidence with these. The universe of contemporary interpretation presents a double loop that starts from the present context and then moves to an

anachronism. We perceive our time, apprehend it and then make it inactive. We are embedded in a time, and at the same time, we continuously question it. Is that the definition of being contemporary? An act of staring at one's time to draw from it the opposite of the ebb that prevents it from creating in the form of repetition, paralysis, narration, and conservation.

History deals with easily recognizable intermittent periods, movements, conditions of displacement, distances of dynasties, temporary successes, traditions, conquests, transformations, and stagnations.

Kubler says that history has no periodic table of elements, no classification of types or species; it has only solar time and a few old processes for grouping events, but it has no theory of temporal structure (2004, p. 133).

In this sense, the concern of this theme is based on starting from unit forms corresponding to time lengths that, although long, are limitations. Not only because they always correspond to an approximate duration but also because they are a measure that does not always focus on the experience, the step, or the walk.

We are interested in exploring the overlapping of the two and creating a mode of connection between time and space, capable of perpetuating itself between generations. It is not a matter of praising the existence of rigor in hunches but in the sensory dimension of the singular experience of the body, about which we will speak later on in this paper.

The decade is so short that it often fails to match the significant shifts [...]. Periods longer than the indiction miss them again: something more than ten and less than twenty years best corresponds both to the vital periods of biography as well as to the critical stages in the history of forms. (Kubler, 2008, p. 93).

Another aspect that can contribute to contextualizing the theme is the phenomenon of language or discourse renewal. We can say that sometimes this is a slow-time phenomenon. But once again, there is a deep subjectivity in this assessment.

Adolf Loss says he considered the design for a new dining room chair foolish, an utterly superfluous foolishness that entails a waste of time and effort. The dining room chair of the Chippendale period was perfect. It was the solution[...] just like our forks, swords, and screwdrivers (1982, p. 216.).

Leatherbarrow argues that good solutions are inherited and that it is important to respect what tradition offers us. The best form is already given, and there should be no fear of using it. However, the author says that the best way to invent new solutions is to neglect that heritage as well as their practices, saying that this is the only way to make use of artistic imagination. (Leatherbarrow, 2009, p. 152).

The architectural order also binds interest for this discussion. For example, the order associated with

the system of the constructive order of a building. However, even before the construction, the order can be associated with time between the architectural idea and its physical reality: idea-construction time.

It is what Olgiati calls the deductive and inductive order. A methodology that has always been adopted in architecture, although without scientific rigor. Although, for the author, it is valid to suggest that the conception of a building is equivalent to a method in the scientific sense. Regarding the ordering system in self-referential architecture, Olgiati argues that this phenomenon gives rise to buildings based on the "incidental," i.e., the deductive. (Olgiati, 2019, pp. 115-116).

It is understood as the purified idea that does not strive to defend a thesis, but probabilities, unordered, abstract ideas. Nevertheless, there are those who argue that this path is the approach to the theory that a building does not have to make sense.

### 3 TIME OF SPACE: TIME AS A UNIT OF MEASUREMENT

One of the things that most impresses us in the built world is that when space disappears from us, it is time that assumes the importance of our experience: a time of memory, continuum, pause, tempo, rhythm, movement, of mimicking gesture. It is in this time that the threshold of space reappears. One can nevertheless imagine more than one can execute. What one executes obeys a rule of sequence in which the positions but not the intervals are determined. Both what one imagines and implements depends upon one position in the sequence, upon his entrance into the form-class. (Kubler, 2004, pp. 79-80).

Architects should be asked to participate in the process of anticipation and not merely serve to respond to the patches needed in the immediate. We are inside our bodies; we have the opportunity to question new functionalities, intentionalities, and new spaces of transition and mediation. We all know now what the absence of the touch is, the smell, the echoes of our own city, with which we were confronted in the covid-19 pandemic. (Garcia, 2021, pp. 53-54) The home must not only be a space of concentration but also of gestures and the making of movements. We must recover the *eyes of our skin*. (Pallasmaa, 2006).

Kubler says that the experience of space is what a person encounters and feels when entering a room or looking at a building from the outside. This is a fairly widely accepted definition. What is less well established is that the experience of space is something that the architect conceives and creates. Indeed, the same author suggests that we no longer acknowledge that the architect is the shaper of a space experience. (Kubler, 2004, p. 58).

Olgati argues that the experience of space is something objective, even if in the sense of a subjective universality; for this, the architect creates an experience with intentionality. (Olgati, 2019, pp. 58-59) In other words, the idea is that if the architect does not know how a certain experience should be, it is unlikely that the inhabitant will have it. The distinction of their experiences shapes spaces. What we bring with us from each place mixes with our memory and possibly our own historical dimension - our time in history - and new mental images emerge. This is the moment of the distinction of experiences. Hence the result of the inhabitant's experience is only based on what the architect creates. The creation of space is formulated by the mastery of a series of elements like materials, light, texture, acoustics, form, etc. - a series of elements that construct the sensorial dimension of a person.

The experience of a space is not the result of random chance, nor is it the result of an intuition of the inhabitant. The architect creates the apparatus of sensations, which will constrain, or guide, the inhabitant. Naturally, the cognitive powers of each inhabitant contribute. There has to be space for each inhabitant's mind. Olgati says that buildings that are perceptible only through emotions and feelings leave people on the outside with little space to engage. Common sense says that an emotionally experienced building is inclusive, but the author argues that it is the opposite, the less social architecture. That is the architecture that is private, more limiting. (Olgati, 2019, p. 60).

Another important dimension of space-time, the experience, is related to the phenomenological dimension, which understands that the architect should step back from the responsibility of creating an experience of space. That is a theory based on the idea that any perception about a space derives exclusively from the inhabitant's mind. We do not agree with this theory. As Deleuze says, it is necessary to think with the body, for the body. (Deleuze, 2000, p. 60).

We understand, like Deleuze, that the architect is an active shaper of spatial experience, what Olgati calls "basic feeling," reaffirming the epistemological foundation that understands that the experience of space is something that has been lost in recent times. It is this loss of understanding that the experience of space is the basic feeling responsible for the impression of the same space that allows the misunderstanding that the experience of space is not created by the architect but by the inhabitant. (Olgati, 2019, pp. 61-63).

As advocated by Artaud, we must believe in an understanding of life in which human beings fearlessly become masters of what does not yet exist and give it existence. Everything that has not yet come to life can be born if we are not accommodated to the

remnants that have made us mere organisms acting on pre-determined functions in pre-conceived spaces. (Artaud, 2006).

#### 4 SPACE WITHOUT TIME: THE META-SPACE ALTERNATIVE

As the dimension of the word *new* is so closely associated with the problematic of time, the topic of the new images is brought to this paper.

Colomina and Wigley said that 'thought of the posthuman is not what happens after twentieth-century modern design. On the contrary, modern design was a reaction to that thought.' The authors remind us of Samuel Butler, who argued, in 1863, that it was only a matter of time before the machines would not need their human slaves and that they would be the glorious animals we were creating. The image of the human as a prophetic being expanding his biology with layers of technology is, for the authors, the image of the prehistoric emergence of the species with the first stone tools, as much as of an inevitable future in which 'our fleshy bodies is left behind.' (Colomina, Wigley, 2016, p. 75).

Much has been said about new spaces and typologies of the digital paths that have imploded as new meeting places. In fact, computers have long directed the mediation of the design process. (Goodhouse, 2017) The reference is now to the dimension of virtual space as the place of the new public space.

Algorithms, often associated with emergency protocols, are, in fact, the performative matter of the new architecture. (Garcia, 2022, p. 56).

But what is the new in Architecture? Maybe it is the incorporation of something that was never present. Perhaps that is the condition for unleashing the imagination. Olgati claims that a building constructed with great constructive competence and even technological innovation can only be considered a handicraft if it has no novelty. And a handcrafted work, even if it is an exceptional building, is not enough to fulfill its social task, that is, to engage people in dialogue and discourse and make people creative. (Olgati, 2019, p. 85).

However, if we go back in architectural history, we can see that novelty has always been important. Novelty has always been desirable. The quest is to understand how novelty is made in a world full of references. But the time of the reference to the "now" in the act of making architecture confers a dangerous question because the result must be valid regardless of the ideologies in force. But to achieve this, do we also need to approach the idea of a new human?

Modern design keeps declaring its loyalty to the human but actually flips back and forth between

ignoring the human and inventing a new one. (Colomina, Wigley, 2016, p. 83).

Perhaps the promise of good design is the good human, even in the face of concerns regarding the world. Good design is contagious in time. A good spatial outcome will be the one that is thought to change well-being, emotions, thoughts, and life. The ambition of social reform must be embedded in every project. Architecture is measured by its ethics and not by its aesthetics. These are the spaces that last over time.

Among the different manifestations of answers given to the need to seek the balance of the environment with the social condition, the answer of the digital space seems to have some success. But the doubts arising from this new meta-space are many, and yet to be studied, the consequences of this machine-man interaction, and the new design of architectural conception, beyond the new codes, logic, and symbols of language or its representation. (Garcia, 2021, p. 56).

There are many parameters of interactivity conception that allow us to rethink models, start new dialogues, and create new environmental awareness.

Perhaps that is the path of the new spaces. Spaces without time but timeless.

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# The translucent resonance in contemporary architecture; the simultaneity between transparency and opacity in time, space, and perception

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**ABSTRACT:** The *translucent resonance*, understood as a metaphor, is physically and conceptually revealed in many works of contemporary architecture, in both projects and the perceptive or lived experience. Between the transparent/clear/evident and the opaque/dark/non-evident, the translucent is evoked, drawn, and imprinted in today's architecture in its different degrees of simultaneity, resonance, and perceptibility in time, space or condition; while becoming an *in-between* or *interstitial* realm – that which is in the middle, the *in-between* – of coexistence, mixture, imprecision and ambiguity, more or less literal, concrete or homogeneous. Its intrinsic *in-between* and *figural* condition, implicit in the concepts of imprecision, complexity, superposition, multivalence, instability, interaction, tension and limit, suggests abandoning the strict and direct legibility of the perception of the architectural object at the level of structuring, space-form and use-functionality. Among the formal and perceptual visibilities, invisibilities, reflections, refractions and diffractions, we find, as inspiration or basis, the *phenomenological effect of the translucent* of Kipnis, the *Image-flow* of Buci-Glucksmann, the three transparencies of Ito, the *suspension-between* of Sloterdijk, or the Large Glass of Duchamp, announced as “in-between translucent spatialities and perceptibilities” that are increasingly more evident in daily life and in the contemporary cultural paradigm. As evoked by Deleuze's *zone of indiscernibility*, the *translucent resonance* of contemporary architecture is presented as a borderline place with imprecise boundaries between figures and backgrounds, identities and differences, being and becoming, veiled and unveiled, sayable and unsayable; a *place-limit* (literal, conceptual or poetic), intentionally affective in its simultaneousness between transparency and opacity in time, space and perception. It is the “finally flexible contemporary transparency,” as Nouvel calls it, which interstitially undraws the formal boundaries of the architectural box and is spatially expanded in evanescence between what is real and what is virtual.

**Keywords:** Architecture, Translucent, In-Between, Time-Space-Perception

## 1 THE TRANSLUCENT RESONANCE AS A METAPHOR IN CONTEMPORARY ARCHITECTURE

It still is not transparency. It is the place that gives back, in its clarity, the perspective where the spirit is instilled. And from where the dimension of light open up confines to us of what is being seen, where that resists which lies beyond the afternoon. It still is not transparency. An almost invisible fingerprint, it is disturbed. It occurs in the inherited blindness that must be overcome, which becomes inflamed in order to see.<sup>1</sup>

We believe that *translucent resonance* is a metaphor in the poetics and aesthetics of many works of contemporary architecture, a metaphor of its intrinsic *figural condition*<sup>2</sup> (imprecise, undefined, ambiguous, ambivalent or blurry) manifest in the generating idea or concept, in the form, in the space, in the use/event and in the experience of the perception of the passing of the moment and space-time, as an *in-between* or *interstitial realm* – what is between – of coexistence, mixture, imprecision or

cegueira que é preciso trespassar. Para que ver se inflame.” (Echevarría, 2001, p.56).

2. The term *figural* (that which is imprecise, floating, undefined, “open”, which is neither figure nor background) was used for the first time by J. F. Lyotard as an adjective meaning the opposite of “figurative”. Deleuze takes the term “figural” from Lyotard and also juxtaposes it to “figurative,” as well as to “illustrative,” “narrative,” “representative” and “figuration.”

1. Free translation from the text: “Ainda não é transparência. É sítio que devolve, na sua claridade, a perspectiva onde se inculca o espírito. E desde onde a dimensão da luz nos abre confines do que está sendo visto, onde resiste aquilo mais além da tarde. Não é ainda transparência. Uma marca quase invisível se transtorna. Dá-se na congénita



ambiguity, more or less literal, concrete or homogeneous. The *resonance of the translucent* of contemporary architecture is manifest in terms of degrees of simultaneousness and perceptibility as a realm, space or condition, both physically and conceptually, between the transparent/clear/evident and the opaque/dark/non-evident, although in each case, in a way that is more or less blurry and imprecise. Said *in-between condition* is found implicit in the concepts of superposition, complexity, ambivalence, multivalence, multiplicity, flotation, imprecision, instability, dynamism, interrelation, interaction, connection, conflict, tension, interstitial, borderline and limiting, the manifestation of which, as an architectural proposal, generates a dynamic or imprecise place of simultaneity in the transparency and opacity, among visibilities, invisibilities, reflections, and refractions. It is a territory that, between the light of evidence or consciousness and the darkness of the mystery that is not completely revealed, is presented tensed, transformational and thus evocative. It is a borderline place without precise limits, dialogic and non-dialogic, where the space becomes spatialities; identity gives way to relationality and the autonomy to the interstitial.

## 2 THE IN-BETWEEN REALM: TRANSPARENCIES, THE OPAQUE, AND THE TRANSLUCENT

The transparent in-between realm in architecture could be, for example, literally a colorless glass wall that is found between two spaces. Here, the function of the in-between realm (the glass wall) is to establish a direct visual relationship between the spaces, to the point that both conceptually blend in together with one another. The glass wall is a diaphanous in-between realm that relates the two spaces to one another “through appearance” (“trans-appearance”), making it possible to relate them clearly, directly and evidently. There are no longer perceptive and conceptual limits between the spaces, even though their presence reflects some subtle reflections, images or luminosities. The glass wall is presented as a literal transparency.

On the other hand, we could also refer to a conceptual transparency, where the in-between realm could be constituted as a principle of clear and defined proportion (such as in the classic Greek canon) in terms of the rule established for the design of the system of geometric relationships of the building. Here we are reminded of the concepts of *literal* and *phenomenal transparency* of Rowe and Slutzky<sup>3</sup>, to whom we turn to in order to understand

3. Rowe and Slutzky maintain that the *phenomenal* or *phenomenological transparency* values the direct transmission

the presence and legibility of the in-between realm in works of architecture and art.

On the contrary, if the in-between realm is opaque, as in the case of a stone or concrete wall, the visual relationship between the two spaces is not established, and the spaces become autonomous. The in-between realm (the wall) in that the opaque limit denies any physical and conceptual relationality between the spaces.

Unlike the previous cases, the translucent in-between realm – such as a translucent glass wall, for example, a lattice wall or a spatiality with imprecise limits that are more or less tensioned, dynamic or complex – ends up serving a function that is both mediating/conjunctive and separating/disjunctive, both joining and separating spaces at the same time. Among images that are not completely declared and dark luminosities, the physical/perceptive relationship between the two spaces fades away, becoming ambiguous and imprecise. The environments or spatialities become enigmatic and evocative between what can and cannot be perceived and what can be imagined. The two spaces are related to one another in an *in-between figural condition* that is at the same time both dialogic and non-dialogic. This relationship is produced through its common limit (the wall), which, with luminous and cinematic expressions, is expanded translucently in *figural* spatialities. One work that is particularly allusive to this *in-between figural condition* is the Kursaal by Rafael Moneo (1999), with its slanted translucent boxes inside boxes that function, like dark glass rocks, as giant lamps between the city and the sea at night.



Figure 1. Left: Digital photography, ARCO 2006, R. Villalonga; middle: Piranesian Matrix, 2009, P. Burgaleta; right: student's video photogram, Incipient Proposal, I. Astor, ETSAM; (author's pictures).

In all parts, the blurry, undetermined realm, the action of a background that attracts the form, a thickness where the shadows appear, a somber nuanced texture, effects of approaching and distancing: in a word, a *Malerisch* treatment, as Sylvester puts it.<sup>4</sup>

of formal relationships inside a building through the façade by means of the eye and the mind. (Rowe & Slutzky, 1997).

4. Free translation of the text: “*En todas partes el reino de lo borroso y de lo indeterminado, la acción de un fondo*”

### 3 THE DYNAMIC TRANSLUCENT TRANSPARENCIES

The concepts of the *phenomenological effect of the translucent* as described by Kipnis, the *Image-flow* by Buci-Glucksmann<sup>5</sup>, the three transparencies from Ito (*translucent or fluid, erotic and opaque*), the *suspension-between* by Sloterdijk<sup>6</sup>; and even the foreseen translucency (between appearances, reflections and invisibilities) of Duchamp's Large Glass<sup>7</sup> are important references to the *in-between figural* realm associated with the metaphor of the translucent, which are found in increasingly more patent forms in everyday life and the contemporary cultural paradigm. They all announce states of "in-between translucent spatialities and perceptibilities" that we can associate with certain current architectural works, such as those we have just mentioned and those we will indicate later on. The spatial and perceptive relationship that is produced in them activates the imagination,

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*que atrae la forma, un espesor donde se presentan las sombras, una sombría textura matizada, efectos de acercamiento y de alejamiento: en una palabra, un tratamiento malerisch, como dice Sylvester.*" (Deleuze, 2005, p.37). Deleuze explains that Wölfflin uses the term "Malerisch" to mean pictorial (mass, stain) as opposed to linear (contour), (Wölfflin, 1966, p.25).

5. Christine Buci-Glucksmann, in her *La folie du voir – Une esthétique du virtual*, uses the concept of *image-flow* as an aesthetic metaphor of the current time and contemporary culture (Buci-Glucksmann, 2002).

6. Sloterdijk maintains that the *suspension-between* is associated with immanent and "horizontal" tensions and interweavings in the argument and the self-reflection of contemporary thought, in the opposition and superposition of the different languages and cultural, social and political mixes of the spirit of modern times. According to this thinker, the *suspension-between*, which "moves between languages, between disciplines; between cultures, between art and science, and on the upper levels, between in-between worlds," replaced the *suspension-over* that is associated with the contemplative attitude defended in the idealistic and transcendental primacy of classic metaphysics, understood as "vertical suspension" (between heaven/earth, transcendent/immanent). (Sloterdijk & Heinrichs, 2007).

7. As Marchan Fiz so aptly describes it in his reflection on Duchamp's Large Glass: The Large Glass is a sum of experiences, an inventory of his obsessions, a star around which a constellation of works revolves that precede it or are segregated. (...) While some interpretations associate it with the Large Glass and its erotic symbolism (J. A. Ramírez), others consider it a new mix between the pseudoscientific concept of the fourth dimensions and alchemy. (Free translation of the text by Marchan Fiz: "El Gran Vidrio es una suma de experiencias, un inventario de sus obsesiones, un astro en torno al cual gira una constelación de obras que la anteceden o se segregan. (...) Mientras unas interpretaciones la asocian con el Gran Vidrio y su simbolismo erótico (J. A. Ramírez), otras la consideran una nueva mezcla entre el concepto pseudocientífico de la cuarta dimensión y la alquimia." (Alfredo, 2008)).

contemplation, and sensitivity promotes the user's participation and proposes a more unstable, affective and poetic/creative experience in those places.



Figure 2. Left: Cartier Foundation, Paris, 1991-94, J. Nouvel; middle: Kursaal, San Sebastian, 1999, R. Moneo; right: Glass Video Gallery, Groningen, 1990, B. Tschumi; (author's pictures).

Kipnis defines the *phenomenological effect of the translucent* as "the amazing spectrum of formal reflections, refractions, and diffractions" that increasingly characterize the contemporary architectural object and "that no longer obey a simple sense of origin or directionality." Kipnis defines it as a spatialized reverberation of formal crossbreeding and luminous gradations, perceived optically and haptically opposed to the idea of legibility and *phenomenal or phenomenological transparency* of Rowe/Slutzky. There is an abandonment of the strict and direct legibility of the perception of the architectural object in terms of a structuring order and the functionality it suggests, as Kipnis explains:

Dazzling disarray supplanted tasteful clarity as the architect entangled his viewer in a web of the formal counterparts to mirrors and veils, driving beyond *Phenomenal Transparency* to an entirely new architecture effect: *Phenomenal Translucency*. (Kipnis, 1997, p.42)

This "entirely new architectural effect" is a physically and metaphorically translucent effect. It is associated with the *figural* condition of the in-between and is found patent in many architectural works in contemporary times, among which we can cite the Glass Video Gallery (1990) by Tschumi, with its unstable and cinematic translucent transparency that is as real as it is virtual; the Cartier Foundation (1991-94) by Nouvel, with its superimposed and reflecting transparencies; almost all the works of Eisenman, such as the Church for the year 2000 (project, 1996) and the Aronoff School of Design, Art and Architecture (1988-1996), with its *spacings* and spatial interstitial undrawings between presences and present absences, opacities and transparencies; the Jewish Museum in Berlin (1988-99) by Libeskind, with these zigzagging lines and lines intercepted from their geometric matrix, which have been spatialized, generating windows-cracks, labyrinth reappearances and vacuums of anguish; the Moebius House by Ben van Berkel and Bos (UN-Studio) in 'T Gooi-Utrecht (1993-98), with its trajectories, spatialities, uses and materialities, interwoven both physically and perceptively, based on the

continuity of the non-orientable surface of the Moebius strip with regard to the diagrammatic reference; the Media Center in Sendai (1995-2000) by Toyo Ito and the Fresh Water pavilions by Nox/Lars Spuybroek and Salt Water pavilion by Neeltje Jans for the Rotterdam exhibition (1997), with their interactive and fluid spatialities that seem liquid, in direct allusion to Ito's transparencies that have already been mentioned; and many other works, such as those by Gehry, Koolhaas, Hadid, or even works by studios such as the FOA (Foreign Office Architects) by Alejandro Zaera-Polo and Farshid Moussavi, or Asymptote Architecture by Hani Rashid and Lise Anne Couture.

All are good examples of the phenomenological effect of the translucent in an inhabitable place and manifested in a permanent effect of repetition in difference, through multiple gradations, reverberations, dynamics and spatial and luminous nuances, together with the other imprecisions and perceptive illusions that they evoke. They are also, in a generic manner, good examples of the three transparencies announced by Ito: the translucent or fluid transparency, which is aqueous, viscous, and fluidly continuous, as in the digital or cybernetic world; the erotic transparency, which alludes to continuous states of metamorphosis and mutation; and opaque transparency, which according to Ito, allows us to meet the demands of a society of consumption and control, eroded by the window display effect. They are "translucent transparencies" that literally or metaphorically constitute a topic of modern architectural language that is increasingly studied. It is the "finally flexible contemporary transparency," as Nouvel calls it, which interstitially undraws the formal boundaries of the architectural box and is spatially expanded in evanescence between what is real and what is virtual.



Figure 3. Left: Jewish Museum, Berlin, 1988-99, D. Libeskind; middle: Arab World Institute, Paris, 1981-87, J. Nouvel; right: Sendai Mediatheque, 1995-2000, T. Ito; (author's pictures).

Equally evocative from among these translucent metaphors, although with a parallelepipedic base and with a less dynamic Cartesian space, is the Arab World Institute (1981-87) by Nouvel, with Gilbert Lezenes and Pierre Soria & Architecture-Studio. There we see the mutable luminous and environmental gradations of shadows and translucence throughout the day, produced by the glass walls (interior and exterior) and by the lesser and greater opening in the diaphragms that cover the entire building like a lattice skin. Subtly,

between the transparency and the opaque, the experience of the event sensitively surprises in time, space and perception.

#### 4 THE AFFECTIVE SIMULTANEOUSNESS BETWEEN TIME, SPACE, AND PERCEPTION IN THE *TRANSLUCENT RESONANCE*

All of these are architectural works that, through a *figural in-between condition* that is more or less complex, announce in their spatialities the metaphor of the *translucent resonance* of modern life and culture, even though each one does so in a different way, based on form, space, luminosity, interactivity, aesthetics and poetic operation. The *resonance of the translucent* is transfigured into an amazing spectrum of reflections, refractions, and formal, luminous and spatial diffractions, expressed by all these concepts, a spectrum that can be more subtle or denser than in current architecture is being constituted as the phenomenological effect par excellence. This effect alludes to an evocative temporal, spatial, and perceptive condition that is often found between the evanescence of light and the intimacy of shadows and translucence, capable of "moving" (affecting or activating), propelling towards an interpretation or movement, and inspiring by activating the imagination, thanks to the formal and perceptive tensioned quality that it confers upon the realms, entities or spaces. And it is precisely its poetics, the fact that it does not occur even with the transparent declared, or crystalline condition, or with the opaque or most hermetic one, both with more or less passive and immediate qualities, and both characteristics of important architectural proposals in the history of architecture. The *translucent resonance* of contemporary architecture, in its simultaneity between time, space and perception, is a borderline place with imprecise limits between figures and backgrounds, identities and differences, being and becoming, veiled and unveiled, sayable and unsayable; a literal, conceptual or poetic *place-limit*, intentionally affective between transparency and opacity, as evoked by Deleuze's *area of indiscernibility*, referring to the imprecise, what cannot be decided, precise or determined.

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# From space and time to emptiness and timelessness in architectural production and reception

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**ABSTRACT:** Architectural pieces and architectural experience are deeply intertwined within Space and Time, their particularity, continuum, and mutual dependency. The dimensions of Space and Time anchor an architectural piece to a sensitive reality. From the geographical insertion of an architectural piece to the space of a site, the physical, functional, and imaginary space, the architecture is revealed in the inhabitable dimension architects commonly designate as space. On the other axes of the experiential realm, space is complemented by the concept of time. Inspired by the past, inscribed in the present, projected into and for the future, experienced during a certain period, an architectural piece dialogues intensively with the time notion.

In looking into the relationship between Space and Time, we propose three theoretical models that might be relevant for architectural production and reception: Space and Time, Space-time, and Space-time. These apparently similar notions carry significant differences, which can be fertile for the discipline of architecture. The study aims at provoking a discussion about Space and Time dependency and independency, reawakening architects with regard to the importance of designing not only with Space but simultaneously with Time. Finally, the study approaches the notions of Emptiness and Timelessness as conceptual complements and experiential antipodes of Space and Time.

**Keywords:** Architecture, Space and time, Space-time, Spacetime, Emptiness, Timelessness

## 1 SPACE AND TIME – CONSTANT ARCHITECTURAL BACKGROUNDS

As a process of grasping the contexts of our body and mind, the conception of Space is as complex as the body and mind. In architecture, which is the art and discipline of creating and reasoning our living context, Space is intensively explored.

Space can be idealized, experienced, or imagined. An idea of Space can be conceived on a collective or personal level, real or virtual, physical or mental. It can be outer, inner, or absent (Cavic, 2021). Absolute, relative, or relational (Harvey, 2006). Space and anti-space (Peterson, 1980). Living, projective, deep, black, parking, wasted Space (Perec, 1997). These, among many categorizations, are made according to different criteria by multiple authors.

Cavic's (2021) notions are anchored in the comprehension of our body, as it has an interior and an exterior. Harvey's division of Space into absolute, relative, and relational is intended for theorizing geographical phenomena.

I think this tripartite division is well worth sustaining not so much as an abstraction but as a mix of means to understand events occurring around us and to formulate ways of thinking and theorizing about geographical phenomena and processes." (Harvey, 2006, p.2, par.4).

Peterson's categories (1980) of Space and Anti-space are built upon the differentiation of traditional and modernist notions as "two opposite universes, each totally antithetical to the other." (Peterson, 1980, p.91, par.9). All these categories are constructed according to different frameworks and perspectives, indicating that the word Space is one of the most prominent keywords nowadays (Harvey, 2006).

The notion of Time, as essential as Space in western thought, is somewhat less explored in the discipline of architecture. The pulsation of Time is inherited from natural movement, day-to-day repeatability, and cyclicity of years. Architectural piece is a mark of the passage of Time (Kubler, 2008).

Time, like mind, is not knowable as such. We know time only indirectly by what happens in it: by observing change and permanence; by marking the

succession of events among stable settings; and by noting the contrast of varying rates of change. (Kubler, 2008, pp.11,12).

The question of Time introduces into architectural discourse the notion of history and continuity, but also of invention (Gideon, 1941). Time gives us the possibility of grasping “a process, a pattern of living and changing attitudes and interpretations” (Gideon, 1941, p.5, par.4). Moreover, it gives us a fulcrum for the transformation of the past according to a contemporary perspective.

To turn backwards to a past age is not just to inspect it, to find a pattern which will be the same for all comers. The backward look transforms its object; every spectator at every period – at every moment, indeed – inevitably transforms the past according to his own nature. (Gideon, 1941, p.5, par.4).

## 2 SPACE AND TIME – COMPLEMENTARY AXES

In Kantian critical philosophy, these two dimensions, Space and Time, are inherent to human experiential apparatus and serve as *a priori* foundations for our sensibility. Space is not experientially acquired but previously present as a category of the human mind. It is a ground upon which the positioning of things different from myself is built (Kant, 2009). This ground is independent of the perception allowing outer intuitions and appearances to occur.

In his *Critique of Pure Reason*, Kant describes Space and Time as necessary representations which can be emptied from any experience or appearance. According to him, one can empty these previously existing categories but cannot remove them from one’s reasoning; therefore, Space and Time are the constant backgrounds of our intuitions (Kant, 2009).

When applied to the discipline of Architectural, this grounding presence of Space can be verified in the necessity of Space for conceptualization, emergency, and apprehensions of any Architectural act. Along with its other intrinsic qualities such as composition, dimension, proportion, utility, etc., Architectural piece only exists with the premise of Space. Here we do not talk about the specific Space of Architectural implantation or positioning, or the phenomenological Space of immersion, but about the dimension which underlines any thought, one can have before, after, and about Architecture. Whether real or virtual, Architecture comes into existence and only exists within Space.

Space as Plato’s container *a priori* has its repercussions on the blank paper of creation that, as an ideal space, has an unfolding capacity for architectural creation. Space is a background from which our mind can extract perceivable elements, render discontinued entities, and create and apprehend spatial arts.

Time, in Kantian terms, is also a pure form of sensible intuition, but differently from Space, it is a form of inner intuition:

If one removes the special condition of our sensibility from it, then the concept of time also disappears, and it does not adhere to the objects themselves, rather merely to the subject that intuits them. (Kant, 2009).

According to Kant, Time is ontologically attached to our mind as an inner intuition. It does not pertain to every being but certainly pertains to humans (Kant, 2009). Just as humans carry within them the senses of sight, smell, hearing, taste, and touch, they also carry the sense of Time as they wander through Space. This sense of Time permits the creation of continuity and the existence of memory. Without it, the accumulation of experiences would resemble sand, continuous, unordered, and undesignable.

In the architectural apprehension, the Kantian notion of Time, as separated from Space, permits the existence of a timeline and chronology. These, like an unbreakable string, hold a flow of architectural experience in entangled unity.

## 3 SPACE-TIME AND BEING OF ARCHITECTURE

On the other hand, a unified notion of Space-Time we can build upon Heidegger’s existentialism. For Heidegger, every Being is rooted in its Time dimension since Time is “the possible horizon for any understanding whatsoever of being” (Heidegger, 1996, p.1). His *Dasein* (human being) is addressed co-ordinately as both spatial and temporal, making what he designates as *being-in-the-world*. Heidegger’s Space and Time or Space-Time are unified through being but not dissolved into each other. All existence is bonded to Space-Time, not as its container or measuring and supporting system, but as its constituting element.

Since being precedes and remains after the “now,” the extension of being in Space through Time introduces the questions of continuation and duration as premises for existence. Only when successfully embedded in Space-Time is a being possible. Heidegger’s Space-Time complementarity (1996, p.336) and their joint necessity for being to unwrap are present in architectural experience, which only exists when occurring in Space and during Time.

The complementarity in which the spatiality of a being is embraced by its temporality can be transposed to the notions of Architectural Space-Time. As enduring and occupying creations, architectural pieces are not only within Space and Time. They are Space-Times. Without either Space or Time, the Architectural piece and its perception can be deemed unauthentic. Therefore, one can raise a question: is the experience of architectural photography or architectural drawing

an architectural experience? Can a description of architecture be considered Architecture? Can a reading of the description be regarded as an architectural experience? In our opinion, these nonspatial and nontemporal representations of architectural experiences annul the unity of Space-Time and, in that way, negate the very nature of that experience.

#### 4 SPACETIME, MOVEMENT, AND TRACE

The perceptions of Space and Time are not stable, constant, and objective. They are stretching and condensing because of the mutual relationship between Space and Time and the inner framework one introduces when immersed in them:

Time is like paper money whose actual value depends upon what it represents or registers, or that it is like the reflection of a man in water, which has no reality. (Suzuki, 2015, p.95)

Space influences the perception of Time and vice versa. This Space and Time inseparability – Spacetime – brings to the discussion the importance of body and body movement in urban and architectural apprehension as “...movement creates its own space, time and force...” (Sheets-Johnstone, 2010, p.324). Movement is a materialized fusion of Body and Spacetime. It is the silhouette of their embrace.

One way to define the sense of time relates to the perception of change. We do not perceive time; rather, we experience change and movement. Change tells us that time is passing. (Wittmann, 2016, p.124, par.1)

Maxine Sheets-Johnstone understands movement not as a process of arriving or changing the position but as a forming shape constructed in Spacetime. Movement shape is especially evident in affective reactions such as leaping for joy (p.325), in which a body creates the fluid form of a tower whose spatial dynamic is more than a simple change of position. This kinesthetic<sup>1</sup> consciousness is only revealed in Spacetime since a body reinterprets its limits and measures its distances as it moves. Movement is not merely a body that changes positions and shapes. It is a continuous transformation of a Body in Spacetime that has its form and length. Movement becomes a trace that a body designs throughout Spacetime.

This movement's trace can find its analogy in Derrida's trace (1998), which extends experiences out of a single moment to the past and future.

Jacques Derrida reinterpreted the importance of time and temporality by highlighting the notion of the “trace,” or that which never appears and yet makes all appearances possible. (Kelly, 2016, p.VIII)

Derrida's trace contains what has passed away and is no longer present and what is about to come and is not yet present. “The present, therefore, is always complicated by non-presence” (Lawlor, 2021).

This phenomenological Spacetime, similarly to a movement, is spread over present, past and future. It interweaves different times and spaces into a rich tissue of our unique consciousness.

Without a retention in the minimal unit of temporal experience, without a trace retaining the other as other in the same, no difference would do its work and no meaning would appear. (Derrida, 1998, p. 62)

In examples of architectural experience, this trace is evident in how we carry our infant home, landscape, and its memories as our experiential baseline. These are further transformed by new experiences that mold our Spacetime into a unique sculpture. All the experiences we have are built upon our first home. All the experiences that we have to serve to rebuild that home.

#### 5 EMPTINESS, TIMELESSNESS, AND PURE SUBJECTIVITY

In his substantial work, Suzuki (2015, 2021) provides us with comprehensive and insightful translations and writing on far eastern philosophy. These works come to our interpretation with a certain cultural distancing yet inspirational interest.

The notions of Emptiness and Timelessness are as relevant to Eastern thought (such as Zen and Buddhist) as Space and Time are to Western.

‘Unmon’s view of ‘timeless time’ and Setchō’s view of Emptiness or Void (Sunyata) after all point in the same direction, and when this direction is recognized we are all able to enjoy ‘a fine day,’ which comes on us every day. (Suzuki, 2015, p.103)

These pairs - Space-Time and Emptiness-Timelessness - are similar theoretical entities concerned with our world experience. They are conceptual complements and experiential antipodes. They are different sides of the same coin. One pair exists only when the other does not. We can grasp one when the other is obscured.

Zen starts from where time has not come to itself, that is to say, where timelessness has not negated itself so as to have a dichotomy of subject-object, Man-Nature, God-world, etc. This is the abode of what I call ‘pure subjectivity.’ (Suzuki, 2015, p.122)

This reading of reality is substantially different from western thought, which, even when it challenges the limits of Space and Time, keeps them as baselines for experiencing reality. In his work on Zen, Suzuki says:

For as long as we cherish the notion of time as we do in our common sense intercourse with the world, we are never able to live in the true

1. “Kinesthesia – the experience of self-movement” (Sheets-Johnstone, 2010, p.330-331.)



sense of the term, nor are we able to come in contact with Reality (Suzuki, 2015, p.95).

Therefore, one can ask if Space is similar to Time, our distraction from seeing Reality? Is Architectural Space our barrier instead of being a key to our experience of reality and integration with Nature?

## 6 FINAL REMARKS

Architectural compositions occupy physical Space and last for a measurable Time. As a noumenon, an Architectural piece is built upon concepts of Space and Time and has its spatial and temporal coordinates.

In our understating of the surroundings, these two coordinates are the ever-present axes for grasping reality – Space as an outer, Time as an inner.

Indeed, recent studies have confirmed that bodily functions – especially the heartbeat – are involved in the perception of temporal duration. The body functions as an internal clock for our sense of time. (Wittmann, 2016, p.123, par.1)

The movement through Space alters our body which serves as our internal clock for the perception of reality.

As a being in Heidegger's terms, an Architectural piece is defined through its spatial integration and temporal duration. It is a lasting entity whose specific diachronic relationship with the site, land, and place permit it to endure, be lived in, and (dis)occupied. This integration of Architecture in a specific Space-Time makes it adaptable, reusable, and valuable. If it disconnects from either its Time or its Space, the life of a piece of Architecture is challenged.

As a phenomenon, an Architectural piece includes cumulative experience during a specific portion of Spacetime. It is a succession of discrete sensations revealed through Time and movement and apprehended as a whole. It has a melodic sequence or perceivable notes that resonate with our body in intertwined unity.

The melodic, linear and chronological perception of Architecture (which occurs in Space and Time, it is anchored to its Space-Time and manifested through Spacetime) is complemented and completed by a harmonic experience of Emptiness and a Timeless moment.

Only when we suppress our reasoning, coordination and orientation might we be closer to the core of authenticity of reality. Suppose we suppress the notion of Time and memory and trust for a moment that only now exists. In that case, we might be able to concentrate on what Damasio (2000) designates as extended consciousness to core consciousness. This diminution in neurological complexity and

memory might bring us growth towards presence in nowness and hereness.

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# Seeing-hearing, space-time; two paradigmatic dichotomies in the discussion of the architecture-music relationship

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**ABSTRACT:** Seeing-hearing and space-time are dichotomies commonly associated with the discussion on the architecture-music relationship. This paper reflects on the role of each of these dichotomies in the architecture-music relationship and how they relate to each other. Furthermore, an analysis is made, on the one hand, on how the relationship between the dichotomies seeing-hearing and space-time is reflected in the architecture-music relationship and, on the other hand, how the architecture-music relationship itself informs the relationship between these two dichotomies.

The analysis is developed based on the two dichotomies, seeing-hearing and space-time, framed in different contexts and interrelated.

The first section frames the theme and justifies why music has always exerted a special ascendancy over architecture. With the foundation of the Platonic matrix tradition and its respective rupture as a backdrop, the second section focuses on the architecture-music relationship and on two paradigmatic aspects of this relationship in which the seeing-hearing and space-time dichotomies are protagonists. The third section addresses the emergence of the themes focused on earlier, in the twentieth century. The fourth section focuses on the reflections from this last encounter, placing the dichotomies of seeing-hearing and space-time as instrumental in the inter and transdisciplinary discussion in architecture.

*Keywords:* Architecture and music, Seeing-hearing, Space-time, Inter and transdisciplinarity in architecture

## 1 INTRODUCTION

In Antiquity, following Luc Ferry (1990), the work of art was conceived as a microcosm that expressed an external idea that belongs to the external world - the macrocosm. The concept of beauty refers to the objectivity of the world: the world created by God and dominated by His Harmony. In what concerns the architect, the very same idea is put by Pérez-Gómez (1999, p. 9): “The architect in antiquity was not a creator *ex nihilo*, for what was revealed was profoundly already there.”

Aesthetics, as a discipline, was born in the modern world and has no timelessness, clarifies Luc Ferry (1990). With Kantian philosophy, beauty acquires an existence of its own and ceases to be a reflection of an essence that is exterior to it. With man distanced from God, the autonomy of sensibility is achieved. And with this autonomy of sensibility to intelligibility, thus decreed by Kant (1724-1804), a new reality is generated that is decisive in Western thought in general and, naturally, in the world of art.

Architecture-music relationship, consolidated since Antiquity, will survive in this new reality and often allude to it.

The dichotomies - seeing-hearing and space-time - which are proposed here as paradigmatic in the exploration of the architecture-music relationship are also presented as instruments for the verification of this continuity and a will, or even (before the emergence of disciplinary specialization) reality, to look at the world according to inter and transdisciplinary relationships.

As several phases of history are focused, the examples referred to – both periods and authors – are used as paradigmatic, as it is not possible here, due to the limitation of the publication, to go deeper into each point<sup>1</sup>.

## 2 KNOWING, SEEING, HEARING

Both the hierarchy and the disciplinary division of knowledge and the role of the senses, the respective understanding made of them throughout history were essential in the history of architecture, in general, and in the relationship that is established with music, in particular.

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1. Other examples, framed in a larger study, can be found in Gonçalves (2008).

This hierarchy and division of knowledge are, in turn, associated with the division and hierarchy of the senses (considering here the founding, traditional, and most influential division into five senses, as proposed by Aristotle (384- 322 BCE): sight, hearing, smell, taste, touch). These aspects are particularly visible, for example, in a transitional period such as that corresponding to Baroque artistic expression (see Gonçalves, 2021).

Greece didn't possess a collective name for the senses (Jütte, 2005). And being the senses mentioned separately, seeing and hearing appear to emerge as the first pair in this context. In early Greek literature, sight and hearing (and their appurtenant organs) are frequently considered together, as is the case of the pre-Socratic philosophers Heraclitus (c.540-c.480 BCE) or Parmenides (b. c. 515 BCE). In early Greek literature, a similar situation occurs: Xenophanes (c.570-470 BCE) (Jütte, 2005), who wrote about God, "Whole he sees, whole he thinks, whole he hears," uses the verb *nouein* to mean simultaneously the senses of seeing and hearing, also meaning that the gods didn't require special organ senses to know the things (p. 31). Analogous reasoning can be found in Epicharmos (c.550-460 BC), who states: "Reason alone sees, reason alone hears, all else is deaf and blind" (cited in Jütte, 2005, pp. 31-32). These statements immediately establish an association between the two senses – seeing and hearing – and a close relationship between these two senses and true knowledge.

In parallel reasoning, Pythagoras (c.570-c.500/490 BCE) states: "The eye perceives the light that comes from fire, the ear perceives the sounds of the air" (cited in Jütte, 2005, p. 32). It is very interesting to notice how light and sound are aspects that emanate from other Elements, fire and air, which precede them. This statement can be in tune with some contemporary perspectives at the base of the architecture-music relation. (As mentioned below.)

In the same line of argument, but in what concerns human's capacity to attain divine wisdom, Cicero (106-43 BCE) asserts:

The ears of mortals are filled with this sound, but they are unable to hear it. Indeed, hearing is the dull-est of the senses [...] you might as well try to stare directly at the sun, whose rays are much too strong for your eyes (as cited in Lippman, 1992, p. 7).

Earthly music is an imitation of the music of the spheres. The same applies to light.

Still (or, more precisely, according to Greek tradition), in the Quattrocento, Leon Battista Alberti (1404-1472) follows analogous reasoning in what concerns the emergence of Divine wisdom in the earthly territory: "When the mind is reached by way of sight or sound, or any other means, concinnitas is instantly recognized" (Alberti, 1988, p.302).

We can argue that in the foundation of Western culture, and, with it, in the foundation of both

disciplines – architecture and music – and the relationship between them (although not always explicitly), the seeing-hearing pair is related to what is considered knowledge.

## 2.1 *Music: Knowing, Hearing*

Associated with the relationship architecture establishes with music are, from the very outset and since the foundation of the Western tradition of the two disciplines, the hierarchy and classification of the arts. This point relates to the status of both disciplines, in relation to which the aspects focused on in the previous section are shown to be fundamental.

If architecture only sees its status elevated to science in the Quattrocento, with music, it is different.

Two different aesthetic conceptions characteristic of Greek antiquity, recovered in the Middle Ages, will cross and oppose each other for many centuries, marking the thought, practice, and history of music itself until the Renaissance (or even beyond) (Fubini, 2008). These two different aesthetic conceptions are: on the one hand, music as a possibility of asceticism that harks back to a Pythagorean aesthetic of numbers; on the other, music as a concrete flow of sounds, an object of sensitive pleasure, and that harks back to an aesthetic of an empiricist nature of the Aristotelian matrix and a conception of music as the imitation of the passions (p. 89).

For Plato (428/427-348/347 BCE), music was an object of reason, not an object of the senses. That is why he refused the music for the ear's delight and was against the so-called musical revolution of the 5th century BC (Fubini, 2008, p. 75). And, as Emile Chambry (n.d.) explains, the presence of the sensible, a sign of the human condition, imperfection, and finite knowledge, is not licit. Hence, Plato's disinterest in painting and sculpture, which, unlike music or architecture, represented intelligible ideas, produced only incomplete copies of sensible objects, themselves copies of ideas (p.21).

Music should not even be put into relationship with other art or language (as is the case of poetry). As Fubini (2008) points out: according to the Pythagorean tradition, any combination of music with other art could only compromise and corrupt its rational and mathematical nature (pp. 28-29). For

The ancient Pythagoreans had sought harmony in number – or, more accurately, number in harmony, for the numerology of music was their greatest discovery (Stewart, 2002, p.30).

As a parallel but undoubtedly important note, what is very interesting to observe is that music and cosmos are united in the Western tradition founded in Greece and China, Babilonia, and India, even in prehistoric context (Lippman, 1992, pp. 5-6).

According to Fubini (2008, p.89), in St. Augustine, there is a medieval dualism relative to

the thought of music that mirrors the two abovementioned conceptions: on the one hand, music is considered a theoretical science, at times understood as a privileged instrument of mystical asceticism, on the other, music as an attraction of the senses, as physical and corporeal sound and, because of this, a possible instrument of damnation.

Thus, when we refer to music, as far as the period from Antiquity to the 16th century (and even part of the 17th century) is concerned, what we are actually referring to is music theory, this theoretical science referred to by Fubini – considered a liberal art, as part of the medieval quadrivium.

### 3 ARCHITECTURE AND MUSIC: KNOWING, FEELING, SEEING, HEARING

As already mentioned, the belief in the rationality of music has always been present, conferring it a special status and thus maintaining a gap in relation to architecture (as well as to other activities). It is important to remember again that music, contrary to architecture, was part of the seven founding liberal arts and intrinsic to the formation process of European universities. It contrasts with the status of architecture.

Despite that, according to Leland Roth and Amanda Clark (2018), architects had a better status during the Middle Ages than was previously thought. However, they worked as both the designer and the contractor-builder (they knew and managed every step of constructing a building). Architecture was still considered a manual profession; indeed, far from being the theoretical knowledge taught at the universities (p. 141), of which music was part.

With the advent of the Renaissance, as Leland Roth and Amanda Clark (2018) point out, the rise of Classical Humanism and the study of ancient literature in the fifteenth century is the background in which the ideal individual mastered all the liberal arts. Thus, with his theoretical knowledge, the humanist-artist designer replaced the master craftsman-architect with his technical and practical experience (pp. 141-142). Music was a part of this theoretical knowledge and a main and fundamental subject for authors such as Alberti – the great precursor and protagonist of this idea – Palladio (1508-1580), Inigo Jones (1573-1652), etc. Moreover, Vitruvius had already recommended it (in *De Architectura Libri Decem*, 1st century BC). Although only within Humanism, systematized and harmonized according to the coeval humanist principles (for which musicians such as Zarlino (1517-1590) strongly contributed), this was, in fact, a matter for humanists, not exclusive to architects.<sup>2</sup>

2. One must take into consideration that Alberti was, above all, a humanist.

Therefore, it is necessary to reinforce the idea that in the Renaissance, the relationship between architecture and music is part of a humanistic theoretical corpus and, as such, is, per se, a subject of study with its own autonomy.

Indeed, in the 16th century, architecture (as well as sculpture and painting) took music as a model because of its strong and flourishing tradition of mathematical theory, both for its elemental structures and for contrapuntal composition, and it was mathematics that was the most distinctive manifestation of science (Lippman, 1992, p. 22).

Moreover, in the wake of this tradition, following the emerging neo-Platonism in the Quattrocento and nourishing the then-dominant Humanism, for Alberti, as Lowinsky (1989) explains, music comes first because it has no model in nature and because its immaterial character allows it greater freedom. Architecture follows music because it is the “most musical art” (p.82). In the same vein, and relating the arts while assigning them equal status, in the words of Francis Bacon (1561-1626): “Of all these arts those which belong to the eye and ear are esteemed the most liberal” (as cited in Munro, 1951, p. 28.).

Artists of the Renaissance based their learning upon the search for “reason in aesthetics, logic in beauty and rational explanations to intangible phenomena, a search involving at least implicit use of mathematics.” (Wassel, 2015, p. 67)

This context is fundamentally maintained under Plato’s aegis until the 17th century, when authors such as Claude Perrault (1813-1688) call into question music’s capacity to reflect Cosmic Harmony and, consequently, its superior statute. By denying this cosmic correspondence, Perrault destroys the transcendental aura of music.

But music maintains its ascendancy over architecture, although the causes for this ascendancy are changing. Music lost its status as revelation, a discipline founded on reason, when mathematics ceased to be its law. It ceases to be a liberal art, a discipline with high status. Even so, it will maintain, albeit under other pretexts, its ascendancy over architecture. The previous harmonic theory lost its brilliance with the Enlightenment, but the relations between architecture and music were maintained. Now more through analogies and correspondences based on perception and structural similarities.

The alternation is between the two different (abovementioned) aesthetic conceptions that Fubini (2008, p.89) refers to. And we assist to a completely new approach to the architecture-music relationship.

The 18th century saw music as an art that appealed to the senses and heart rather than the intellect. And although remarking on music as structure, Kant considered that music “speaks by means of mere sensations without concepts” (Honour, 1979, p. 120).

“The new importance given to music by the Romantics is a manifestation of the general shift from a mimetic to an expressive aesthetic” (Honour, 1979, p. 122). So one can say, from knowing to feeling.

### 3.1 *Harmonic Proportions: Knowing (Hearing, Seeing)*

The harmonic proportion is a revealing subject and one of the most discussed in what concerns the architecture-music relationship. It determines a parallel between seeing and hearing and space and time, even if not explicitly.

The inclusion of harmonic proportions in architecture, particularly in Renaissance architecture, has been a widely debated issue (with different points of view) which has as its paradigm Rudolf Wittkower’s (1998) *Architectural Principles in the Age of Humanism*, first published in 1949. However, the inclusion (or its recommendation) of harmonic proportions in architecture is not a reality exclusive to Antiquity and the Renaissance but is also present in the Middle Ages, as exposed in the works (also now classic) of Otto von Simson (1974), *The Gothic Cathedral*, first published in 1956, or Umberto Eco’s (1986) *Art and Beauty in the Middle Ages*, first published (in Italian) in 1959.

Following the Platonic tradition, uninterrupted since the Middle Ages, Alberti thought that once the music could reveal the harmonic ratios inherent in nature, the architect should make use of this universal harmony apparent in music (although not meaning to translate music ratios into architecture) (Wittkower, 1998, p. 109). Indeed, as the translator of the Portuguese version of *De re aedificatoria* (1485) by Leon Battista Alberti, Arnaldo Monteiro do Espírito Santo states, the final objective of the application of music’s harmonic proportions theory in architecture is the search for *concinntas*, understood in the broad sense of universal harmony; for since Pythagoras, musical harmonies governed the movement of the planets which produced the music of the spheres – the *musica mundana* (Alberti, 2011, p. 603).

And Alberti considers that, like the faculty to feel the musical harmony naturally, there is also that capacity to understand spatial harmony.

When you make judgements on beauty, you do not follow mere fancy, but the workings of a reasoning faculty that is inborn in the mind. [...] For within the form and figure of a building there resides some natural excellence and perfection that excites the mind and is immediately recognized by it (Alberti, 1988, p. 302).

When the mind is reached by way of sight or sound, or any other means, *concinntas* is instantly recognized” (p. 302).

While recommending this application of the metric relationships existing in musical harmony to the metric relationships in architecture, Alberti establishes a similarity between hearing and seeing. So he states in *De re aedificatoria*: “The very same numbers that cause sounds to have that *concinntas*, pleasing to the ears, can also fill the eyes and mind with wondrous delight” (p. 305). And:

We shall therefore borrow all our rules for harmonic relations (*finito*) from the musicians to whom this kind of numbers is extremely well known, and from those particular things wherein Nature shows herself most excellent and completed” (Alberti, *De re aedificatoria*, 1485, fol. Yii verso, quoted and translated from Latin in Wittkower, 1998, p. 109).

When architecture definitively divorced itself from music (albeit with difficulty) (See Wittkower, 1998) from the mid-17th century onwards, one of the arguments that emerges as the cause of that divorce has to do, precisely, with the pair formed by the two senses – sight and hearing – considering, in this case, that sight is endowed with less acuity. (See Gonçalves, 2008). Authors such as Guarini (1624-1683) divorce visual perception from harmonic proportions, thus autonomizing vision from its metaphysical legacy.

Music is no longer able to hear the Universe.

### 3.2 *“Frozen-Music Metaphor”: Feeling (Seeing, Hearing)*

In this case, the connection between architecture and music is no longer based on the hierarchy between the arts but rather on the feeling or image each one arouses.

What Hugh Honour (1979) calls “frozen-music metaphor” (p. 148) is a commonly cited statement (although often superficially addressed in an inaccurate and unscientifically imprecise)<sup>3</sup>.

Hugh Honour (1979) explains the origin and dissemination of this expression. The originally German wording which was used for the first time by Schelling (1775-1854)<sup>4</sup> in a lecture given in Berlin in 1802-3 (but only published in 1859) was “erstarre Musik,” literally “congealed music.” According to Hugh Honour, in a notebook, around 1800, Friedrich Schlegel (1772-1829) also described architecture as “eine musikalische Plastik.” And although this general idea seems to be shared by many in those days in Berlin’s circles, the term “gefrorene Musik” was first used in a Berlin

3. Specific references are not placed here because it is so common to quote it. Although some will be referred later.

4. Matila Ghyka (1977) also attributes the expression “Frozen Music” to Schelling (p.6).

periodical in 1803 in a satirical way. Mme de Staël (1766-1817) first used Schelling's expression in London the following year but expressed her doubts about it.<sup>5</sup> The term was disseminated in the English language via Byron (1788-1824), who mentions it in a note to *The Bride of Abydos* (1813): "Someone has said that the perfection of architecture is frozen music – the perfection of beauty to my mind always presented the idea of living music" (pp. 340-341). Erika von Erhardt-Siebold (1932, p. 587) claims that "Byron seeks in vain for the creator of this strange idea, who, in fact, never has been discovered, though his 'paradoxon' of frozen music has been repeated time and again."

Schiller (1759-1805) states:

The plastic arts<sup>6</sup>, at their most perfect, must become music and move us by the immediacy of their sensuous presence. Poetry, when most fully developed, must grip us as powerfully as music does but at the same time, like the plastic arts, surround us with serene clarity. (as cited in Honour, 1979, p. 119)

And Novalis (1772-1801): "Painting, plastic art are [...] nothing but figurative music" (as cited in Honour, 1979, p. 119).

According to Erhardt-Siebold (1932), the "universality of sensation was the dream of the Romantics" (p. 584), and the German Romantics were very fond of the synaesthetic comparison between architecture and music. The subject is found in authors such as Wilhelm Heine (1746-1803), Tieck (1773-1853), Novalis (1772-1801), and others (p. 587).

In a different context (as explained) and stepping back in time, we may say that the idea of "frozen music" contains the parallel between space and time. Or, more precisely, in this case, between time and space: although establishing the analogy between the two disciplines under the aegis of mathematics and because of it, it is soon Saint Augustine (354-430) who refers to this analogy, alluding to, what we understand today as, space and time as analogous in their capacity to emanate the Divine Wisdom: "music and architecture are sisters since both are children of number; they have equal dignity,

inasmuch as architecture mirrors eternal harmony, as music echoes it" (as cited in Simson, 1974, p. 23).

#### 4 ARCHITECTURE AND MUSIC: SEEING, HEARING, SPACE, TIME

The dichotomy of seeing-hearing within the architecture-music relationship's context has not disappeared and followed its own path in time. Until today. Recalling ancient or modern tradition, (ancient and) renaissance mathematical truth or romantic sensory exercise, and either in the form of a more intuitive report or in the form of a research proposal, it emerges as a set of heterogeneous proposals. (See Gonçalves, 2008)

Evoking the "frozen music" idea and alluding to seeing and hearing as a pair, Steen Eiler Rasmussen (1997) describes how Eric Mendelsohn (1887-1955) and Frank Lloyd Wright (1867-1959) had a very intimate relationship with music:

Eric Mendelsohn has described how he used to listen to Bach recordings when he had a new project to work on. Bach's rhythms put him in a special state which seemed to shut out the everyday world and at the same time release his creative imagination. [...] During a visit to Frank Lloyd Wright in the twenties he learned that the opposite was true of his American colleague. Wright told him that when he saw architecture which moved him, he heard music in his inner ear (pp. 134-135).

Likewise, clearly alluding to "frozen music" as well, in a symmetrical – from the music perspective – contemporary view, Carmen Pardo Salgado (1999) considers music as an organization of sounds, silences, and durations that construct audible buildings and that listening to music takes place in a path that inhabits a house, a labyrinth, a sounds garden. To compose and listen to music is sometimes to build audible architectures (p. 9).

Although only recently explicitly addressed in contemporary fashion, the space-time dichotomy can be considered as always present in the architecture-music relationship, even if in a secondary position or only immanently (see Gonçalves, 2008). But when the discussion focuses on space-time as a dichotomy associated with the architecture-music relationship, it is not about thinking about or defining space as a concept, nor thinking about space in architecture, but analyzing its relevance in the context of the relationship between architecture and music, and therefore also its relationship with time, in that same context. Leonardo Benevolo (1994) explains how new perspectives made possible by science that took part between the late 16th century and the early decades of the 17th century led to a challenge to the traditional theory of space (p. 23). For space was thought of until then (after Aristotle) as a property of the bodies and not the

5. Erika von Erhardt-Siebold (1932) quotes Mme de Staël, in *Corine* (1804), regarding Michelangelo's (1475-1564) St. Peter's (1547-1590): "Saint Pierre est un temple pose sur une église. [...] La vue d'un tel monument est comme une musique continue et fixée, qui vous attend pour vous faire du bien quand vous vous en approchez" (p.587). The English translation reads: "St. Peter's is as a temple based upon a church; its interior weds the ancient and modern faiths in the mind; I frequently wander hither to regain the composure my spirit sometimes loses. The sight of such a building is like a ceaseless, changeless melody, here awaiting to console all who seek it" (Staël, 1833, chp. 3).

6. At this stage, architecture is considered one of these, then called, "plastic arts". (See D'Angelo, 2009; Munro, 1951.)

receptacle in which bodies exist (p. 15). And Alexandre Koyré (2007), in his classic *From the Closed World to the Infinite Universe* (1957), uses the expressions “geometrization of space” “infantilization of space” to describe this new reality is indicative. An example of this reasoning is Matila Ghyka’s (1977) quoting of Plato’s *Philebus* when he refers to a “Science of Space” as a basic discipline and guide p the architects of the First Renaissance:

beauty of shape [...] rectilinear and circular, and the surfaces and solids which one can produce from the rectilinear and the circular, with compass, set-square and rule [...] these things are beautiful in themselves (p. 87).

Among other examples (See Gonçalves, 2008), and associating to these former aspects, the pair space-time, a special issue of Pamphlet Architecture – “Architecture as a Translation of Music,” n°16 (1994) – edited by Elizabeth Martin may be mentioned. Martin’s foreword (Martin, 1994a), which is precisely entitled “Architecture as a Translation of Music,” echoes the traditional relationship between architecture and music by referring to the “root of each art: the eye and the ear” (p. 8). And she follows:

The eye lends itself to a visual field; the ear to an aural field. Architecture represents the art of design in space; music, the art of design in time.[...] The properties of space and time are inseparable.[...] Space gives form and proportion; time supplies it with life and measure (pp. 8-9).

And in another chapter (Martin, 1994b) of the same PA issue, one may say she is recalling Pythagoras (see above): “A relationship [between architecture and music] starts in the physical laws of light and optics on the one hand, and sound and hearing on the other” (p.16).

Comparing to “frozen music,” Ghyka (1977) refers to “Music ‘Drawing on Time’.” And he quotes Francis Warrain (1867-1940), for whom music is to time what geometry is to space<sup>7</sup> (p. 6).

Jose M<sup>a</sup> García de Paredes is another example of a contemporary author and architect who establish a relationship between architecture and music using space-time dichotomy (1986):

I believe that an architect should feel very much at home among musical themes, since these two arts, Music - the arrangement of sounds in time - and Architecture - the arrangement of matter in space - have very wide areas of affinity and contact between them. (pp.16-17, my translation).

Regarding the Daniel Libeskind’s (b. 1946) Jewish Museum in Berlin (2001), which he considers

“formulated from Music.” González Cobelo<sup>8</sup> (1996) expresses, as usual in the 20th century, as a plural set, many of the ideas present in other authors and that, as is also common, refer back to an earlier tradition: “Truth or beauty in Architecture has traditionally been referenced to music: rhythm, proportion, balance or consonance”; “architecture operates in the order of simultaneities, while Music does in the order of successions”; “in its development and appreciation, each one [architecture and music] refers back to the other”; “the temporal display of music, for its part, is appreciated as construction, as the edification of sonorous architectures in time” (p. 37).

And it is also associated with this pair that the analogy between rhythm in the two forms of expression is established.

As described by Jean-Jacques Nattiez (1984), a very definition of rhythm is symptomatic: the “zero degree” of rhythm consists of intervals of duration between events. Replace “duration” with “space,” and you have the key to metaphorical expressions [...] like “pictorial rhythm,” “architectural rhythm,” etc. (p. 299). Raul Lino (1947) mentions the perfect parallelism of meter and rhythm, translated into space and time (pp. 52-53). Matila Ghyka (1977) states that “an old but correct definition of rhythm was: ‘Rhythm is in time what symmetry is in space’ (p. xi).” (As the quotation has no author attributed, we may presume that Ghyka has it as a concept, as a canon.) It is important here to reinforce the idea that Ghyka refers to symmetry in its ancient, original sense, as conveyed by Vitruvius, and was inherited in the Renaissance; he describes it as the “classical meaning of the word ‘symmetry,’” being eurhythmy the result of well-applied symmetry, as well (p.xi). Therefore, the notion of “rhythm” seems to be more associated with the idea of time than space. In fact, even in space, rhythm only exists as a function of a temporal reading. As Pedro Vieira de Almeida (1963, p. 17) very concisely, states, the idea of depth is itself a temporal characteristic.

According to Montaner (2002, p. 25), Gottfried Semper (1803-79) and later August Schmarsow (1853-1936) and Alois Riegl (1858-1905) were the first authors to define architecture as the “art of space.” Although recent, this idea, which was undoubtedly a determining factor, is already quite changed. Linking architecture and music, Le Corbusier (1887-1965) states, in *The Modulor* (2004, p. 29), that architecture, like music, is space and time. For Le Corbusier, also as is the case for music, architecture does not have a synchronic presence but, actually, a diachronic one:

7. “La Musique est au Temps ce que la Géométrie est à l’Espace”, as read in French.

8. Who also, as one of innumerable examples (and without references as well), writes that “Goethe would say that Architecture is frozen music” (1996, p. 37).

Architecture is not a synchronic phenomenon but a successive one, made up of pictures adding themselves one to the other, following each other in time and space, like music (p. 73).

González Cobelo (1996) considers that in the case of Daniel Libeskind's Jewish Museum in Berlin, architecture "introduces time as one of the directions in which it unfolds or is manifested" (p. 37). Some authors, like Peter Szendy (1994), citing Françoise Bornadel, the possible mutation of music – generally considered an art of time - in art of space [art de l'espace] (p.53).

Going even further, Marcos Novak is an example of an author - architect - who proposes a total fusion between architecture and music, creating what he calls "liquid architecture." (See Gonçalves, 2008.)

This analysis helps to understand the very dubiety that exists in the insufficient allocation of architecture to space and music to time. Neither architecture operates only in space nor music only in time. We can say that both are matter and sound, respectively. And, yes, matter and sound appear in space and time – understood as "interconnected containers."

It is interesting to notice that if concerning architecture, we speak of space, it is of matter – characterized and measured matter – when we speak about music, it is not of time that we speak, but of the moment – characterized and measured moment. And one can easily establish parallel lines between the qualities or characteristics of matter and sound. (See Gonçalves, 2008)

Furthermore, the examples that have been mentioned show the relationships, as a set of heterogeneous characters, that are established between the two disciplines but that, in all circumstances, refer, even if not always explicitly, to the seeing-hearing and space-time dichotomies.

## 5 ARCHITECTURE AND MUSIC: SPACE-TIME, SEEING-HEARING

The hierarchy founded in Antiquity – which places seeing and hearing in prominence and which echoes even today – contributes, as before, although in a different context, to the approximation between architecture and music.

In its genesis, the mathematical character of music has been determinant in the architecture-music relationship. But, even so, this mathematical character also serves as a link between the two directions through the respective presences of commensurability.

The two traditions connected to the music that Fubini (2008) (previously mentioned) refers to - music as a possibility of asceticism and music as an object of sensitive pleasure - and which were determining factors in establishing the relationship between architecture and music, have remained, whether alternating or substituting themselves, throughout history.

In this path, where the relationship between the two disciplines is consolidated, the seeing-hearing and space-time dichotomies play a fundamental role in these different approaches (traditions).

From the relationship between the two dichotomies – seeing-hearing and space-time – two other dichotomies emerge the seeing-moment and matter-sound. The latter two correspond to the qualification of the two previous, more abstract ones.

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# Playing with architecture; space and time in education

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**ABSTRACT:** Playing with Architecture assumes a critical and projective perspective of the space and the time involved in its appropriation as they pertain to children's education. By starting with the assumption that conscious children will become more knowledgeable and demanding adults, this approach explains how architecture can be defined based on active didactics and pedagogies of intervention within the context of the school, in close interaction with the communities of teachers and educators.

Since space is the first scale of relationship with the world from the various forms of apprehension, perception, and awareness, it is proposed to present creative strategies assuming this appropriation and valuation from an early age. Therefore, the game will be assumed to be the most effective playful strategy. Educational strategies with architecture in intrinsic interaction with the school community will drive the construction of this awareness of the surrounding space on various scales: the closest to the body, the building context, and the general view of the world we live in.

This approach intends to promote an understanding of how these types of strategies could be utilized to establish a critical conscience concerning the relevance of the quality of the surrounding environment, simulating the promotion of a ludic educational strategy in direct collaboration with educators.

**Keywords:** Architecture, Playing, Childhood, Education, Formation

## 1 THE POWER OF PLAY



Figure 1. *Architinary game*, by Margarida Louro, 2011.

The game and the play that underlies it are affirmed as participations and empirical cultural productions that, in a way, sustain learning as an accumulation of knowledge. (Yogman et al., 2018)

The game, therefore, occupies a privileged position in educational strategies for sustaining self-knowledge, interacting with others, and, above all, developing critical capacity as a creative position.

This approach emphasizes this concept of value from three perspectives: learning to play, playing to understand, and playing interactively as a critical awareness.

Learning to play emphasizes one of the rights enshrined in the Universal Declaration of Children's Rights, which is the act of playing. The action of playing cuts across the history of humanity and supports one of the fundamental pillars, which is the interplay between the physical and social environment and the learning process. In this way, learning to play is viewed as an inevitable and natural binomial upon which many pedagogies and didactics are based. As such, learning to play sustains knowledge throughout life, not confined to childhood or adolescence, but is often used in business contexts for the formation of cadres and skills in adults. (James & Nerantzi, 2019)

In this way, playing, or more particularly the game, is assumed to be a way of knowing, as it promotes the ability to comprehend the real with critical

and creative awareness, as well as the ability to choose and act. (Odete & Varela, 2021)

All these aspects emphasize the importance of play for forming knowledge, approaching the possibility of playful interaction, and producing critical consciousness.

Currently, the main challenge that this great potential faces is how to keep this play free from constraints and open to new current conjunctures marked by security, technology, new materials, and institutional regulations. (Brito & Dias, 2021)

Assuming the game and the play as a potential strategy of knowledge where the role of architecture, the space, and the time that make it up a strength for learning, as it was explored and applied in the game *Archittonary* in 2011.<sup>1</sup> (Figure 1)

In this way, spatial and temporal awareness assume a primordial role in forming a critical awareness of the surrounding space in childhood. Thus, since this is the time of judgment and personality mold, the dimension of space and time appears as a strategic element of the foundation of the entity and the fullness of the Being (Heidegger, n.d.).

Therefore, based on this privileged foundation - space and time - are chosen as a medium for the apprehension of experience, knowledge, and education through architecture is elevated to a strategic scheme for the perception, apprehension, and awareness of the real (Husserl, 1989). Thus, building a privileged vehicle for learning - a way to acquire knowledge and experience.

Therefore, architectural thinking emerges as a privileged method of education. These are strategies that go beyond education and use time and space as key dimensions in their research. Time and space are fundamental elements used to understand and acquire knowledge. Throughout human history, the place of learning has always been a fundamental strategic means; whether in primitive informal education or current models, the space-time dimension has always played an essential role.

This legacy is optimized through the strategy of education through architecture (EPA, 2022) in teaching based on the potential of apprehension by space and architecture in our lives.

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1. *Archittonary* was created in 2011 at Lisbon School of Architecture, University of Lisbon. It is a didactic game for children and young people related to the theme of Architecture that is derived from the famous Pictionary game, in which, through drawing the words proposed, the players guess concepts related to the subjects of architecture, urbanism and design. Different levels of difficulty allow the game to be played by children, young people, and adults of different ages, allowing interaction and flexibility within the target audience.

## 2 PEDAGOGICAL STRATEGIES – BODY, BUILDING, AND CITY

Several pedagogical strategies are developed based on a logic of architectural thought that assumes the potential of the space-time context in the education of children and young people. Strategies echoed at different scales of action and are applied both in formal institutional structures and non-formal education complements to established educational programs. In this sense, parallel learning curricula are designed where educational didactics define activities that focus on the exploration of space and time as a form of learning. In this sense, more and more European and specifically Portuguese approaches are emerging, assuming architecture as a mediator in education with the training of appropriate responses to the environment in which we live. (Nunez, 2021)

Education through Architecture (EPA, 2022) assumes the necessity to connect a network of educational agents that leverage this potential and act in various ways to reach it.<sup>2</sup>

To address this need, the FAJúnior Office (*FAJúnior*, nd) was implemented in 2014 at the Faculty of Architecture at the University of Lisbon, which defines as its main scope the coordination and dissemination of programs and projects with the younger sections of the population and with the institutions where they study.

Assuming the main mission of bringing architecture, urbanism, and design to younger training classes, to encourage from an early age an awareness of valences, experimental, artistic, heritage, and new possibilities, which promote a sensitivity to understand the spaces that involve them, both in their public and private dimensions.

Therefore, different educational activities are established through architecture aimed at many school audiences of different levels (from preschool to secondary school) and assuming various formats such as books (stories on specific themes and activity books); games (traditional and digital formats); as well as activities and competitions (for both school and family uses).

In this context of exploring didactics, at FAJúnior research group, three pedagogical strategies were developed and tested in recent years, directly related to the three main spatial scales of architecture: body scale, building scale, and city scale. They are, respectively: the Home Shell activity (Figure 2), the My House as a Word to Say activity (Figure 3), and the Pixel City activity (Figure 4).

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2. EPA - Education through Architecture, is a net of Portuguese educators on architecture, based on the architectural thinking, that was established in January 2022, which identifies the following areas as guidelines for action: educational actors, training, research, participatory projects and educational materials.

The three creative activities are based on the theme of the house, in the city, and in the territory where it is located. Effectively the domestic space is intrinsically linked to children's development and their spatial imaginary. In this sense, all activities will be explored and worked on to present concrete intervention results in a way where children and youth can learn more about the space that involves them. All these activities can be explored and addressed both in the school and in a family context.

### 3 HOUSE SHELL ACTIVITY - SCALE OF THE BODY

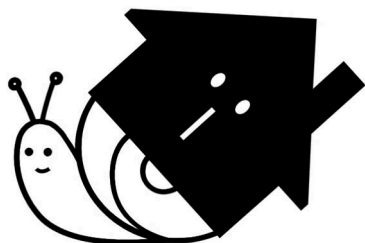


Figure 2. *Home Shell – icon activity*, by Margarida Louro, 2021.

The activity, House Shell, was created in 2021 as part of the exhibition: *At Home, Projects for Contemporary Housing*,<sup>3</sup> organized by Garagem Sul - Architecture Exhibitions, from April to September 2021 in Lisbon, Portugal.

The main aims of this activity were to encourage children, young people, and their families to reflect on the importance of the house as an element of protection for our bodies. The shell of a turtle, the shell of a snail, or the shell of an egg all serve as natural protections for so many living beings against external adversities. In this sense, because of the recent pandemic caused by Covid 19 and the need to protect ourselves from the adversities outside, this activity assumes how creativity can provide us with defense and protection. In this way, the challenge is defined by creating devices like a spatial envelope that protects the body and defines a first inhabited space.

This activity is based on a cardboard model of a human body about thirty centimeters in height, which is distributed to each participant (student, child, youth, or adult). It is the mission of this support to conduct three-dimensional plastic experiments using various materials such as colored paper, fabric,

3. The exhibition *At Home, Projects for Contemporary Housing*, promoted by Garagem Sul, offered, in addition to public exhibitions, a set of thematic workshops for families with children between 6 and 12 years old, in which this activity was included.

recycled materials, or other products that can be cut, glued, and drawn on the cardboard support. The result will be a three-dimensional model that represents a space surrounding the initial body. Using different techniques, such as cutting, collage, assembly, drawing, and painting, it is proposed to create envelopes or shells that respond to the basic need for a shelter - the first space that surrounds our body.

The concept of space is then explored on a first level of anthropometric relationship, highlighting the significance of this fundamental need, coupled with a primary dimension of protection and survival. In addition to a creative exploration encouraged in a group context (of students or families), exhibitions of the various works carried out and the different results can be measured in both the school context (if the activities are carried out in schools) and family context (if the activities are implemented in workshops for families) are possible. Presentation and discussion of the different results may also deepen the relevance of the body space theme, depending on the age and educational level of each participant.

Through this action, it is hoped to share the significance and the importance of architecture in our daily routine – where the house emerges as a basic need; to raise awareness of the concept of close scale – the body, and to interact with a critical group awareness.

### 4 MY HOUSE HAS A WORD TO SAY ACTIVITY - SCALE OF THE BUILDING

My House has a Word to Say activity was also created in 2021<sup>4</sup> and aims to motivate children, young people, and their families to reflect on their own house and the differences that constitute it. During an era when the house became the center of our



Figure 3. *My house as a word to say – icon activity*, by Margarida Louro, 2021.

4. Idem.

lives, considering what defines them and the differences that determine them becomes the primary objective. By electing the word that better defines the house where they live, the challenge is to represent this concept in a 3D model.

In the process, each participant in the activity will be provided a base in A3 format with a plan of a - 16x8x8 cm parallelepiped, which, once cut and assembled, will be the basis for the *illustration* of the word that they chose to describe their own home using colored pens or pencils, colored paper, scissors, and glue. Ultimately, the group interventions (small groups of students and/or families) will come together to create a new object of which, on another scale (the building scale), a new aggregated space will emerge.

In the background, an intermediate dimension of space is experienced here. An observed space where the participant inhabits this space through the various positions he has on it. From the construction and folding phase of the planning (in which the various abstract planes begin to configure the space: the floor plane, the ceiling plane, the wall planes), to the interior and exterior appropriation of the created space, until the finalization in an aggregate set.

Further, this activity promotes critical and evaluative awareness of a specific and very familiar surrounding space - the house of everyone - which is described in a three-dimensional manner.

## 5 PIXEL CITY ACTIVITY – SCALE OF THE CITY

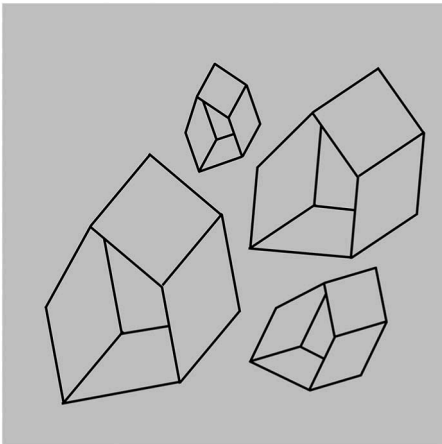


Figure 4. *Pixel City – icon activity*, by Margarida Louro, 2019.

Lastly, the Pixel City activity was created in 2019<sup>5</sup> and is derived from a basic activity, which is

to fold a strip of colored paper that defines an aggregate composition strategy. In essence, it entails the creation of small or large buildings that, grouped according to a certain logic or matrix, result in streets and city networks.

Developed within the context of the European Researchers' Night held in 2019, the goal of this action was to bring research closer to the creation of recreational and creative activities developed in the FAJúnior research project of the Center for Architecture, Urbanism, and Design at the Faculty of Architecture at the University of Lisbon, aimed at the public, especially children and young people. Later, this activity was explored and intensified in various school and workshop contexts.

From this basic activity of folding a strip of colored paper with a dimension of about 5x27cm, it is proposed to produce small objects - buildings that will then be placed according to the criteria of each participant in a set support on which is only drawn a mesh of 5x5 cm. Due to the different placements and the time that elapses between them, the construction of this building complex will take several phases.

By defining the whole from the parts and revealing how the parts play a vital role in elaborating the whole, this activity contributes to exploring a territorial scale. With very simple techniques (basically just folding and gluing), it can be performed by very young audiences (as young as 3 years old) to an older audience, enriching their knowledge of other disciplines or areas of knowledge like geometry, structure, and statics. From this derives a very versatile activity that can be applied to all school levels, from preschool to secondary school.

Through these three activities and the theme they explore around the house, it is assumed that they are a means of critical appropriation and knowledge. Play will be incorporated into all these activities to promote greater spatial awareness and architecture literacy in conjunction with the community of teachers and educators - interacting directly with space, developing a close relationship with it, and understanding it at several different scales.

## 6 EDUCATION FROM ARCHITECTURE

In this way, this approach emphasizes that architecture can be seen as a vital component of the critical view of the current world and a fundamental strategy in various areas of development, whether cultural, economic, social, or political. (CHARTER built environment education for children and young people - 2019 edition, 2019)

Effectively, architecture education thus serves as a fundamental foundation in the development of societies by enabling them to acquire more relevant knowledge, thereby promoting a more sustainable, harmonious, and qualified growth.

5. This activity was part of the European Researchers' Night held at MUHNAC in Lisbon on September 27, 2019.

In this sense, architecture, as the discipline that articulates space and time in the creation of qualified environments, will have a vital role to play in the well-being of future generations and their reliance on the built environment. This strategy should be multidisciplinary and articulate different levels of knowledge and action between educators, citizens, companies, politicians, etc.

Basically, the future quality of the environment we will live in will depend upon our current decisions, choices, and level of awareness. In this sense, education through grounded architecture from childhood will play a key role. Here resides the power of playing with architecture and the importance of learning from space and time in childhood.

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# The happenstance shelter; a poetic manifesto for freedom

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**ABSTRACT:** What is chance? How is it defined? And what do the definitions say about who makes them? These are some initial questions to be given an arena in the Happenstance Shelter [Abrigo do Acaso] – artistic project. As chance is subordinated, in everyday life, to an event in simultaneous space and time that causes change in the expected sequence of previous events, this paper aims to reflect on the project options for the architectural and aesthetic reconstruction of a physical place (at Canada da Cortinha nº0, Carrazedo, Bragança, Portugal) in order to constitute the scenography of this Happenstance Shelter and by doing so, to lead us to think about our understanding of time and space.

In this sense, the body's relationship with time and space – through memory, unpredictability, and transcendence – has been used as a bellwether to design an unexpected and unsettling atmosphere that interrogates the very existence of chance and the laws that govern life.

More than conclusions, at the end of the paper, the expectations raised by the project under development are explained, which result from giving rise to the individual subjectivity of future participants in their human attempt to map, understand, and explain these cuts of reality that they experience with intrigue and to which they give the name of chance.

**Keywords:** Chance, Scenography, Performance, Memory, Poetry

## 1 FIRST DESCRIPTION

The road is narrow, winding, flanked by brooms (*Cytisus multiflorus*) that sometimes border marshes, sometimes by patches of oaks and holm oaks, sometimes by aged chestnut trees.

It is twilight. No sign indicates a path. You cannot see inhabited places and it takes a certain spirit of adventure to go there. At nightfall, it is cold. The mists and the foxes jump to the path along the biggest descent to the valley where the village nestles. The smell of burning wood fills the air as soon as you pass the first houses.

At that time, after “The Trinities” were played (ancient bell ringing used in villages to announce the beginning and the end of the day), entering a hidden alleyway between two facades on the main street, you arrive at the Happenstance Shelter. The creak of the ox cart door when it opens predicts the fantastic. Inside, only two situations are possible: in one you are invited to meet very different people who discuss the value of certain surprising events at a simultaneous time and place; in the other, you are taken for an unexpected visitor and therefore your presence is joyfully celebrated.

## 2 INTRODUCTION

Chance can be seen as an appreciation of a given event, as it changes the expected direction of the events that precede it, inviting us to question the order or logic that causes it.

According to Newtonian physics, assuming that the universe is a closed and finite in space, everything becomes determined and therefore predictable. The surprises we call chance come from our inability or ignorance when predicting events. At the quantum or subatomic level, the probabilities are known (everything is deducible on the theoretical plane); however, space and time cannot be determined simultaneously (Heisenberg Principle). So chance arises from uncertainty about these probabilities.

These two theoretical frameworks of Physics mirror practical everyday postures: chance does not exist, but we ignore how life unfolds; and chance exists, and therefore it is not possible to predict the events of life. This second stance approaches the randomness that we observe in the variation, diversity, and genetic complexity of the living world (Iversen, 2020, p.15). However, we await the theory of everything, “a



hypothetical, singular, all-encompassing, coherent theoretical framework of physics that fully explains and links together all physical aspects of the universe” (Weinberg, 2011). While this comprehensive theory does not appear, which may bring with it more complex questions, a common way of explaining chance is by attributing a transcendent cause to it: chance as a consequence of a divinity or power, to which we may or may not gain access by belief or faith.

But in the experience of the Happenstance Shelter, it is not a question of what chance is or how it is explained, it is the different sensitivities and meanings attributed to it that interest us. Thus, it is up to the staging of architectural space to approach chance through what it evokes and makes you feel: the unexpected, unpredictability, the permanent possibility of changing the direction of the present, feeling like fear or joy... and by doing so encourage its questioning and meaning, through the recording of the different narratives that visitors bring or the reverberations that may arise from them.

### 3 SECOND DESCRIPTION

The eyes need some time to get used to the light of candles sunk in the darkness. The limits between the high walls and the roof are thus blurred. Walking, sitting, grabbing the glass and drinking the freshly poured wine require movements, which are so unusually slow that they become solemn. In contrast there is the roughness of the uncarded wool, the linen or the clumsy traditional three-legged benches around the fire. In disbelief at what he sees, the visitor accommodates himself to the weight of the time, which passes slowly here. Everything seems to contain a past. From seed to harvest; or the hand and life of the man who transformed it. Artur Augusto Afonso, my great-grandfather’s uncle, has a prominent presence in his old carpenter’s bench and some old tools still echoing in the place.

The pauses in the conversations and the amazement at each story are only interrupted by the dry crackling of the fire, or the occasional hoot of an ominous owl.

From the chest, where the family’s grain was once kept, stories are archived in the style of “cordel literature.” Soon, after being read, they will not only be memories in those who experienced them, they will also remain in the listeners’ minds.

In the pause between one narrative and the next, the outsider looks over the stone walls searching for signs which would make him too suspect the existence of a hidden pot of coins. Simultaneously he fantasizes about how this find would change his life.

### 4 QUOTING CHANCE EVOKING MEMORY

Memory makes it possible to establish a thread that can be contradicted. Thus, the antiquity of the place indicates (especially to those who have no memories of it) a previous existence and simultaneously encourages us to imagine, compare past and present, question, be intrigued, curious, and surprised to find an anachronistic place in the Happenstance Shelter. This sense of the past has been imprinted through its reconstruction using ancestral vernacular techniques, natural materials, and décor based on handicraft objects. The walls are stone on stone aggregated with clay, and the roof is made of chestnut wood and Portuguese tile. The wooden furniture is also reduced to the essentials, as it used to be. Beds are made cozy with hand-woven wool blankets. Handmade ceramic mugs and plates are set out on the table. There are sculptures and other artistic objects where time has also slowly been imprisoned by this making with the hands.

This raw materiality is emphasized by the absence of electric light, which amplifies the haptic sense of space and gives it a sensuality associated with the cycles of nature.

On the other hand, the history of the place is linked to a series of chance circumstances, some tragic, others not. The house in the front, built with the same ancestral techniques, collapsed following a windstorm, taking the residents’ life during sleep. The house today is only mine now because my father died young in an accident, and I inherited it by drawing lots. Stone walls are potential hiding places for pots of coins that are often found in them, and everyone knows it...

But the memories for which this space was created are not exclusively mine or those of the village: the huge wooden chest that was formerly in the family’s barn is now transformed into an archive of chance stories available to the world, offering the possibility of recording, of (re)signification if desired through the rewriting of past events. The loose entries of the archive constitute a set of non-linear, fragmented narratives waiting to be the object of other artistic purposes.

The place makes it evident that memory transcends our experience in time and simultaneously makes us aware of our temporal limitations.

### 5 THIRD DESCRIPTION

Someone asks for one more poem, as if asking for another January. The older man heads for the wall. Among the stones he pulls out a hidden green-capped tube, one of many randomly placed there.

So far, no one has seen him read, no one knows if he went to school, or if his eyes are still able to do so;

and this doubt seizes time more strongly than the unknown facts about the poem or the author himself. Everyone wonders as he takes the raffle poem out of the tube and unrolls it... On his face are the traces of the revelry of the masked young men, the meow of the cats, the full moons before the harvest... and behold, it begins:

## 6 QUOTING CHANCE EVOKING UNPREDICTABILITY

Arriving at the Happenstance Shelter is like seeing a blossoming flower in the desert. Imagine arriving at a place of wild nature, in the interior of an emptied countryside, and finding a lively environment, created not only by the residents but stimulated by people from outside who periodically make a movement in the opposite direction to those who left. Together, we hold an annual meeting of storytellers, revive the oral tradition around the fireplace with poetry readings, and discuss chance. This is, an unexpected approach, and discuss chance. This is, an unexpected approach, and discuss chance. This is, an unexpected approach, and discuss chance. This is, an unexpected approach, and discuss chance.

The perceived space is adorned by the asymmetric and irregular features of handicraft and other organic materials, which also favor the unexpected, bearing in mind that a permanent dissimilarity and a possibility of error is always more common in time-consuming and repeated non-mechanical processes. But, above all, it is within the sphere of human interactions that the unpredictability of the Happenstance Shelter arises. Firstly, when arriving from the outside, you are surrounded by the unknown, whether because of the contact with rurality, with nature or due to the fact that a holiday rhythm is imposed on you and there is no access to the internet or the media which dissociate events from space and time. Here, you are off the grid, and social time rules over clock time. It is in this context that the annual performance takes place.



Figure 1. *The head surveying the space* (a sculpture exercise by Gabriela Conte de Morais), (2022) © Verónica Conte.

The performance itself inherits the chaos and subversive disorder revived by the region's cultural

festivals – still using the masked figures or *caretos* of the winter solstice rituals. And it also inherits the lack of reflection of my parents' love (or my own devotion to this place combined with a much more senseless than rational dedication) and a protective artistic halo emanating from the paintings and sculptures always watching the space (exercises carried out for the Lisbon Fine-Arts School, in the 1970s in the search for individual singularities).

The poems to be read during the poetry performance, which intersperses the narration of chance stories with discussion, are to be found inside small ceramic tubes rolled up like fairground raffles. These tubes, scattered haphazardly across the inner and outer walls of the Happenstance Shelter, poke out of the shale rock. The reader is given the instruction: choose a tube at random; take out the raffle poem from an unexpected author; and choose to read the poem or blow through the tube, making only the sound of moving air.



Figure 2. *Tubes with raffle poems*, (2022) © Verónica Conte.

Bataille tells us, “The absence of poetry is the eclipse of chance” (2010, p. 34). Poetry is present and not only in the poems but in all the forms of inconstancy and unforeseen occurrence that the Happenstance Shelter engenders. Impermanence is latent because part of the pleasure of chance resides in this possibility of “being able to see what will happen” (Iversen, 2010, p. 25). This is only doable because this seeing does not arise as a result of a fixed program but from uncertainty and risk.

After the performance, the place that was the center stage for the meeting becomes a house to live in. In the Happenstance Shelter, everything is malleable in its functions. It is a receptacle, an empty vessel because what is done in it is more important than what it contains.

## 7 FOURTH DESCRIPTION

It's 6:06a.m. The birdsong is shrill. The already extinguished fire does not warm, and the village seems like any other. But... that feeling is fleeting. Just dive into the oak forest (*Quercus robur*), towards the Castelo cliff (which was possibly an example of Castro culture) and the fantastic universe returns in every season: magnanimous trunks of old chestnut trees surrounded by burrs, snow dancing in the wind, footprints of wild goats or wild boar running, the laughter of a nervous roe deer, the festive songs of summer crickets, dark blue-violet dragonflies (*Calopteryx virgo*) fluttering along the riparian galleries, a strong smell of rock-roses and thyme, lavender, rosemary, moss or mushrooms detached from the ground with footsteps, what page are we in the fairy tale?

A thunderstorm breaks out crossing the Rimau, the stream where young men used to bathe in a form of blessing before leaving for the Overseas War. We can only hope that someone will bring calm by placing Saint Barbara at the door of the Church. The clock shows 12:12p.m., the time of the guardian angels is repeated, again. Restlessness - then you awaken. Open your eyes and it's 6:06a.m.

## 8 QUOTING CHANCE EVOKING TRANSCENDENCY

Fortune, luck, miracles, and Divine Providence are ways of making sense of chance through transcendence. Powerlessness, the need to alleviate the lack of control when facing chance, or protection against the absurd, have led humanity to weave patterns, to conjure up a (not always logical) cause for the situations experienced. Boethius explains to us, 1500 years ago, in *Consolation of Philosophy*, the difference between the random gifts that satiate man in his frivolities through the graces of the Roman goddess Fortuna (represented blind or with her eyes covered) and the designs of God who foreknoweth all things, still looks down from above, and the ever-present eternity of His vision concurs with the future character of all our acts, and dispenseth to the good rewards, to the bad punishments. (Boethius, 2004).

Thus, Boethius neither denies the free will of our perishable existence nor chance:

We may, then, define chance as being an unexpected result flowing from a concurrence of causes where the several factors had some definite end. But the meeting and concurrence of these causes arise from that inevitable chain of order which, flowing from the fountain-head of Providence, disposes all things in their due time and place. (Boethius, 2004).

Another way of making sense of chance is through Magic, a precious word in the region where

the Happenstance Shelter is located, whose strong Celtic cultural roots, possibly from the Zoela tribe (Tiza, 2013), still find expression, persisting after Christianization. The celebration and consecration of water, fire, and respect for springs and trees are echoed in rituals and places that denounce the previous animist worldview.

Remembering the different transcendences originating from the different cultural heritages through the symbols or objects left in the Happenstance Shelter, some of which are linked to the rest of the area and social life of the village, is part of the place's set design. In this way, fire acquires a central role in the space through the old brazier, which defines the seating circle during the annual meeting.



Figure 3. *Caretos* (1970s) © Fernando D. Fernandes.

The use of organic and local materials, along with the absence of synthetic or exogenous decorative elements, reinforces the link between this construction and Nature. Photographs of young masked men and careto masks are placed on the walls, side by side with rosaries made from apple galls. A sculpture of a woman on her knees at the top of the stairs on the mezzanine floor and small Christian rosaries in the bedrooms encourage prayer and hope. In this way, chance is not so isolated, and even if misunderstood in the present, we can leave it in suspension in the expectation of a retroactive meaning.

## 9 REFLECTION

Can it be the expression of chance, this all too human ability to find meanings for life's events, however illogical? It is to those expressions that we give space in the Happenstance Shelter. To this end, and as we have seen, the perception and questioning of visitors to

the Happenstance Shelter are challenged with triggers in space and time. We emphasize emotional time: the time of waiting, of stories and poetry performed, of memories, passions, hopes, risky situations, dreams, premonitions, a time that expands or contracts in relation to clock time and that confuses in its non-linearity. As to space, in a place undisturbed by the spatial changes brought about by the new transport and media of the 20th century, we invite you to return to a scale closer to the human physical dimension and the cycles of nature. Within the malleable inhabited space in its functions, materiality and the use of light densify the present while working on the past and future through the possibility of rewriting narratives, both those performed and those left in the archive. No one can remain indifferent, and feelings are aroused - causing suspense, strangeness, unpredictability, and the fantastic - inevitably the desired expression of each visitor's subjectivity finds an outlet here.

\*

This paper anticipates the existence of the Happenstance Shelter and archive because the space has not yet been completely redesigned. "Nowhere may be an imaginary country, but news from nowhere is real news" (Mumford, 1922, p.24 *apud* De Sousa

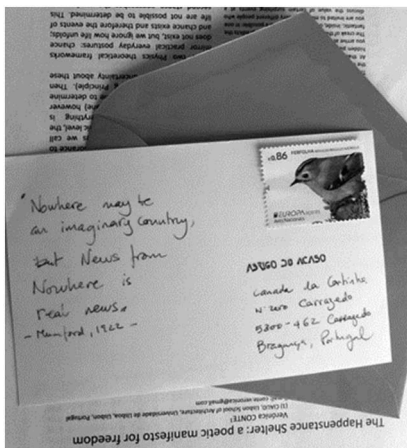


Figure 4. "News from Nowhere is real news" (2022), by Verónica Conte.

Santos, 2018, p.75). This is also a way of building the dream: anchored in a utopian horizon of individual freedom and expression, its object challenges the limits of our freedom – chance.

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# The hut/shelter; between tradition and innovation

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**ABSTRACT:** This reflection seeks to ask the question of the Shelter and its possible relevance for an understanding of the essence of Architecture today, pointing previous questions on the theme and reserving space for the evolution of the respective content.

**Keywords:** Hut, Shelter, Minimum Architecture, Vitruvius Hut, Cabanon

According to Rykwert, the return to the origins is a constant of human development and, in this question, the Architecture conforms all other human activities. The primitive hut – the shelter of the first man – is not, therefore, an accidental concern of the theorists nor a casual ingredient of myths or rituals. The return to the origins always implies a rethink of what is usually done, an attempt to renew the validity of daily actions, or simply a recall the natural (or even divine) need that allows repeating these actions during a season (Rykwert, 1974, p. 239).

This reflection seeks to ask the question of the Shelter and its possible relevance for an understanding of the essence of Architecture today, pointing previous questions on the theme and reserving space for the evolution of the respective content.

At this point, and turning to past periods, it will be important to realize, that the information conveyed by the area of knowledge of the History of Architecture, with its long journey of theoretical contributions of different nature, giving us a greater awareness of the subject, a greater opportunity to focus our awareness and make our contribution to the historical process, is not, however, a single and direct reasoning when designing in Architecture. This process has already been underlined by Peter Zumthor in his reflections on the act of designing in Architecture, when he states that the act of designing is not a linear process that leads us to relate, in a logical and direct way, the History of Architecture with the creation of a new building. And Zumthor adds that the act of creating an architectural work goes beyond historical and manual wisdom. At its center is the confrontation with the issues of its time (Zumthor, 2009, p. 23).

Sharing this understanding, in which past, present and future are interconnected in the act of projecting, we understand that in every opportunity of creation, the Architecture has the capacity to

articulate tradition and innovation constituting itself as a true synthesis of its time. Thus, in its quest to understand the present and to answer the current questions, the Architecture needs cyclically to think about its genesis and the essence of the primary questions associated with its identity, and it is in this sense, that a link to the original shelter tends to be present in the conscious act of projecting. That is, through its usefulness and appearance, the relationship it proposes to the community of men and through its relationship with the place, the ancestral theme of the shelter, the ‘original hut’, returns cyclically to each time and seems to be fundamental to the very act of projecting in every time.

Associated with the origins of man himself, the original shelter is the object of study of different disciplines and, following reports and events, it illustrates in a way the path of Western Culture itself, with its extensive repository of knowledge. For reasons of methodology, we have sought in this reflection to focus on the epistemological field of architecture, understanding that in reality the various treaties, essays or theoretical documents elaborated on this theme over time, were in fact constituted as an effective vision of their time, a cultural construction in the sense of the theorization of architecture. In fact, more than if they were built from a scientific angle, or rather than enucleate a unique and irrefutable truth, the moments of the theory that were built over time on the theme, tended in reality to assume itself as ‘mental constructions of its own time, structuring the existing knowledge, interpreting them and putting the cyclical question of the essential principles of the Architecture.

Thus, focusing or illuminating particular aspects associated with the origin of the shelter as an elementary space, the evolution of the Theory of Architecture, of which in the present context we highlight the

inaugural moment made by Vitruvius's Treaty<sup>1</sup> and the contributions of two emblematic visions of 'our' twentieth century, returned successively to the theme of the primitive hut, whenever at certain times felt the need for reflection on the essential aspects of the Architecture and the paths for its possible renewal.

Revisited over the centuries by different authors, the original act of building, seems in fact to be associated, to an elementary pair of interrelated factors: the act of building is the result of a need that drives man in search of solutions, the act of building is an act of creative intelligence, that at that moment and with the knowledge that characterizes it, will control and delimit in the extensive territory of Nature a portion of artificially conformed space.

Then, from the moment of the cave exodus and the construction of the first shelters, a long evolutionary process of successive experience and improvement of

habitats begins in order to respond to the needs of the Man, needs that have been shaping his creative and constructive intelligence throughout a civilizing process. To perceive this evolution through the successive treaties, essays and theoretical reflections of architectural discipline, is assumed as a proper and intentional look of the discipline, that is, as a reading contaminated by the very thought structure of each epoch, with their respective way of understanding and designing the Architecture.

Thus, within the disciplinary area of architecture, the theme of the primitive hut emerges at different times and according to different authors, trying not only to discover this original moment, but effectively seeking to organize, in every age, the thought about the act of projecting that is associated with it, revising, in summary, the fundamental principles underlying the design of any architectural work. Thus, we can affirm that whenever we need to reflect on the elementary principles to the Architecture itself, in order to define it and its disciplinary field, a cyclical return to the ancestral theme of the shelter is observed, the theme of the primitive hut, and looking at this moment, the critical thinking about the understanding of architecture in every era seems to refresh itself giving way for a possible innovation.

Thus, trying to fix a possible frame of reference for the present theme, it is important to point out and situate the work "*De Architectura*" of Vitruvius held in the sec. I a. C. assuming in the context of the present reflection as a fundamental work, in the sense in which it is fixed for the first time, as a theoretical document, a reflection on the construction of the original shelter, built to the Man, as well as the principles necessary for its establishment and the logical steps of this development.

In this document, and looking at a remote moment, Vitruvius places primitive man in a difficult and challenging nature, an assumption that will support his elementary needs and that will lead him to an active posture to overcome his difficulties, seeking solutions to their needs, a process of civilization that would lead man to the discovery of fire, to their coexistence in society and to the construction of a shelter molded according to their needs.

In fact, according to Vitruvius the origin of the Architecture is associated precisely with the discovery of fire and men living in community, a situation that would lead to a clear intervention on Nature and the act of building its shelter in it, shelter that according to it would be an artificial construction. Specifically, Vitruvius wishes to emphasize that, in order to respond to his needs for shelter, primitive man would resort not so much to the passive exploitation of the natural spaces, but to an intentional action of transformation of nature through a material construction, which, using the elements and materials present in nature, was its main source of knowledge and

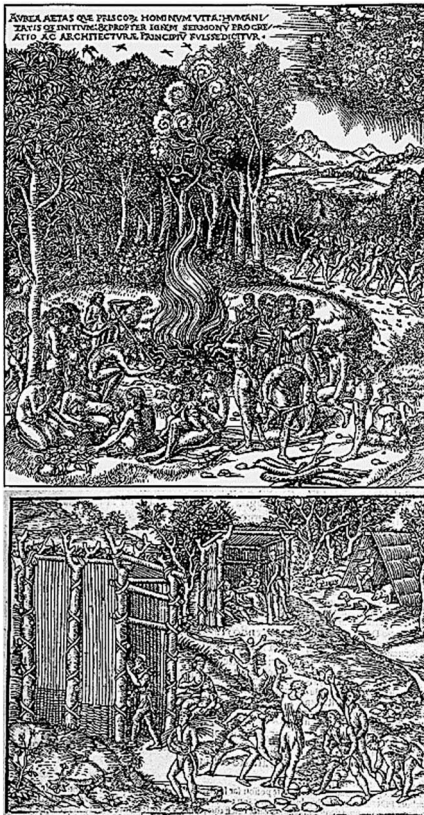


Figure 1. Cesare Cesariano, "discovery of fire" and "construction of primitive hut", 1521.

1. Considered the 1st Architecture Treaty, the work "*De Architectura*" by Marcus Vitruvius Pollio, organized in 'ten books', will have been conceived in the sec. I a. C. around the years 27 a. 16; author's note.

inspiration. Textually for him, "...at first drove stakes into the ground and put rushes between them, completed the walls with clay. Others built walls with dry land, supported with wood and covered with trunks and leaves to protect themselves from heat and rain..." (Vitruvius/Rykwert, 1974, p.130)<sup>2</sup>.

After focusing on essential aspects related to the implementation of the construction, its construction processes and materials, in a clear relationship with the means and physical aspects of Nature, this inaugural theoretical work introduces Man himself as a model, in the process of building this original hut. As Rykwert points out, "the model of this method is the idealized human body, *hominis Bene figurate ratio*, and under this statement, Vitruvius offers a detailed canonical description of the relationship between the parts of the human body: the canon includes the famous declaration on the human body inscribed on the square and the circle" (Vitruvius/Rykwert, 1974, p.133)<sup>3</sup>. Thus we can affirm, that according to a process of logical deduction, and with a pragmatic and rational thought, Vitruvius places in this inaugural work, man and the main dimensions and proportions of his body, in the process of building this primordial shelter.

In short, we can find in the work of Vitruvius, three main defining arguments of the original primitive hut: the first argument relates to fire as an aggregating and enabling element of human experience; the second argument is related with its construction as a carpentry work, a work that used a hierarchy and construction precepts with wooden trunks in a clear respect for the order of Nature; and the third argument is associated with an understanding of the human body as a positive source of the whole numerical structure of the building, of which architectural orders are a paradigmatic example.

After this moment of theorization, moment in which we can find fixed an ancestral tradition of creation of the shelter as elementary space enabling human life, the path of the Theory of Architecture, accompanying the own Western thought, will return during the later centuries, to the primitive hut as a source of reflection on the origin of Architecture and as a source of a possible structuring of architectural thought.

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2. All translations are the author's except when otherwise stated. "Al principio, clavaron horquillas en el suelo y, colocando juncos entre ellas, acabaron sus paredes con barro. Otros construían paredes con terrones secos, enmarcados con madera y cubiertos con canas y hojas para protegerse del calor y la lluvia".

3. "El modelo de este método es el cuerpo humano idealizado, *hominis bene figurata ratio*. Tras esta aseveración, Vitruvio da una detallada descripción canónica de la relación entre las partes del cuerpo humano: el canon incluye la famosa declaración sobre el cuerpo humano inscrito en el cuadrado y el círculo.

The theme of the primitive hut will be present in the following centuries to practically present day, not only to reveal the origin of this foundational shelter, not only as a result of the need imposed by the pressure of a hostile Nature, but it will also progressively gain the awareness of it as the result of an affirmation of man before nature. In fact, one can recognize that in the construction of this hut, the original shelter, Man sought to limit a space of his own and define himself as a living being before Nature. To this end, he appropriated the surrounding context, in the sense of building a space of protection, but also, and not least, in the sense of building its identity. It is not, therefore, a construction of strictly protection in relation to the surrounding environment, but rather a form of affirmation before Nature.

Thus, we can associate to the cyclical and successive return to the theme of the primitive hut in different periods, an effective reflection on the foundations of architecture in each of these moments. Each of these moments of theorization, invoking the primitive hut, sought more than to pursue an absolute truth, to induce a coetaneous reflection on the very origin, definition and principles of the Architecture itself, seeking in this interrogation movement, to envision a valid response to your time and a path of evolution.

In light of the context mentioned above, it will therefore be important, for the understanding of our contemporaneity and for a sustained and operative reflection on architecture at the present time, to look at 'our' 20th century, in its questioning the presence and cyclical rethinking the theme of the original shelter for the construction of our contemporaneity.

Arrived at the 20th century, period of profound change in several domains of Western society, that would lead to the transformation of society under a 'new modern culture'<sup>4</sup>, was witnessed a renewed understanding of the primitive hut, with the consequent return to this primordial reference, as an argument for validating a way of thinking the Architecture. Hence, issues relating to the need for protection from the environment, the way in which this hut is built in relation to man himself and the specificities of his body, the way in which this construction relates to the Nature and the way in which it tends to be a symbol of man's affirmation of the surrounding environment, will be questions strongly reinvented and updated during the 20th century, with

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4. Reference to the term Modern Culture used by Gilles Lipovetsky, used by the author in the study of this period carried out in her work "A Metáfora do Organismo nas Arquiteturas dos Anos Sessenta; A obra dos 'Archigram' como manifesto de um novo habitar"; Ed. Caleidoscópio; Lisboa, 2014.



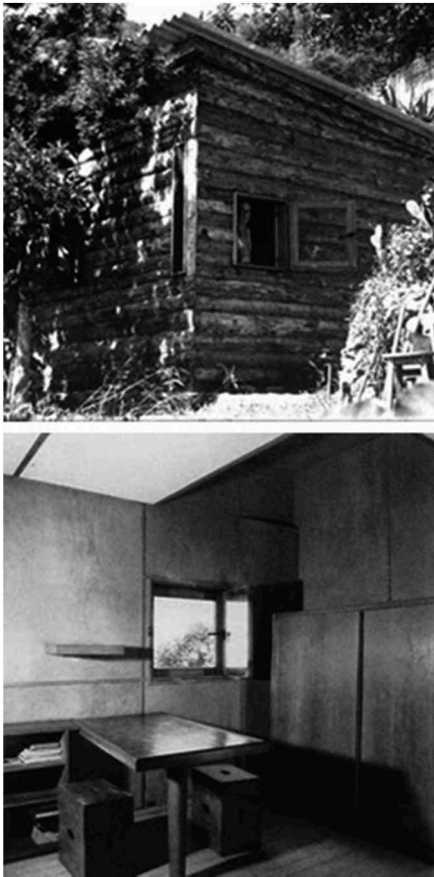


Figure 2. Le Corbusier, “Le Cabanon”, Cap Martin, 1952.

an awareness of the past and an updating and a through a strong sense of innovation called by its time.

In this context of thinking promoted by the Modern Movement and by the vanguards of the early 20th century, Le Corbusier’s work, observed in its theoretical and practical aspects, was particularly relevant for the awareness of the past and the updating of the subject with regard to the issues of its contemporaneity. In other words, Le Corbusier, seeking successively to reflect on the essential principles of architecture, will try to approach the Man as a referential and in this sense, by accepting and interpreting the needs of its time and updating its technological development, it has also sought to link the architecture with the ancient principles of construction, with the primitive hut-shelter. According to Le Corbusier, in the primitive hut-shelter was an original simplicity marked by an instinctive and rational way of conceiving and building the space, deeply connected to Man himself, the dimensions of his

body and the establishment of a geometric order common to architecture and man.

According to Le Corbusier we should then, “observe in the book of the archaeologist, the drawing of this work, of this temple: it is the drawing of a house, the drawing of a temple. It’s the same attitude we found in the Pompeii house. It is the same spirit that we find in the Temple of Luxor. There is no primitive man, there are primitive means (...). He introduced the order when measuring. To measure they used his step, his foot (...). By imposing the order of his foot or arm, they have created a module that regulates the whole work, and this work is to his scale, to his convenience, to his measure. It is on a human scale. It harmonizes with him. When deciding the shape of the enclosure, the shape of the hut, (...) he instinctively chooses the right angles, the axes, the square, the circle. (...) For the axes, the circles, the right angles, are the truths of geometry and are the effects that our eye measures and recognizes, otherwise it would be chance, the anomaly, the arbitrary. Geometry is the language of (...) man” (Corbusier, 1977, pp.53-54)<sup>5</sup>.

In this way, Le Corbusier’s vision and the connection that will operate with regard to the theme of the origin of the Architecture present in the primitive hut, a vision that he will develop in numerous architectural projects throughout his life, is therefore profoundly characterized by this desire for harmony between the architectural work and man himself, by creating spaces designed according to a humanly comprehensible reason and geometric language, of which his work “*Le Modulor*” and his successive projects would echo; “Architecture is the first manifestation of man creating his universe.(...) The nature of Le Corbusier is then that of the right angles, of the squares, of the circles,

5. “Voyez, dans le livre de l’archéologue, le graphique de cette butte, le graphique de ce sanctuaire; c’est le plan d’une maison, c’est le plan d’un temple. C’est le même esprit qu’on retrouve dans la maison de Pompéi. C’est l’esprit même du temple de Louqsor. Il n’y a pas d’homme primitif, il y a des moyens primitifs. (...) I a mis de l’ordre en mesurant. Pour mesurer il a pris son pas, son pied, son coude ou son doigt. En imposant l’ordre de son pied ou de son bras, il a créé un module qui règle tout l’ouvrage; et cet ouvrage est à son échelle, à sa convenance, à ses aises, à sa mesure. Il est à l’échelle humaine. Il s’harmonise avec lui : c’est le principal. Mais en décidant de la forme de l’enclos, de la forme de la hutte, de la situation de l’autel et de ses accessoires, il a été d’instinct aux angles droits, aux axes, au carré, au cercle. Car il ne pouvait pas créer quelque chose autrement, qui lui donnât l’impression qu’il créait. Car les axes, les cercles, les angles droits, ce sont les vérités de la géométrie et ce sont des effets que notre œil mesure et reconnaît; alors qu’ autrement ce serait hasard, anomalie, arbitraire. La géométrie est le langage de l’Homme”.

that nature that conforms to its reason, that which his reason separates from chance, from arbitrary, so that he may be part of the universe of man and even legitimize its construction. . .” (Paczowski, 1983, p.88)<sup>6</sup>.

A complementary vision to that developed by Le Corbusier on the subject of the hut/shelter, but equally important for the construction of the twentieth century and for the theory of architecture at present, will be that advocated by Frank Lloyd Wright through his writings and works. Emerging in a territorial and cultural context deeply marked by the proximity to a primitive settlement, inserted in an original Nature, the theme of the primitive hut for Wright consists of a permanent reflection along his work, taking on particular nuances at the level of his reflections on the very social order of man in community and, respectively, in the different nuances of his relationship and affirmation on nature. According to Wright, the origin of mankind was divided into “cave inhabitants, farmers, and nomadic hunter-warrior tribes (...). The cave dweller sought his safety by hiding in the shadow of a cave, (...) the nomadic, more adventurous, traveling through the treetops, engineered a more adaptable and light habitat, the tent (...). This division of humanity is reflected in the constant and intentional distinction that always shows Wright’s buildings between the deliberately heavy walls, walls that identify with the earth, and the plans of a free and seemingly unsupported cover, from which appear to grow” (Rykwert, 1974, pp. 17-18)<sup>7</sup>.

The reflection of Wright on this theme, which is evident throughout his work in his writings and projects, will reveal a constant focus on man’s relationship with nature, reflecting the persistence of previous archetypal spaces; “Man, by his nature, has always wanted to build, but he is no more than a fragment of the landscape, in the same way as rocks, trees, bears and bees (...). Nature seems to speak its own formal language, man then learns by watching the rocks

stand out against the sky or encased over the hills. They are without a doubt the trees that at it awoke their sense of form” (Wright/Paczowski, 1983, p.88)<sup>8</sup>. The previous statement would reveal a sense of hierarchy and a profound respect for the relationship of the work built with the surrounding nature, from which it emerges in close harmony.

Therefore, we can say that echoes of a search for the original shelter permeate the production of these important architects of the 20th century, proposing paths for a reflection on our contemporaneity. At this point it will be interesting to compare the understanding of Le Corbusier’s previous vision with Wright’s understanding of his thinking on the architectural work and its relationship with Nature. While, according to Le Corbusier, the notion of form and constitutive order of architectural space is born from man and from a conceptualization and rationalization of geometries, in particular from a set of extrapolated strokes from its body and from the phenomena of its rationalized perception of space, in Wright’s vision, the search for an understanding of the architectural work in the sense of a more organic and natural continuity, thus seeking a more direct harmony between man and this same Nature<sup>9</sup>.

To close this demand here, coming to the plane of our contemporaneity, and to the heterogeneous abstract that constitutes today the repository of its theories and architectural works, we can say and maintain that the theme of the shelter, of the primitive hut, will always be fundamental to the theorization and architectural practice, not so much as we have stated, in the sense of a discovery or fixation of it to an immutable reality, but rather in the sense of a return to this primordial conceptualization whenever we need to think, build or even teach the fundamental principles of Architecture itself, in a true answer to the questions of our time.

Therefore, we must emphasize that in this present time of ours, we inevitably face a wide range of reverberations emanating from the broad theme of the hut-shelter advocated throughout the 20th century and even of our 21st century, either in a broad sense around habitat and dwelling, or at the origin of its definition and embodiment. We also note that the

6. “L’architecture est la première manifestation de l’homme créant son univers, le créant à l’image de la nature, souscrivant aux lois de la nature (...) La nature de Le Corbusier est donc celle des angles droits, des carrés et des cercles, celle qui se conforme à sa raison affranchit du hasard, de l’anomalie pour qu’elle puisse faire partie de l’univers de l’homme et même légitimer sa construction. ”

7. “La humanidad estaba dividida en moradores de cavernas, agricultores y tribus nómadas de cazadores guerreros (...). El habitante de las cuevas se convirtió en el hombre de las cavernas (...) pero su hermano, más andarín y viajero, ingenió un alojamiento más adaptable y esquivo: la tienda plegable. (...) Esta división de la humanidad en malos terrícolas y buenos espirituales constructores de tiendas no se refleja en la constante y acusada distinción que exhiben siempre los edificios de Wright, entre los planos de una cubierta liberada y los muros deliberadamente pesados, muros que se identifican formalmente con la tierra, de la que tan a menudo parecen crecer.”

8. “L’homme, par sa nature même, a toujours désiré construire mais il n’est lui-même qu’un trait du paysage, au même titre que les rochers, les arbres, les ours ou les abeilles (...) La nature semble parler son propre langage formel, l’homme apprit donc en regardant les rochers saillant contre le ciel ou entassés sur les colines. Ce sont sans doute les arbres qui ont éveillé son sens de forme”.

9. With regard to a quest to validate his architectural thinking, using a journey to the original shelter of man, Wright’s conceptualization seems to dwell particularly on how this same man seeks to interpret the surrounding nature, recognizing certain geometric orders that serve its architecture from an order of deep-rooted internal relationship with the surrounding environment; author’s note.

present theme goes beyond, as it has always done in previous centuries, the programmatic field of the house and of the dwelling, extending itself to a true inquiry into the essence of Architecture, an investigation that has characterized our contemporaneity, expanding to other programs and having repercussions on the definition, scope of action, construction and representation of any architectural work.



Figure 3. Frank Lloyd Wright, “Fallingwater House, near Pittsburgh”, 1935.

Engaging in its contextualizations and nuances, different aspects, both of the way the Architecture itself was consolidating and empowering itself as a discipline, as well as interweaving knowledge coming from other areas of knowledge, such as Anthropology, History, Art or Technology, the theme of the primordial shelter, the primitive hut, the hut-shelter, seems to be associated fundamentally with a knowledge of man himself and an understanding of architecture as an expression of his way of being and inhabiting the world.

In order to close this reflection, assuming itself as a space matrix essential to human experience, being able to consider itself as a reference unit, for multiple programs and architectural typologies, the theme of the shelter thus seems to condense the fundamental questions of Architecture as an essential expression of Man.

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# The Norwegian *hytte*; a pause in city dwelling

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**ABSTRACT:** The Norwegian *hytte*, or cabin, is a space where time seems suspended. Its architectural design layout, disposition in the landscape, and materiality suggest a pause from urban motion. This identification is about time, space, and place perception; it has historical value and is combined with other physical and symbolic material. If the cabin ‘holds time,’ if it contributes to holding a front-forward future continuity, this information has a perceptual base, given by architecture and architecture atmospheres. If the urban condition and distance from the forest support a time/space interference, there is something about a cabin placed in a natural landscape associated with continuity from the city to the forest. This has to do with a comprehensive inscription in space, in a determined place and relates to the use of memory. It is also about the state of mind in different scenarios and situations. This reference has to do with an idea of settling that includes and accommodates the insertion of the human body in space. This recentering/departing/arriving/triggering in space and time, where a forming self discovers home and completion is accomplished, has a pace. This article will discuss if a pause in city dwelling is a need and a reality. And, how this movement occurs in Nature, which craftsmanship qualities frame and contextualize the Norwegian *hytte*, and its associated metaphor, proposing a changing perception about time and space. If there is a core matrix, tracible, among the in-transition conception of moving into spaces here in analysis, which features are then there to be explored? How do these relate to housing comfort, personal sensibilities, and architectural value, deriving from cabin imagery and its atmospheres?

**Keywords:** Norwegian *hytte*, Cabin, Atmospheres, Architecture, Space, Time

## 1 TIME-SPACE READINGS ACROSS PLACES – THEORETICAL FRAMEWORK HYPOTHESIS

In the film *Interstellar* (Thomas, Nolan, & Obst, 2014), time is presented in the story as being part of an equation, as an entity, a ‘genuine’ substance among space and place, influenced by these tangible aspects (Thorne, 2014, p. 70). The script was written to accommodate Einstein’s theories about Relativity, and how Earth’s location in the Universe influences parameters like the counting of time. The film plot considers how time is affected by gravity and how gravity influences human aging if the perception of space, place, and time has different referential – on earth, on other planets outside Milky Way, and near a black hole. The plot’s core is the extreme situation on Earth, which has become a harsh place to live in, therefore necessary to find other planets where human life can be extended and protected from imminent extinction. In one of the scenes in the movie, a “Ranger,” a small spaceship detached from the mothership “Endurance”, lands on Miller’s planet. The planet is located near Gargantua (Thorne, 2014, p. 114), a black hole (sphere) where

everything is absorbed by a strong gravitational pull, like the horizon and even light. After descending to this planet in the “Ranger”, one of the main characters and pilot of that small spaceship, Cooper, urges his team to rush. Cooper addresses his team with unusual urgency because the timeframe offered by Miller’s planet is inexcusable if considering the impact that time and space have on humans: “Go, go, go, go, go! Seven years per hour here, let’s make it count.”

Compared with Earth’s timeframe and gravity pull, considering the impact from gravity in place, space, and human bodies, descending and being on Miller’s planet, would ‘slow up’ the (internal) human clock, if compared to Earth conditions (less gravity), if a similar clock was ticking there. The movie illustrates three aspects:

1. There is a link between space, place, and time, something that can probably be found when reading about the use of the cabin, if related to the city urban environment;
2. This link is associated with conditions, external and internal, which create a base for the argument that forest and city are interconnected.

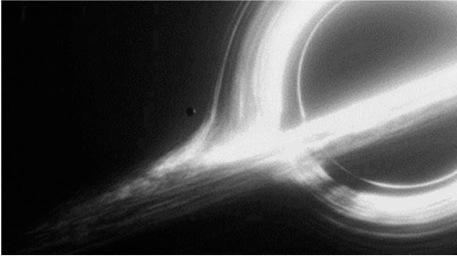


Figure 1. Still from the movie “Interstellar” – Miller’s planet (up left) and Gargantua. Image courtesy @Paramount Pictures (Thomas, Nolan, & Obst, 2014; 2:49:04).



Figure 2. Norwegian cabin in Storeblevegen 433, 3680 Notodden – detail view from outside bathroom/storage space (left) and main construction. Source: author, 2021.

3. Human perception (visual and symbolical), derived from the biological review (human ergonomics and human mind), is associated with time, therefore, is related to a time-space-place linkage.

Because time is universal, it is a measuring method to trace a perception influenced by space, and by biology, and senses. The human body can correlate to this as an interpretation of what is happening, something implicit in an eventual personal performance, personal appropriation of the event, of the place, or the space. When a person travels a space, if using the “Interstellar” imagery, or if a person goes through space, to use the cabin metaphor in connection with city-cabin-movements, this is related to external and internal conditions. In any situation, despite location, space is there to show it is not abstract, and that every path through it is implicit in a time-space-place framing. “When you go, you don’t look exactly where you go, but where you want to go.” (Lengyel, 2022) To go, is something imprinted in the natural continuity of time moving forward, which will determine the following future, where everyone is going.

Looking ahead to the future involves a condition associated with this movement forward. Somehow

this movement has a core, to be seen as being part of this perception because triggered by human experience. This applies to the Norwegian cabin and its ‘role’, from a cultural perspective, in the Norwegian imagery, and the architectural manifestation of its dimensional aesthetics – design, layout, location (place), architecture atmospheres (aromas, light, color, materiality, shadows). These perspectives are dimensioned by architecture across an architectural narrative. In other words, a time-space frame (how time is counted) can influence the perception of space. If the cabin represents a ‘pause’ in time, i. e., this assumption is more than just a reference to how an individual can distress from the urban environment and its accelerated rhythm. A ‘pausing’ space and place in time is also a reference to the present occurring and the future as being part of a specific chronology entranced by architecture, within the architectural referential and characteristics influencing senses in both edges – the beginning and the end of an eventual timeline. Attached therefore to symbolisms and personal interpretation, i.e., the visual experience (Spence, 2020, p. 2). And to a real ‘pull’ given by the time-space continuity that also has earthly implications.

City dwelling is a possibility across architectural references that are influenced by urban design features, and city atmospheres. The condition proposed in this article, when considering the “escape” from the city to the cabin, and forest, is manifested in accommodating all conditions that determine how time and space are influenced by so many plausible and unplausible factors.

Time is a measure that usually takes Earth’s conditions as a reference. Associated with the conditions that exist there, related to the rotation of the Earth, celestial bodies’ movement (Moon and Sun, more gravity), and the day/night dynamics itself. When we think about the Universe, however, when these conditions change radically, then it is possible to realize that time is also related to space, physical space. And that using the Earth as a reference, the count of that same time is different.

These specific characteristics of spaces, physical, associated with the effects of certain elements, such as black holes, gravity, speed, and distance traveled in the void (interstellar space, or outer space), helps to realize that it is possible to understand the measure of time also as a path an all physical, literal, rather than just a symbolic measure to count past time. If associating this idea with Einstein’s Theory of Relativity, if thinking that time can be considered a “compartment”, that changes in velocity can be perceived in that space and the appropriation of succeeding moments, then it can also be concluded that time connects to space.

In a reading that can be considered ‘elastic’, and that this elasticity, although physical, because it depends on specific conditions and circumstances,

can also be read as symbolic. These two aspects of the reading of time, in conclusion, have an application when the environment is (sidereal) space, and they also have application in what is the relationship between the city and the cabin, the experience of the cabin, which seems to “hold” the space. Time in its perpetual motion seems to stop.

When a human’s biological clock slows down, as when arriving on Miller’s planet, this slowing down on one side is acceleration on the other. This allows at least to argue that there is a kind of universal reading of a time as a measure, which is linked to the physical temporal space, and which can also be understood from the experience of living in the Norwegian cabin.

There are very strong suspicions now, that time could eventually be read as the eventual fifth dimension, and that this dimension is, in fact, physical. That time is a kind of mass, something like a chronological line, imperceptible but existing dimension, where a movement of/about everything that exists is kind of inscribed, and hence the reading of time as a physical measure, in addition to being symbolic. This is related to the idea of being able to see time as a place, on which all films about time travel are based. And the possible consultation of previous and possibly later moments within that mass or chronological line, with a kind of lens that opens that possibility.

What this may also mean, considering what is described in the film “Interstellar”, is that it may be possible to understand this temporal measurement, or measurement of time, concerning the place where it is measured. In other words, time passes, it is read, and when we move into the middle of the Universe, in which all the conditions that determine this way of measuring change, we can then perceive that it will be possible to understand time more as a condition and least as a just a measure. It is as if we had a ruler to measure a distance. This ruler has an extension, of millimeters, and can measure in any direction, to a certain extent. If thinking the ruler measuring in all directions, with just infinite ends, then the ruler is a measuring instrument that can give information about a specific reading, at any time, in any direction, over any spectrum.

This could mean that time has that flexibility, which is why when close to the origin (or black holes) it can be said to be zero, if reading the beginning of the Universe, in light-years and perceiving that instant as a start, this beginning is not only time but also place. And if it is also a place, as suggested by the effect of black holes, as suggested in the film “Interstellar”, by the massive black hole “Gargantua” (Figure 1), it is then possible to argue that all places, including the space and place of the Norwegian cabin, can have a kind of temporal reading associated with them, which always refers to their specificities related to their location, design, architecture,

and connection with symbolic values (person interior background), rather than just external conditions, even if also important.

How the Norwegian cabin was framed and how it impacts continuities in space and time

Let us use then an example about the Norwegian cabin, hytte, and the compartmentation of time and space on the frame city-cabin-city. For that analysis, we will consider one testimony from who has been doing that movement, reflecting on his conclusions about how important he thinks the cabin is for him to focus and recenter himself.

With one home in Oslo and one in Nesodden, I, fortunately, have the opportunity to live out several aspects of myself [...] In the city, I cultivate the urban and social. [...] At Nesodden I have time to enjoy my surroundings. [...] It makes it possible for me to endure life in the city better. (Eli Støa, 2014, s. 2)<sup>1</sup>

If we consider the theory about extreme time dilation (Witze, 2014), that proves the possibility of reading time in a ‘dilated’ perspective, as described in the movie “Interstellar”, an assumption based on Einstein’s theory and following studies, there is a beginning and an end in this timeline that is a representation of the movement of time, in a several steps path. It is possible to call that beginning-ended moment, the present. Other information to consider, are some aspects of time that will correlate to the Norwegian cabin, and finally to the possible readings condensed on its architecture, location, and connection to the city. First, is the importance of the “present”. Second, its ‘path’ to the established future (meaning and what happens). And third, how to read time as a dimension (fifth).

If time is a ‘dimension’, as suggested in the movie “Interstellar”, then this dimension has boundaries, and these boundaries can differ. Paraphrasing, time can stretch or shrink. In other words, if at a larger scale, in the outer space Universe where dimensional perspectives of time relate to different environments, and the specificity of what Outer space is (conditions: no gravity, mass gravity, gravitation pulls from planets, shadows, silence, time slowing down, etc.), it is then possible to understand time dimensional scale-out from that larger spectrum, considering Earth’s environment, associated with the cabin and the city. And to the idea of time slowing down when we experience those atmospheres, in comparison with living inside city motion,

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1. «Med én bolig i Oslo og en på Nesodden har jeg heldigvis mulighet til å leve ut flere sider ved meg selv [...] I byen dyrker jeg det urbane og sosiale. [...] På Nesodden har jeg tid til å nyte omgivelsene. [...] Det gjør det mulig for meg å holde ut livet i byen bedre” (Intervju med Grethe Kjensli i Henne Interiør, september 1999) – interview with Grethe Kjensli in Henne Interiør magazine; author’s free translation from Norwegian, 2022.

or in the city center. That has to do with how past, present, and future are interconnected. And perception:

In his book, *The Fabric of Reality*, David Deutsch remarks how odd it is that every moment in time is the “present”. As he says: “We do not experience time flowing or passing. What we experience are differences between our present perceptions and our present memories of past perceptions. We interpret those differences, correctly, as evidence that the universe changes with time. We also interpret them, incorrectly, as evidence that our consciousness, or the present, or something, moves through time. (Andersen, 2020)

If, as mentioned before, what Einstein thought was real, that “time is an intrinsic property of the Universe”, is truth as it seems, then it also applies to Earth and Earth’s environment flow of time. Because no moment is more privileged as being more “now” than others, no position is privileged as being more “here” than other positions. This indicates that “here”, as subjective as it is, may move through space, as the observer also moves. (Deutsch, 1997, p. 367) On the other hand, the flow of time has to do with a personal interpretation of conditions and conscience. Our conscience seems to move forward in time, through moments, which is something that does not happen. What happens instead, is something related to the “common-sense theory of the flow of time.” So, if it makes no more sense to think of a single moment, we are conscious of, and if nothing can move from one moment to another, it’s possible to say that: “to exist at all at a particular moment means to exist there forever. Our consciousness exists at all our (waking) moments.” (Deutsch, 1997, p. 308) Time does not need to be stretchable in the Universe to be considered a flow since our perception is what establishes a difference between past and present perceptions. (Deutsch, 1997, p. 368) Of course, those differences are interpreted as a manifestation of change occurring in the Universe. That has to do with the Universe being changed with time. And has less to do with any evidence given to our conscience confirming that the actual present moves, in fact, through time.

The consciousness of the past-present-future hints is, as mentioned, related. And perception is the most important aspect of this appropriation of place and space, in time. What is then there, in the cabin, to be absorbed and accommodated, is part of a wider personal perspective of things. Has to do with what architecture represents, not only as a practice but also as a dimensional visual description of things among space tridimensional impacts. In the case of the cabin, this visual impact is addressed through atmospheres in architecture, and several characteristics that are “an intrinsic property”, to paraphrase Einstein, of the place the cabin is inserted in, of the ability to do the movement in Nature, into the cabin,

from the city center. Following the flow of time ‘decreasing’ pace. As suggested in the beginning, among the existing link between the city, the forest (or woods), and the cabin. The simpler life. (Butenschön, 2018, p. 182)



Figure 3. Path, route to the Norwegian cabin in Storeblevengen 433, 3680 Notodden – view over water and haze from a small wood bridge placed over the rocks and landscape. Source: author, 2021.

If the metaphor of the Norwegian cabin would be associated with the metaphor of the movie “Interstellar”, one could state both metaphors are diluted in the timeframe where they are placed. The cabin has its ‘signs’, or representations: no electricity connected to the main source, no tap water from a network, no bathroom in the main building, but the existence of a separated one outside the main building. A cabin is placed alone in the landscape; sometimes it can also be a group or agglomerate of small, interconnected buildings, some placed outside the main principal building positioning. Something which consolidates a return to the ‘main source’. Usually, the living room, which works as an axis link to the other constructions, is the place where everything happens. Both cannot work alone, and this ‘connection’ is a functional disposition based on feeding elementary needs - food, social, reading, and rest (naps). A typology that creates an internal patio disposition, connecting all spaces in one area. To summarize, a set of small buildings, or space divisions, are designed and placed, creating an internal, transformative patio with bedrooms, bathrooms, kitchens, collective rooms, or living spaces in a logical ‘flow’.

Whether this *hytta* is located on the mountain, close to the water – near a lake, or the sea, therefore at a lower altitude, whether it is just an isolated *enkler* house. A house inserted in the deep forest, simple (from *enkel*), with an architecture design reduced to the essential. A living room, a space to cook nearby, a small alcove in-between, maybe separated by an open wall. A lavatory in the entrance, is

also separated, but every other space is aggregated as a unique open space with a few windows, so light can enter that one 'operating' living room. Bigger or smaller, those principles that determine that the use of the cabin is based on the option of a reduced sophistication from the comfort given by dwelling in the city, are the same whether the size of the Norwegian cabin.

The hyperbolic time is related to how time dilates and the separate dimension of its reading away from Earth's conditions. That can be denominated also as 'time of being' because it is a derivative condition of self-appropriation of place and space. Relates to the flow of time and its consequences on the construction – marks (signs) of time. Somehow, this will link with heritage, and the condensed time manifested in the age of the building, furniture, and colors, and is implicit in the referenced technologies used in constructing the cabin. Architectural efficiency, in both technical and visual aspects that frame the cabin design or layout, and all those marks or signs, will therefore support a subjective and symbolical reading of the building, something that will then be manifested as 'material' to value that space, and place. That is why Nature is so relevant when considering a study about the Norwegian cabin. The cabin, even if isolated, is not alone as the purpose or goal, because the path to the cabin is the same way relevant.

Contact with Nature, an 'original' purpose educated from an early age by family and in schools, is here manifested in adulthood when going into that same Nature – an unchangeable reality. This time as a relief to recenter the adult self, to return to that original device, connected now with the option to choose an easier life, for instance, with its perceptions, requirements, and purposes. Where it links to memory because the simpler life is the recentering life that somehow works as a retreat in time. Because accepting the traditional value of using the cabin as a device, something proposed by nuclear family habits, and always opposing city motion.

Norwegian simplicity may eventually become a national myth, a picture of an innocent utopia, but it left a lasting mark on building customs. As soon as we could, we Norwegians went out to the cabin in the country, out towards the sea gap or up the mountain, and cultivated the down-to-earth and predictability, the distance to everyday life. We got an architecture for leisure, for life out in nature, with houses that stood in the style of woodcutting and water-bearing, paraffin lamps and log chairs in pine, the coffee pot in the fireplace, and crispbread with brown cheese straight from the kitchen counter. (Butenschön, 2018, pp. 182-183)<sup>2</sup>

Aesthetical value has, in our days, a meaning that is sometimes exaggerated. The cabin, as it has been referred to, incorporates a contemporary referential with context, based on tradition 'landed' in a landscape, and somehow because of the aesthetical experience in the territory. It is a "space of scent" (Pallasmaa, *The Eyes of the Skin - Architecture and the Senses*, 2005, p. 55), a "space of touch" (Pallasmaa, *The Eyes of the Skin - Architecture and the Senses*, 2005, p. 56), silence, and 'fragrance' for memory, associated with textures and geological connections. Punctuated by an in-built "embodied experience" (Havik, 2016), is dependent on an individual interpretation. This is one of the most important factors when considering how the cabin operates as a decentralized architectural element from the city center, accordingly to how people use it and establish a personal link with that space, because 'confronted with an emotional interaction in the framework of their mind. (Bob Condia, 2020, p. 3) For this reason, associated with an idea of safety (safe space) and shelter. The cabin holds an open curtain between reality and time, the past and future are condensed into that space and place. And because time is, therefore, a condition there on hold, the movement from the city-cabin-city can there be read widely, up to the in-transition symbolical and physical apprehension that incorporates both time, space, and place in the same 'equation'. That place on hold is in rapid transformation because also influenced by external conditions – that are a result of that location. Instead, at a symbolical and perceptual understanding, it is eternal, its roots are deep, and every single image framed on that 'script' is tangible.

Looking ahead and walking within different time-lines, reading the Norwegian cabin as an architecture mediator

For that reason, time seems suspended when one is in the cabin, in-cabin surroundings. The cabin protects, its metaphor belongs to a system about contemplating Nature and acting on it. To take care of the construction, to acquire wood for the ovens, to

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byggeskikken. Det var en nyttig myte, den fremmet sosial anstendighet og økonomisk moderasjon samtidig som den bygget et nytt samfunn etter krig og usikkerhet. Ornamenter, dristige farger, dyre materialer, oppblåste polstrede møbler og store rom tilhørte byene og borgerskapet, og minnet om en selvbebreftende estetikk av landene lenger sør, med adel, overklasse og gamle penger. Så fort vi kunne, skulle vi nordmenn ut på hytta på landet, til sjøbrekket eller på fjellet, og dyrke jordnær og forutsigbarhet, avstand til hverdagen. Vi fikk en arkitektur for fritid, for livet i naturen, med hus som var inne, for livet ute i naturen, med hus som sto i stil med vedhugst og vannbæring, parafinlamper og kubbe i furu, kaffekjelen i peisen og knekkebrød med brunost re kjøkkenbenken.» (author's free translation, from Norwegian, 2022).

2. «Norsk enkelhet kan etter hvert bli en nasjonal myte, et bilde på en uskyldig utopi, men den satte et varig preg på



recollect water for the facilities and drinking, to take off vegetation or snow regularly, in different seasons, so each path to access the cabin is open and ready to use. These actions, summarized, work as a symbolic return to the origins. It is in the cabin that a compromise with space in its roots is assumed, to take over external conditions, and time itself relish on these conditions, to be holding back and structure the recentering positioning.

The stories of our lives are recorded in the spaces of our lives. Narratives, of course, unfold in time, as do all efforts to maintain and preserve our built heritage. (Leatherbarrow, 2018, p. 212).

The Norwegian cabin is the place where a compromise with oneself is assumed. The path into the cabin is part of that mechanism of comfort. If made walking or driving and walking, the path is referential to feed memory and consolidate an idea of secure sheltering to maintain existence in the range of a contemporary motion – in the city, coming from the city, and seemingly stopping there, before the forest starts to densify, or dense masses of water (lakes, sea), reflect every single detail from its surroundings. Life is difficult with very much action and answers to solicitations, so knowing that it is most needed to work hard and have a living, at least it is best to produce some sort of harmony within the process of going to the cabin regularly and assume its role as referential to induce a self-conscious process of growth, building up a personal ‘surface’ to protect oneself. The Norwegian cabin then makes existence very much more bearable, as a quotation from Juhani Pallasmaa (Pallasmaa, 1996, p. 50) recognizes:

Architecture is the art of reconciliation between ourselves and the world, and this mediation takes place through the senses. (Spence, 2020, p. 2)

The Norwegian cabin is, therefore, the architectural space that triggers this ‘reconciliation. Layout disposition, type of wood, color, aromas, and the intensity of leaving behind the weight of daily routines (as ‘waste’) are what form the image of a time that is suspended in space. Not only the details about a visual perception from the eye retina (Gavriel Slavendy (Editor), 2012) but much more is associated with a ‘de-focus’ from the routine center and a ‘re-focus’ on something else. Its capability to mediate multiple sensory perceptions is at the surface of its value as a mediator. If reading the ergonomics layout of spreading the city-dwelling motion, and extending it to a place where it pauses, this cabin is a modern power stage, fixing the in-transition edge from its core departure point in the city, and settling a symbolical understanding of the common (re) search for meaning and meaning in oneself.

## 2 CONCLUSIONS

To summarize, there are several readings about time and space and how these two variables relate because

they can vary and evolve. One thing seems clear, they are therefore interconnected. It was proposed to analyze that variation through the senses, and the movie “Interstellar” (Thomas, Nolan, & Obst, 2014) was used to consider those aspects of time and how its variability can extend and distend through environments and conditions. Einstein’s theories about Relativity were also mentioned, and observation among the reading material included in the construction of this movie script was adopted. Parallel materials were considered to understand if time is just a measure or something else, an entity, a reference, or even a compartment inserted in a historical mass that accommodates every event, so the Norwegian cabin metaphor could be read as a space in a timeline much wider than what is being read.

Time is a universal condition, it can be argued, that affects everyone and everything. The movie “Interstellar” recreates very deeply this condition when presenting time across several dimensions in outer space. Something that, as referred to, affects how humans see themselves and age. So, if time is elastic enough to slow down and accelerate in the outer space, as a palpable condition, it can be argued also that time is expandable as a condition to the Norwegian cabin metaphor and the in-transition reading from the city, i.e., if time has also something that the ‘mind’ absorbs, as physical space sensibilities suggest, it can then be applied as a condition to the Norwegian cabin metaphor.

Since ‘time’ it is not exclusively the fifth dimension in outer space, but something that can eventually be ‘compartmented’, that condition, or ability, that is physical (literal) and symbolical, has several possible observations. In the cabin, for example, because it is a place (and space) that ‘holds’ up time, in a suspensive motion. Time here affects the daily routine, ‘decelerating’, at the symbolical perception. That condition, in the movie, proposes a super acceleration to conduct the research for a foundation of new civilizations on other planets than Earth. Where time continues going forward, even if at a completely different pace. If the referential changes, context is also transformed; this is what is possible to conclude.

But the perception of context and referential, in different conditions, atmospheres and environments, also changes. This is something applicable to the experience of the cabin, or *hytte*, in the forest, because time is compartmented to an apparent halt. Therefore, the sensation of deceleration seems to be provided by the natural dimension of time (and its counting) as a measure, yes, with different readings, in different places. And, by how one appropriates space and place, in a symbolic reading.

If time in the center of a black hole is zero, from the referential clock that counts time everywhere – if that existed –, that condition is what can be considered the origin. It affects everything and everyone.

It holds existence to a halt and pushes those boundaries that determine the existence of a timeline in History. The access to a condition of self, that the Norwegian cabin suggests, is something not only interesting to evaluate because of its availability, but because its primary heritage, or historic value, pounds the result of the existing equation to the condition that is provided by a space where peace of mind is achieved from the city dwelling.

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# Social housing as a response to housing needs; the case of Biccari neighborhood in Foggia

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**ABSTRACT:** The theme of “home” and its implications is a central issue in the Italian political and cultural debate. However, this debate seems to have shifted the interest from a more pragmatic approach that saw the house as a simple good of shelter to a more complex one, which sees the house as the “result of a complex network of material and immaterial, social and economic relations” [Ricci, 2008]. The paper investigates the “housing problem” in a specific context of the municipality of Foggia, referring to economic and social housing. After a brief excursus on the urban development of Foggia, which led to the creation of residential satellite districts, the case of the Biccari district is examined. The district for consistency and conformation of economic and social housing compartments stands as an interesting experimental design area. The purpose is to propose possible scenarios for the redevelopment of a neighborhood with strong polarities but is currently configured as a dormitory district. The idea of proposed regeneration starts from the analysis of the possible type of users and then the definition of possible housing scenarios that can give a new impetus to the area under study and optimize public housing that is currently underutilized. This leads to the proposal of intervention on the entire body of the neighborhood with the optimization of the existing and the completion of some urban voids with new buildings in which to operate with a housing mix that is capable of transforming the entire neighborhood into a co-operating community.

**Keywords:** Affordable housing, Living space, Regenerative process, Housing needs

## 1 INTRODUCTION. THE CITY OF FOGGIA AND THE HOUSING CRISIS

Foggia is the third most populous city in Puglia and the second by extension. Some circumstances mark the urban development of the city, among which the most important are the earthquake of 1731 (which destroyed much of the old town), and the heavy bombing suffered during the Second World War. The city, therefore, in the course of its history, has had to reinvent itself and rebuild. The philosophy undertaken was to maintain unchanged the urban layout of the nineteenth-century city (divided by the railway), favoring the development of new peripheral areas that were conceived as rural villages. These areas of expansion were characterized by two founding factors: the clear separation between the areas of economic and social housing and the private ones and a partial implementation of the expansion plans with the only realization of residential areas (both public and private) to the detriment of services and green areas. This, combined with the lack of new public housing, has led to the emergence of a growing

condition of discomfort, ghettoization, and social exclusion.

Today the city of Foggia has a high socio-economic degradation and housing backwardness that led it to cover the penultimate place (106th) among the 107 Italian cities monitored by the dashboard of “Il Sole 24 ore” (Il Sole 24 ORE, 2022) on “quality of life” for the year 2021

Table 1. 2021 evaluation of the municipality of Foggia in the national ranking according to the national dashboard on the quality of urban life (<https://lab24.ilssole24ore.com/qualita-della-vita/foggia>).

Final ranking 2021		106°	-6▼	MEDAGLIA		
INDICATORE	107°	51°	RANK	VAR.21/20	MEDAGLIA	
Richness and consumption	94°	-1▼	0	0	0	0
Business and work	102°	0=	0	0	0	0
Justice and Security	107°	-4▼	0	0	0	0
Demography and society	89°	-79▼	0	0	0	0
Environment and services	100°	-10▼	0	0	0	0
Culture and leisure	94°	-11▼	0	0	0	0

1.1 Overview of the main social housing interventions in foggia

In the mid-nineties, the problem of the requalification of the public housing patrimony fully invested the city of Foggia. In those years, the municipality had to face growing housing and social problems to be included by resolution of the CIPE of 13/11/2003 n. 87, among the Italian municipalities with greater housing tension.

The regeneration process had to deal with a social, economic, and demographic framework radically changed compared to the tradition that had determined the origin of these areas. As is happening in the rest of Italy, the configuration of housing demand was no longer compact, legible, and translatable into clear and defined models, as had happened in the past. The area of housing need, in fact, presented highly diversified socio-economic profiles and ways of life: the elderly, immigrants, foreigners, young couples, students, and large families, unsuitable for access to economic and social housing, but at the same time unable to withstand the free private market.

The municipality of Foggia tried to cope with all this by launching specific interventions of Social Housing. However, these were conceived as punctual and time-limited interventions, and although they have brought positive effects, their contribution to solving the housing problem has been small. The Social Housing projects implemented in this context were aimed primarily at housing assistance activities rather than constructing new buildings and housing solutions. Among the many initiatives, the most significant ones in terms of funding received and social impact on the territory are:

- “I built my house,” aimed at facilitating access to housing through the strengthening of orientation services for social integration and through the testing of new forms of social housing;
- “Re-Housing” aimed at providing access to housing and employment by foreign citizens and immigrant families through a path of self-renovation of some living spaces;
- “Welcome to my home” aimed at accompanying people who live in situations of fragility and economic disadvantage through paths of re-acquisition of financial autonomy to allow the possession and maintenance of the house.

Comparison with the regional public building framework.

Today, in Apulia, most of the public housing is owned by the five Regional Agencies known as ARCA (Agenzie Regionali per la Casa e l’Abitare)<sup>1</sup>

This public housing stock is supplemented by housing owned by individual capital municipalities and a few other more populous municipalities. In this sense, it emerges that the public building stock of Foggia (about 7187 accommodations in 2012) is about 60% of that of the regional capital (Bari had 11772 in 2020) but is equivalent to 11% of the entire public housing stock of the region (about 65441 accommodations).

At the same time, calculating the incidence of the public building stock regarding the overall housing quotient of the individual capital municipalities and regarding the number of families living there, it emerges that the public building stock of Foggia comes to house 12% of resident families and corresponds to 13% of the urban housing stock, resulting, in this sense, in terms of incidence higher than that of the regional capital (equal to 9%). This datum, while on the one hand, justifies and confirms the strong socio-economic impoverishment of the reality of Foggia, also highlights how structural interventions to enhance the public housing stock can affect a significant percentage of the local population, being able to provide effective support to its socio-economic and cultural growth.

Table 2. Analysis of the public housing stock of Foggia in relation to the housing stock of its territory and other municipalities in Puglia. Source: Author.

	BARI	FOGGIA
ARCA Public Houses (ORCA)	8653	5090
Municipality Public Houses	3119	2097
Total Public Houses	11772	7187
Percentage of municipal public housing compared to total regional public housing stock availability	18%	11%
Residents (ISTAT 2016)	324.198	151.726
Number of households (ISTAT 2016)	137.099	58.469
Availability of municipal public housing compared to the number of households in the municipality	9%	12%
Total number of houses (ISTAT 2001)	131.497	55.926
Number of private houses	119.725	48.739
Incidence of public assets on housing stock	9%	13%

1. These Agencies were established in 2014, with R.L. No. 22, following the transfer to the regions of the housing assets of the National Agency IACP (Istituto Autonomo Case Popolari), to ensure greater financial, organizational,

patrimonial and technical autonomy in the implementation and management of housing services.

## 2 THE ARCA ASSET OF THE CITY OF FOGGIA

The city of Foggia has an urbanized area of about 135 square kilometers, and it is divided into 21 districts. From the analysis of the building consistency and the state of conservation of the buildings owned by the ARCA, carried out on direct detection of the data of the agency “ARCA Capitanata,” it appears a homogeneous distribution of assets in almost all districts.

ARCA’s 11,292 housing units can be essentially categorized into four different construction periods:

1. *period 1933 -1956* (corresponding to the last phase of the first INA-Casa seven-year period), with 73 buildings (equal to 21% of the public housing stock of ARCA in Foggia);
2. *1956-1963 period* (corresponding to the second INA-Casa seven-year period), which coincides with the coming into force of the Rutelli-Vitale PRG, with 153 buildings (equal to 44% of the public housing stock of ARCA in Foggia);
3. *period 1964-1992, up to the coming into force of the Benevolo PRG* currently in force, with 102 buildings (equal to 29% of the public housing stock of ARCA in Foggia);
4. *period 1993 – up to the present, with 18 buildings* (equal to 6% of the public housing stock of the ARCA of Foggia)

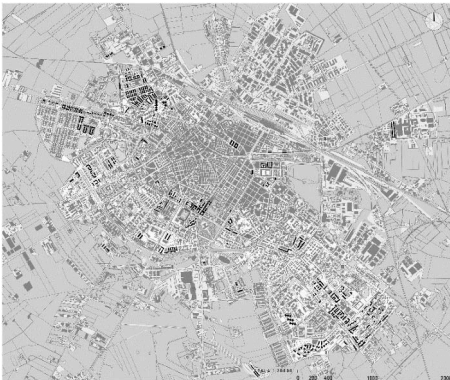


Figure 1. Distribution of the public housing stock in the city of Foggia.

Thus, most of the buildings belong to a construction period between the first and second INA-Casa septennia, and only a small portion of this asset has been alienated over the years.

From this picture, it emerges how Foggia, in line with European and national policies, has received, especially in the post-war period, considerable attention in terms of public housing, thanks to the action of expansive policies, able to provide a significant

number of affordable housings with good housing standards (Balchin, 1996).

This expansionary phase was followed, starting in the 1970s and 1980s, by a substantial withdrawal of the state from direct intervention, the decentralization of responsibilities from the central government to local governments, the tendency to privatize large parts of the public housing stock, the deregulation of the private housing market and the political preference given to the expansion of homeownership, with the consequent contraction of the rental sector (both social and private). This condition has favored the supremacy of the market as the prevailing distribution channel of housing (Edgar et al., 2002) and has favored the economically strongest social groups while penalizing the most vulnerable, often unable to find a satisfactory housing solution on the market at affordable prices (Palvarini, 2010).

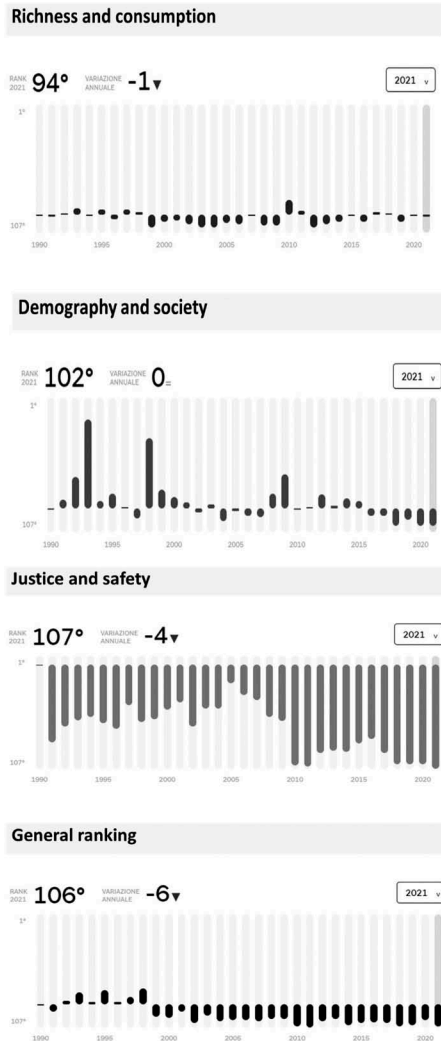
This phenomenon overlapped perfectly with the process of progressive loss of social stability in the city of Foggia. In the period 1990-2020, the reduced wealth and low rate of consumption of its inhabitants (Tab. 4a) associated with the increasingly low rates of employment and business growth, but also with a rapid increase in the rates of youth dispersion (Tab. 4b), has led to a progressive increase in social safety problems (Tab. 4c) and a general lowering of the quality of life that has led Foggia, according to the quality of life ranking of Il Sole 24 ORE (The Sun 24 Hours, 2022), to the penultimate place (106th out of 107) of the national rank (Tab. 4d).

The dramatic dimension of this phenomenon of loss of quality of urban life has an obvious reflection in the growing public housing needs of the city. The correlation of regional data on co-housing households and households in improper housing (ARCA Capitanata, 2012: 75) reveals the absolute criticality of Foggia’s condition compared to the entire regional picture. In particular, reading some data on the housing emergency of the Municipality of Foggia detected by the ASA Programming following the deliberation of the C.C. n.102 of December 13, 2004, having as object “Housing emergency. Approval of the agenda”, it is observed that approximately 656 families live in improper lodgings and that, overall, the evaluation of the housing emergency leads to consider that not less than 2,500/3,000 lodgings are necessary to face the requirements of as many families (9,000 inhabitants) that are in a condition of urgency (Karrer, 2005: 33). These values are much higher than those found in the other provinces of Apulia and much higher than the national figure.

Towards an interpretative model of public living.

The process so far described highlights four different levels of attention from which as many design paths are derived.

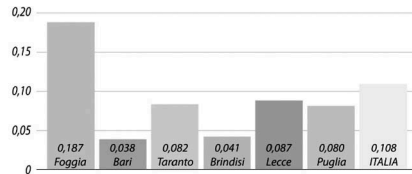
Table 3. Classification of Foggia according to the quality-of-life dashboard parameters in reference to the period 1990-2021. Source: (Il Sole 24 ORE, 2022).



1. A high level of inadequacy of the available public assets in relation to the city’s housing needs. This need cannot be quantified by relying on a linear statistic comparing Foggia to other cities of equal size. This need is, in fact, all the greater the lower the quality of life and the lower the socio-economic condition of a specific urban reality and varies extremely strongly as the specific features of the individual urban districts in which a city is divided vary.  
 The answer to this first question lies not only in increased public investment but above all in the

Table 4. Regional Comparison of Cohabitation Indices and Regional and National Comparison of Improperly Used Housing Index. ISTAT 2001 census data. Source: Arca Capitanata, 2012: 75.

PROVINCE	Housing conditions		Total
	In cohabitation	Not in cohabitation	
Foggia	1.431	234.149	235.580
Bari	1.788	524.000	525.788
Taranto	711	199.104	199.815
Brindisi	1.043	140.462	141.505
Lecce	1.961	273.709	275.670
<b>Puglia</b>	<b>6.934</b>	<b>1.371.424</b>	<b>1.378.358</b>



- construction of incentives and concessions in favor of a massive involvement of the third sector in the creation and management of new generation “public condominiums.”
2. The high age of much of the city’s public housing stock. Over 55% of the houses in question date back to the 1970s. Their technical, energetic, and plant engineering quality is very low, and, most times, the advanced state of material degradation not only affects the social stability of the families housed but, even more concretely, their well-being and physical safety.  
 It is essential, in this sense, to invest significant resources to be dedicated to the technical, plant, and architectural regeneration and the extraordinary maintenance of this important heritage.
  3. High attrition in housing reallocation. This condition is strongly conditioned by the misalignment between the life cycle of households and the timing of housing reorganization. This very often leads to two opposing conditions: on the one hand, large apartments inhabited by elderly couples, with the consequence of a strong under-utilization of public property and with high management costs (especially energy); on the contrary, there are small apartments inhabited by young couples in the phase of family expansion with obvious phenomena of housing overcrowding. In both cases, therefore, a condition of strong housing deprivation is determined.  
 As a possible solution, it would be necessary to activate immediate housing scheduling and monitoring processes that allow a rapid facilitation of housing exchange associated with the guarantee of rootedness within the social context (neighborhood) of belonging.

4. A strong lack of equity of treatment in the satisfaction of housing needs. We often forget the condition whereby different social, cultural, and economic groups have different needs and require different social, cultural, and economic support instruments. Just as often, we forget that different age groups have special housing needs that make them more or less fragile in relation to the urban context, the type of services offered, and the assistance they can count on.

A more appropriate solution would be, for example, to guarantee individuals living alone (young people, students, the elderly, divorced people, or couples over seventy) essential housing with spaces for collective living and social interchange in which to guarantee assistance and support at home, or, for single-parent families with children, the availability of housing in complexes with the presence of spaces and associations (or even social networks) to support the assistance and accompaniment of children.

Regarding all this, it is impossible to think of adopting a unified housing solution for all the conditions highlighted or, even less, a specific solution for each of them. The result would be that of a total ineffectiveness of the solutions adopted (even in the presence of considerable public investment) as happens more and more often with public intervention policies or, on the contrary, the economic impossibility by the public to deal with a problem of similar dimensions with the consequent immobilization of the public administrative machine.

Pursuing a settlement model based on social housing (managed by the third sector and co-financed or facilitated by the public), widespread (and not concentrated in closed urban sectors), integrated (inserted in the continuum of the urban fabric made up of private housing) and diversified (through the use of a typological-housing mix), it is possible not only to face the housing emergency by maximizing public economic resources and available space but also to avoid strong concentrations of fragility and social degradation that would inevitably take root in that urban context and expand to the point of affecting the future of the entire city.

The tool of typological-functional diversification of buildings (housing, co-housing, collective housing, ...) associated with the mix and the construction of specific levels of interaction between various categories of needs and resources (housing for the elderly or single-parent couples crossed with those for students and casual workers, for example, can allow the development of networks of mutual support and social support of extraordinary interest for the construction of operating from the bottom community) is, without doubt, the most useful tool to ensure not only the mere satisfaction of housing needs but also to ensure an effective growth of the community.

This theme is, on the other hand, very different from that of the typification and separation of different categories of needs that lead to the construction of houses for the elderly, student housing, co-housing for divorced people, and that inevitably leads to the emergence of marked forms of segregation and isolation of individual social categories identified as fragile and abandoned to their own fragility.

From all this starts the scenario of a technical design not only of the single building but also of the individual urban districts that characterize each city. Every single neighborhood or urban sector presents, in fact, for the social specificity that characterizes it and for the singularity of its built fabric, of the spaces and public functions enclosed in it, a condition of uniqueness that becomes over time attractive to other categories of inhabitants but also able to transform this specificity in an engine of acceleration and development of the entire urban community.

An exploratory intervention: the Biccari district as an example of a form to be inhabited.

In order to show the effectiveness of a regenerative approach that starts from the dimension of the neighborhood and operates within its urban specificity, an emblematic case study is that of the Biccari district.

The neighborhood is located north/west of the city's urban development. It has three important polarities with high potential for the development of the neighborhood and the social revitalization of the entire city. These three polarities are:

- the “Ospedali riuniti” Hospitals of Foggia;
- the Biomedical Pole;
- the University of Agriculture.

These three important poles create a housing demand made up of users who stay in the city of Foggia for a limited but temporally variable time, according to the specific category of user, from a few days to an entire year. These city users are, in the specific case, university and medical workers (students, nurses, doctors, university teachers) and family members of hospitalized patients. Such a wide range of users requires a form of housing that differs from the traditional housing concept. This must be able to adapt to the different needs of users in transit but also able to build links with the context (social and urban) not only to allow their adaptation (feeling part of a social network) but also to try to produce benefits for the communities of the neighborhood.

The choice of the case study has therefore fallen in the Biccari district for the particular condition of these housing requests and a condition of underutilization of public housing. These, in fact, are composed of 90% of buildings in line, with housing between 80 square meters and 100 square meters, and an occupation that sees the prevalence of households with less than 4 users.



The public properties of ARCA Capitanata are concentrated in three compact compartments, which we can identify through the main streets on which they face: via Ugo La Malfa, via Nicola Patierno, via Martiri di Via Fani. The construction period of the three compartments is between 1964 and 1994, with a prevalence of buildings of 4 floors above ground, all in line and with a frame structure.

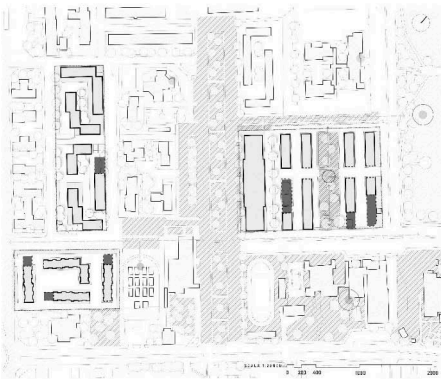
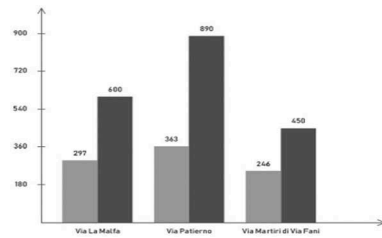


Figure 2. Distribution of the public housing stock in the Biccarelli district.

The resident population in these areas is investigated through demographic analysis, aimed at understanding the family consistency in terms of numbers and anagraphical age of the members of each housing unit. Data show that most households (75% for Via la Malfa, 78% for Via Patierno, and 73% for Via Fani) are composed of 1, 2, and 3 users, with an average age of over 60 years. In particular, starting from what is reported in the R.L. n. 10 of 2014 in relation to the average number of users in relation to the surface of the housing and comparing the housing quotient expressed by the existing surfaces with the resident population, it shows a use equal to 50% of the residential capacity of all the public housing stock here present. We are, in effect, in the situation illustrated in the following graph:

Table 5. Comparison of actual (light) and potential (dark) users in the three-building subdivisions.



From all these aspects starts the proposal for the redevelopment of the neighborhood and its public property. Therefore, the key aim of the proposal is to redefine or increase the public housing quotient of the neighborhood, aligning it with the functional and social needs of the area under study and simultaneously providing the neighborhood with some community services.

The proposal is based on the possibility of implementing the cubature of the district through the inclusion of volumes functionally, spatially, and dimensionally diversified according to the individual compartments of intervention. For buildings with ground floor pilotis, the intervention of redevelopment and reuse of space includes the creation of a building basement whose new volumes are allocated to complementary services of living and public services in the neighborhood. In the first case, we talk about complementary services to the housing function (such as laundries, co-working spaces, bike-parking, and multipurpose spaces), while in the second case, we talk about commercial spaces to support residences.

The housing issue is addressed in two distinct ways:

1. The re-functionalization of existing buildings through the redefinition of housing surfaces
2. The realization of new cubage in the urban voids identified in the immediate vicinity of the buildings under consideration.

### 2.1 The re-functionalization project

The phase of redistribution of the net usable surface of the existing buildings was based on the insertion of additional volumes in the facade to expand the net usable area, insert more housing per floor, and provide each housing with outdoor spaces (balcony/loggia). This redistribution and optimization of surfaces have been achieved with double action:

1. redistribution of a typical plan leaving the accommodations with their original surface but optimizing their distribution inside;

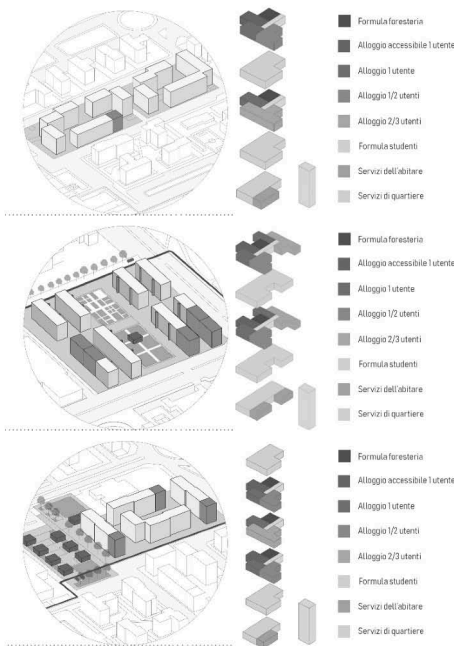


Figure 3. Identification of the re-functionalization and new building interventions and the different types of building and urban additions taken into consideration.

2. re-functionalization of the typical floor by inserting additional surfaces/volumes to allow an increase sufficient to insert 3 accommodations per floor.

These three accommodations are divided as follows: 1 accommodation for a family of 4 users, 2 accommodations for small nuclei (1 or 2 users). The accommodations in question have been configured as traditional housing, with living area and sleeping area, optimization of distributors, and insertion of two toilets. The increase in volume has been placed

on alternate floors and configured as bow windows and balconies/lounges with two different functions:

1. In the sleeping area, this surface expands the bedrooms by providing them with a study.
2. In the living area, it is the kitchen-dining area that benefits from the additional volume. These areas are related to the living room through an open space. The compromise reached in this new configuration of the existing building has seen, however, the organization of the living area in a single environment

This policy of punctual volumetric implementation of the building bodies finds its maximum development in the sector of via Ugo La Malfa. The volumetry, in addition, is equipped with an autonomous supporting structure, leaning against the existing one, and compared to the road, produces a continuous and uniform building front, which takes up the colors and shapes of the existing buildings.

## 2.2 *The integration of a new housing quotient*

Choices about the housing types to be built “ex-novo” were made considering the diverse user base identified in Section 3. The structure of the housing form has been diversified by function and use of the dwelling. The starting point was to abandon the idea of traditional housing equipped with its own autonomous functional spaces and open to the possibility that some semi-public functions of living could be shared and/or remodeled according to specific cases. Therefore, starting from the desire to ensure the inhabitant/user’s satisfaction with the “basic needs,” we have aggregated spaces and surfaces, thinking of an organism in continuous change. One of the parameters used was to classify the needs and related living spaces through the levels of privacy required for specific actions. Thus, there was a shift from a more private space, which assumes no level of sharing, to a more public space with high levels of sharing. From this type of study, we thus deduced the spaces that had to remain private and could not change over time.

The useful floor area (230,00 sqm) and the 4 residential floors have been organized to respond to the functional “mixite” principle: accommodation for students/workers with 8 beds and small and medium-size accommodation for city-users/single-parent households/divorced people/self-sufficient elderly people. Therefore, the building is configured with semi-independent housing cells, designed to offer users private spaces of relevance (bedroom, study, and toilet) and shared spaces related to the living area (kitchen, living room, dining room, and terraces). This choice falls on the possibility of creating interaction and sharing between users with shared needs. Generally, the typical plan is organized

with two entrances: one that gives the possibility to enter directly into the common living area, and the other that gives direct access to their private area. The living area has ample space and outdoor terraces. The more private area is not equipped with only bedrooms but is conceived as a personal mini-accommodation equipped with a bedroom, toilet, room adaptable to the user's different needs, and terrace shared with 1 or 2 other mini-accommodations. The decision to allocate larger spaces to individual functions has resulted in the articulation of space more attentive to privacy needs but with high degrees of flexibility. The additional room (not less than 11 sqm) can have multiple destinations, depending on the user who uses the mini apartment:

1. Study for a student;
2. Bedroom for a child, for divorced parent who occasionally takes in a child;
3. Bed for grandchild/children/caregiver, for an elderly self-sufficient person;
4. guest room for a young couple;
5. Relaxation space for a single working person.

Next to these types of the standard plan, some mini apartments (which sometimes take the configuration of studio apartments) have been associated, including a living area for all users who do not wish to live, even temporarily, in a condition of sharing some functions. Finally, we tried to give an answer to the “gray belt” population that is the bearer of new needs but cannot find an adequate response in the current real estate market.

### 3 CONCLUSIONS

Therefore, the choices of intervention are based on the re-functionalization of the existing heritage through punctual interventions and on the new building of the urban voids next to the pre-existing ones. This process has led to an increase in the housing quotient, and a better correspondence to the needs of users referred to that sector. Moreover, the minimal accommodations equipped with shared spaces have allowed settling in the new construction, with the same useful surface compared to traditional accommodations, a greater number of individuals.

Therefore, the re-functionalization of the existing has led to the creation of 150 housing units (against 120 units initially present), with an increase of 25% in the number of apartments in the same buildings. The accommodations have been divided as follows: 60 accommodations for 5 users (40% of the total), 60 accommodations for 1/2 users (40% of the total), and 30 accommodations for 4 users (20% of the total). This has made it possible to reallocate the

smallest families who already lived in the building to different housing solutions according to their size, but always within the building they initially lived.

The new buildings (5 in total) were instead organized as mini apartments with shared functions (in particular, the spaces of the living area). These aggregations and sharing of functions have allowed to produce, with the same built volume, a higher number of accommodations (70 accommodations) compared to the previous solution. These accommodations have been divided as follows: 10 accommodations for 8 users (14%), 30 accommodations for 1 user (43%), 20 accommodations for 1/2 users (29%), and 10 accommodations for 2/3 users (14%).

The comparison between pre- and post-intervention brings the public housing patrimony of the district to a total of 240 accommodations against the initial 120 accommodations and, therefore, to an effective doubling of the hosted households. In conclusion, the intervention has increased the number of dwellings by 120 units, has diversified the housing offer, and has given the possibility to produce new levels of sociality and networks of mutual support among the different social groups involved. Therefore, with this approach, it is possible to redefine the quality of urban places and accompany their community's growth and quality of life equitably.

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# Space and time transmission through the architectural image reproduction; on the example of the lost wooden church in Pidhirtsi palace ensemble in Ukraine

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**ABSTRACT:** This chapter focuses on time and space transmission by reading symbols of the past in the form of architectural and artistic monuments related to the context and history of the place. The article highlights the problem of reproducing the image of a lost monument and the memory of a place on the example of Pidhirtsi village's historical territories near Lviv in Ukraine. Authors analyze the territories, consider the structure and interactions of the cultural landscape, monuments, and people through the prism of time. Unique objects - the lost wooden church of Archangel Michael and the restored Icon of the Holy Eucharist, which depicts the church - are considered in detail. Over the centuries, landowners, nationality, language, and culture have changed, and only in a small church area the material values and spiritual and historical memory of the authentic local population have been preserved. Architectural images make it possible to pass on the historical information that can be preserved and reproduced with the help of material and illusory technologies. In this regard, the ways of restoring the lost historical buildings - both the physical body and the symbolic image - are highlighted. In this aspect, restoration activities, art installations, and multimedia technologies are the approaches that can be used to preserve and effectively transmit the historical content and memory of a place to descendants through space and time. The basic principles of time and space transmission are highlighted, including accessibility, openness, illusionism, copying, applied with historicity, uniqueness, the environment's integrity, traditionalism, reconstructive adoption, and artistic interpretation.

**Keywords:** Transmission, Reproduction, Architectural image, Memory of a place

## 1 INTRODUCTION

An important task for humanity today is to convey the truths of the past through the prism of the present to future generations. Museumification, exhibition, and interpretation of works of art are consequential in preserving memory.

The modern consumer demands new forms of cultural heritage transmission. Therefore, the question is not only in the methods of preservation, protection, and reproduction but also in the ways of "reading" the creative genius of an architect, artist, or master by the contemporary. Berdyaev M. wrote that the main mistake is explaining the creative novelty from the past when it can be explained only from the future. This is the secret of creativity and novelty. It is the secret of freedom (Berdiaev, 1995, p. 246). Based on this statement,

time and space are an integral part of all aspects of human life. Modern heritage researchers must think in terms of future generations. Only such fundamentally new approaches based on the philosophy of freedom will make it possible to transmit the architectural heritage from ancientness to the future effectively.

The interpretation of space and time can be quite diverse. We will adhere to the most common interpretation found in modern textbooks on philosophy: *space* is a form of existence of matter, which characterizes its length, structure, coexistence, and interaction of elements in all material systems; *time* is a form of existence of matter, which expresses the duration of its existence, the sequence of state changes in the alteration and development of all material systems (Podolska, 2006, p. 440).

Architecture is a special kind of art that combines space and time. The best examples of the architectural heritage of the past are today popular tourist brands. And, likely, the worldwide known Pyramids, the Loire castles, the Big Ben, and the Great Wall of China will be interesting to our grandchildren. However, what to do with monuments of national and local significance? How to influence national and international monument protection structures to encourage them to pay more attention to the preservation, maintenance, reproduction, and promotion of the population of their own countries? After all, it is in such monuments that the truth about the past can be conveyed to future generations through space and time. This is especially true in Eastern Europe, Ukraine in particular, where only in the last century not only people but also valuable architectural objects have suffered from wars and political repression. And the terrible present was severely affected by the liquidation of cities, settlements, and architectural monuments due to several deliberate hits by Russian missiles. The space that has been formed for centuries is destroyed in a few minutes. The past historical memory and children, a symbol of the future, become the main targets of a rabid enemy. Today in Ukraine, it is very important the need to protect, preserve and restore the memory of the place.

By reproducing monuments of art and culture, we cannot repeat the authentic value, but we have the opportunity to continue their existence as a sign, a symbol. Due to difficult living conditions and tragic historical events, many of Ukraine's monuments have been lost, and their territories' spatial and temporal boundaries are changing. Wars, human incompetence, political machinations, and other factors have negatively impacted on a devastating level. For the full-fledged development of society and the state in the future, it is important not to restore individual monuments but to take a comprehensive approach to the task of preserving cultural heritage. Some objects can be restored, while others can only be reproduced contextually.

We focus on such lost monuments, which would lose their artistic value during reproduction. On the other hand, we draw attention to the fact that if it becomes impossible to reconstruct or recreate a building or ensemble, it is possible to reproduce their architectural image in the landscape, to transmit it through space and time. As Kevin Lynch noted, there are "common national spatial policies," including the following:

- "large "natural" areas are preserved because of their symbolic importance, to conserve resources, to improve recreation and other amenities, and to prevent ecological disruption" (Lynch, 1981, 52 p.);
- "historical monuments and open areas are preserved for their symbolic importance, to prevent ecological disruption, to improve health and recreation, or to attract tourists" (Lynch, 1981, 54 p.).

### 1.1 *Pidhirtsi Monuments. Manufactured architectural heritage*

We propose considering the monumental ensemble in Pidhirtsi village (Zolochiv district, Lviv region) to illustrate these statements comprehensively. The history of the village's existence is integrally reflected in the Pidhirtsi and Plisnesk territories. The length and structure of the space are manifested in the existing Historical and Cultural Reserve "Ancient Plisnesk," Plisnesk monastery, the Pidhirtsi palace and park ensemble area (palace itself, brick church, Hetman's Hostelry), churchyard with memorials near the foundations of the burned wooden church, cultural landscape, and infrastructure of Pidhirtsi, occupying almost 240 hectares.

From the point of view of the space concept, it should be said that the coexistence of elements of the village material system was different throughout the history of the territories formation. The first stage of their origination coincides with the development of the ancient settlement of Plisnesk. According to some scholars (M. Filipchuk and others), ancient ancestors of white Croats settled here.

The second significant stage was marked by the construction of the palace and park ensemble in the 17th-18th centuries near a destructed settlement. It was during this period that the Archangel Michael wooden church with a bell tower (18th - early 20th century) and the churchyard adjacent to the ensemble of Pidhirtsi Castle appeared (Figure 1). As a result of the two World Wars, most of the cultural and historical monuments of Pidhirtsi were damaged to some extent. We learn the whole history from iconography, bibliographic sources, and tales of the inhabitants of that time.

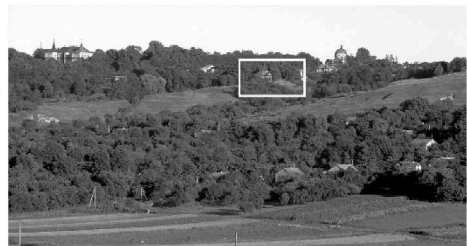


Figure 1. Pidhirtsi panorama with the existing church, 2004. Author's photo.

The third important stage of development of the territories falls during Soviet rule. During this time, the greatest destruction and changes in the three-dimensional image of monuments, their functional content, and orientation took place. All historical and cultural values of the village were either destroyed or looted. In the 1950s, the castle survived a fire. Then for a long time, within its walls, there was a sanatorium for

patients with tuberculosis. The remains of the historic interiors of the palace have been lost. The Hetman's Hostelry was converted into a library and a cinema hall. The churches were closed, and all artistic content was devastated. The Basilian monastery in Plisnesk was also closed. These processes were accompanied by the desolation of the village, as a large number of its inhabitants emigrated.

The last stage, which continues today, is marked by the desire to restore the meaning of lost symbols by recreating historical images. This is a complex and long process. In September 2015, the State Historical and Cultural Reserve was established on the territory of Plisnesk. Borys Voznytsky Lviv National Art Gallery has been taking care of the palace and park ensemble monuments since 1998. Unfortunately, in 2006, the wooden church of St. Michael, which was built for the locals by one of the estate owners, Vaclav Zhevusky, in the 18th century, was lost in flames (Figure 2).



Figure 2. Churchyard after the fire, 2006. Author's photo.

Today, with our scientists' support, the village community pays special attention to the reconstruction of the monument of national importance - the wooden church of St. Michael and other monuments on the church grounds. This should be done to understand the historical processes in the village's lands in terms of space and time. To recreate the historical memory of the Pidhirtsi village, we reproduce the image of a wooden church and revitalize the churchyard to explain to visitors today and in the future the local population's high artistic and patriotic spirit. Nowadays, the foundations of the burnt church and the bell tower, the remains of two gates, and unique monuments of plastic sculpture (crosses, tombstones) have been preserved in this area.

## 2 ARCHITECTURAL IMAGE OF ST. MICHAEL CHURCH ON THE ICON AND DRAWINGS

The wooden church of the Archangel Michael, located next to the palace, had the status of an

architectural monument of national importance (protection № 413). The wooden cross-domed church is a unique phenomenon of world cultural heritage and a characteristic representative of the folk architecture of Ukraine. Mykhailo Dragan, a prominent researcher of Ukrainian architecture and art, wrote about such buildings back in 1931: we must not allow all those valuable buildings to be removed from the face of the earth. Few people in the world have such a wonderful wooden construction as we have... The time will come when we will be proud of that construction, and it would be a great pity if there were nothing to show for our ancientness (Remeshylo-Rybchynska & Brych, 2013, 36 p.).

All the greater is the loss of such a significant temple, which completely burned down on May 18, 2006, under unknown circumstances. We do not know the exact date of construction of the church, but there is information that it was moved to its current location and partially rebuilt in 1720. It was the cross-domed church. The logged framework was square in plan and was crowned with a massive octagonal dome. The side parts were covered with gabled roofs with pediments.

The picturesque image of the building, unique in the perfection of its dimensional solution, which expresses the genius of folk architecture, was harmoniously integrated into the landscape. The monument was unique in the context of the ensemble of other objects of the residence - both for its architectural and artistic characteristics and historical and cultural origins. It became an integral part of the Pidhirtsi architectural ensemble. In addition, it was part of the historical environment of the Pidhirtsi village (Figure 3).



Figure 3. Pidhirtsi panorama without the church, 2017. Author's photo.

Starosolsky I. made the first measurements of the church in the 70s of the 20th century, and the last ones were performed in 2003 as a result of cooperation between students and teachers at the Institutes of Architecture of Lviv Polytechnic National University

(Remeshylo-Rybychynska O. and others) and the Technical University of Vienna (Doering-Williams M.).

According to the existing measurements, at the request of the village community, a project to rebuild a wooden church was completed by one of the masters of Kharkiv National University of Civil Engineering and Architecture in 2016. The architectural image of the church “emerged” from nothingness in the drawings. However, there is still much work to be done to rebuild the monument.

Thus, in the cultural landscape of this unique village, the architectural and urban environment was organically formed over many centuries. The loss of one architectural work - an integral part of such an environment - causes enormous, sometimes irreparable damage. That is why it is so important to recreate the integrity of the ensemble.

### 3 HOLY EUCHARIST ICON

During one of the expeditions led by Remeshylo-Rybychynska O. in the brick Greek Catholic Church of the Lower Pidhirtsi, we discovered an interesting find related to the wooden church - the Icon of Holy Eucharist in a very bad condition. The Icon was painted by the folk master Dudar G. on the initiative of Father Pryshlyak V. in 1935. However, due to poor ground application, the image was severely damaged. Razinkova L., under Yanko T.’s supervision, carried out enormous work on conservation and restoration (Figure 4).

The Icon can be called a phenomenal interpretation of the canonical understanding and compositional solution of writing an icon on this theme, where the author resorted to eclecticism, combining elements of Art Nouveau and Baroque. The master specifically conveyed the union of earthly and heavenly in his work through the images of angels (heavenly origin) and the landscape with the church (earthly origin) and through color, light, and shadow. This work is unique in its depiction of a real architectural monument of the wooden church of St. Michael the Archangel in Pidhirtsi, mentioned above.

The symbolism of the image is also interesting. The color scheme of the icon is dominated by sky-blue, which is a direct symbol of Heavenly space, eternal peace, chastity, and spiritual purity. Blue is the color of the “Heavenly Grounds,” associated with spirituality; the sky, where the Lord dwells in glory, symbolizes the mystery, revelation, wisdom, and divine incomprehensibility of eternity. Green and blue-green are the colors of nature, spring, earthly existence, and the victory of life over death. White is the color of righteousness, purity, light, and joy. Golden is a symbol of divine light, the kingdom of Heaven, and the actions of the Holy Spirit. The white strokes on the faces symbolize God’s light and spiritual joy (Koren, 2013).

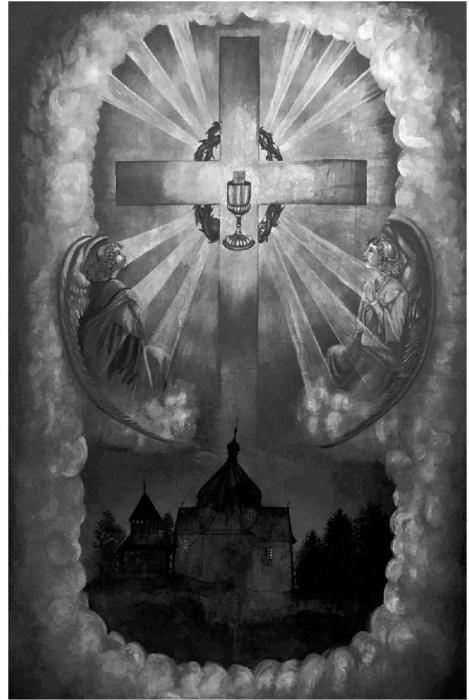


Figure 4. Restored Holy Eucharist Icon, 2021. Author’s photo.

The author created a unique work of easel painting in terms of interpretation of the Eucharist theme and the compositional solution and symbols of the icon. No wonder the image of the Eucharist is depicted in a rectangular shape, which symbolizes the spiritual presence in places of prayer. The space of the icon is closely connected with the time - liturgical and sacred. The uniqueness and spiritual meaning of the icon lies in its integrity, so time and space in it are looped. It shows the event from the perspective of eternity, so different times may overlap.

Also, the icon reflects the heavenly and earthly world, which corresponds to the canonical construction of the iconographic work. The cross symbolizes the Crucifixion of Jesus Christ. The rays of light are a symbol of human nature’s transformation and unity with God and the incomprehensible providence of the Creator. The crown of thorns is an ambiguous symbol in iconography, as it reflects the suffering of Jesus, humility, and at the same time, is a symbol of victory over death, greatness, and honor. The chalice symbolizes not only the church utensils for the Eucharist that Jesus passed on to his disciples during the Last Supper but also the image of the Holy Grail. An angel in Christian and other religions is a mediator between God and people who do the will of God, a symbol of purity, innocence, and glory of the Lord.

Clouds frame the whole composition in the Baroque style, which evokes associations with the Heavenly Miracle in the viewer. The image of a miracle is also emphasized by the image of the temple at night with the lights on inside. This Icon appears before us as a unique work of iconography because the image of the existing temple is not only a symbol of the Ecumenical Church, which unites all believers but also because the image corresponds to a real architectural monument - the Church of St. Michael the Archangel in the Pidhirtsi village.

### 3.1 *Exhibition and transmission. Reproduced architectural image*

Ukraine is rich in monuments, including architectural ones, which tell us the stories of the past. Unfortunately, most of them are destroyed or close to destruction. And since space and time are not independent entities but forms of existence of matter, it is necessary to look for ways to continue the life of this matter to preserve the history of the place. The next step will be to transmit the accumulated information by exhibiting and presenting objects to the public. In our opinion, the algorithm of architectural heritage transmission through the prism of space and time to contemporaries and future generations should be based on the following principles.

## 4 THE PRINCIPLES OF ACCESSIBILITY AND OPENNESS AS PRIMARY CONDITIONS FOR TRANSMISSION

To this day, to exhibit the lost church, the community and specialists face the question of which approach to use. And as of today, the authors consider it most expedient to create an open-air museum based on the architectural ensemble of Pidhirtsi village, which will also include the territory of the burned wooden church. This approach will allow not only to preserve and turn monuments into exhibits or adapt their premises for the needs of the museum but also to preserve the historical and memorial value. A specific feature of open-air museums is the combination of different buildings and the environment they are located in, allowing you to perceive a group of objects as a whole system. According to the sound decisions of restorers, architects, museum workers, and local communities, this concept is more flexible and more adaptable. It is valuable that in Pidhirtsi, this system can be preserved in the place of its origin, development, and modern use.

The idea of creating an open-air museum based on the Pidhirtsi and Plisnesk monument complex was voiced at the international conference "Conservation and revalorization of Pidhirtsi village's heritage. Reproduction of St. Michael's lost wooden

church", held in March 2017 at Lviv Polytechnic. Ukrainian and Austrian experts in the fields of architecture, restoration, and archeology have concluded that this approach will be able to attract visitors and help raise new funds for the preservation and restoration of local monuments. (Remeshylo-Rybchynska & Brych, 2019, p. 93-94).

## 5 THE PRINCIPLE OF ILLUSIONISM AS A WAY OF THE VIRTUAL REPRODUCTION

In open-air museums, the protection regime is not as strict as in museums-reserves but also includes cultural landscapes, allowing you better to preserve the spirit and history of the place. In exceptional situations, when the integrity of the ensemble is more important than the authenticity of its separate element, in the presence of sufficient scientific ground, we consider it permissible to reconstruct the lost object.

The availability of inventory drawings made shortly before the destruction, documents, and bibliographic sources allows for talking about the restoration of the wooden church. The local community has also repeatedly expressed its desire to rebuild the church, as they consider such a place important for the spiritual life of the region (Figure 5). Students at Ukraine technical universities also offered several options for recreating a lost monument, which would combine sacred and museum functions.



Figure 5. Village people during a holiday near the church, 1933. Archival photo.

However, this decision causes many problems. Experience shows that the reconstruction of destroyed buildings does not always give positive results. In addition, today's young people, who represent the future of the state, are more focused on the culture of mass media and obtaining information from electronic devices. Therefore, if it is impossible to rebuild the church, we can focus on the theory of illusionism. As Tatarkevych V. wrote, "the greatest achievement of art is the production of things so deceptively similar to the real model that



they can create an illusion, a delusion of reality” (Tatarkevych, 2001, 262 p.). Based on this theory, we can talk about some ways to “recreate” the building, making a modern symbolic reconstruction instead of the original monument - physical or virtual.

One of the ways is to position an architectural installation of a building that mimics certain historical architectural forms, a kind of life-sized model. And given the rapid development of multimedia exhibition technologies, one can also consider their use - alone or in combination with the mentioned architectural installation.

The main multimedia tools that have the potential to reproduce the architectural image of the lost church of St. Michael in the historical landscape are an artistic projection and a virtual museum.

Artistic projection is essentially the projection of an image onto some sort of surface. Therefore, this way of recreating a monument combines architectural and multimedia components - the creation of a light engineering structure that resembles the contours of the reproduced structure and will be located on the remains of the foundations without damaging them and projecting an image on it. The power of projectors existing today will not be enough for the permanent operation of such an installation, especially on sunny days, but the “screen” can play the role of a symbolic reconstructive installation, and the projection can be a regular attraction in the evening, during presentations, information or entertainment events. A somewhat simplified but more reliable projection is a static image on a transparent shield, which shows the image of a lost object inscribed in the environment when viewed from a certain point.

Virtual museums combine a set of visual and acoustic images, animations, text, and graphics that recreate a virtual version of a non-existent object. Having drawings of the church, it is easy to make its 3D model. Accordingly, by installing a small monitor on the church site or equipping one of the exhibition halls of the Pidhirtsi Palace with screens, you can allow visitors to take a virtual tour around and inside the building.

Unfortunately, this will not allow us to perceive it in the historical landscape. That is why it is advisable to use augmented reality systems that will allow you to observe the external mass of the building in the context. LBS (location-based service), AR (augmented reality), and RVI (real video images) are relevant for open-air museums. The availability of smartphones for most people and the corresponding software with the help of QR codes or other signage will allow visitors to see not only the landscape or the remains of lost buildings but also virtual objects that do not exist. Today, a popular innovation of some open-air archeological museums is the issuance of virtual glasses to visitors, which demonstrate

the reconstruction of lost objects and information about them directly at their original location.

## 6 THE PRINCIPLE OF COPYING AS A MEANS OF TRANSMISSION THROUGH REPETITION

The Eucharist Icon described above was not only restored but also copied (copy author - Hryniukh M.) by order of the CO “Sholom-Pidhirtsi.” As the original is planned to be transferred to Borys Voznytsky Lviv National Art Gallery, a copy of the painting is planned to be transferred to the village community to be placed in the existing church. The work was carried out taking into account all the rules of copying the original image: the dimensions were slightly reduced (the original parameters are 280/160 cm, but 160/230 cm for a copy), and the compositional plan of the church based on its photofixation was slightly changed. Thus, the transmission of the image of the 18th-century wooden church will emerge through the ages and will be presented in the space of the 20th-century sacred building for 21st century Christians.

## 7 CONCLUSION

The space and time transmission algorithm is possible by reproducing the building’s architectural image. In this case, due to the principles of accessibility and openness, illusionism, copying such a transmission seems possible. In addition, as this article is devoted to the problem of reproduction of the monument and the memory of the place in the historical territories of the Pidhirtsi village, we can conclude that the transmission algorithm will be impossible without certain tasks: preserving historicity, determining uniqueness, maintaining the integrity of the environment, the study of tradition, as well as the use of reconstructive adoption and artistic interpretation.

The structure, coexistence, and interaction of such elements as the cultural landscape, monuments, and people were considered by analyzing the existence of the Pidhirtsi and Plisnesk territories, a large space that has been formed over the centuries. The spatiotemporal coordinate of the territory’s development was formulated, which includes the periods of civilization processes appearance (which took place in Plisnesk in the 7th - 12th centuries), the flourishing of Renaissance and Baroque architecture of the 17th - 18th centuries. (on the example of garden and park architecture), as well as destructive and creative changes during the 20th – early 21st centuries. This reference illustrates the historicity of the place, its unique features, and the organic connection of all parts of the ensemble with each other and with the environment.

Over the centuries, the material values, spiritual and historical memory of the authentic local

population have been preserved in a small church area. In addition, we managed to recreate the Icon worshipped by thousands with the depiction of this area. All this makes it possible to bring back contemporaries in time and space, to pass on to descendants' historical information that can be preserved with the help of material and illusory technologies, even in the absence of physical objects. Although a valuable monument of sacred wooden architecture is lost today, its image remains as a kind of sacred image on the Pidhirtsi Holy Eucharist Icon. It is also a testament to the church's uniqueness and reflects the principle of tradition because, despite the change of power, reconstruction, and then destruction, the church grounds remain a sacred place for the community and a symbol of its faith.

Such objects must convey their history to people, so it is important to reproduce them. Although it is impossible to replicate an authentic church, reconstructive adoption and artistic interpretation can be used. Using measurements, old photos, and modern art and multimedia technologies, we can borrow the image and rethink the importance of antiquity for its transmission in the future.

The inhabitants so revered the Church of St. Michael that it was immortalized on the icon. The whole castle ensemble has great value and potential, so we hope that the great love of the people for one of its elements will be able to attract public attention to the need to preserve the entire monument complex too. The creation of an

open-air museum based on the Pidhirtsi ensemble, and the Plisnesk Archaeological Complex will be of great economic and cultural significance for the village community and the region as a whole, and the reproduction of a wooden church - material or symbolic - will be the first step in the transmission of space and time through the architectural image.

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# Spatial estimation of visitor's pauses in a Cistercian Church

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**ABSTRACT:** While visiting a building, the individuals (visitors) occasionally interrupt their movement to contemplate the architecture of the building or other decorative motifs of interest. In the context of the research project GESTURE: an empirical process to assess meaning in a piece of architecture, an experimental procedure was conceived to recognize the visitor's behavior. The experimental research was applied to two groups of volunteer students of the Integrated Master in Architecture from the Lisbon School of Architecture, University of Lisbon (39 individuals from 1st year and 11 individuals from 5th year) when carrying out a visit to the church of the Monastery of Alcobaça, located in the middle-west of Portugal. It was recorded the time and place of stopping that each individual dedicated to the observation of a certain architectural feature. Through geostatistics methods, namely the ordinary kriging, the stopping time was estimated for the church and each group of individuals. The results show the areas preferred by each group and the differences between the two groups, which are discussed.

**Keywords:** Spatial estimation, Modelling, Architecture observation, Cistercian Church, Alcobaça

## 1 INTRODUCTION

The tour made by any person when visiting an architectural work is unequivocally influenced by the characteristics, at various levels, that it can transmit to the visitor. In other words, the architectural space generates sensations, experiences, and conditions (opportunities and constraints) that manifest themselves during the tour in the visitor's feelings and behavior.

Human perception of a piece of architecture, mainly the subsumed *intentionality* (Husserl 1999, Merleau-Ponty 1945), tends to create a *pattern* of observation. This pattern depends upon the architectural form, but it does not depend upon subjects as much as expected: a piece of architecture tends to determine the same points of fixation in everyone. This is the "gesture" theory. Typically, an individual relates to a piece of architecture not only at an aesthetic level. Individuals look for harmony and correspondence with the environment; they look for an environment where they can feel protected, welcomed, free, and in peace, in such a way that they feel they can really be themselves and be in touch with their essential self (Abreu 2007). From a phenomenological point of view, this tendency may be conceived as a sort of "intentionality" – a kind of innate or like-innate inbuilt pressure that drives every human being to search for this special kind of fitting

in their relation to the natural or artificial environment. Intentionality is transsubjective – which supports the evidence that human behavior towards architecture, despite the differences between subjects, tends to be similar. Hence, the pattern of gesture identifies each architectural piece.

Gesture, therefore, would be the series of walking and looking movements with an associated emotional repercussion (Abreu 2007). In other words, "gesture is the chain of movements (walking, looking around) and also emotional shifts of someone experiencing an architectural space" (Abreu and Esteves 2015). The "series of walking and gazing movements is the direct perceptive response to the stimulus that the architectural form enacts (visual, acoustic, tactile, and smell stimulus, but also, a proprioceptive stimulus that derives from the drive of perception" (Abreu and Esteves 2015).

Several authors have widely studied the perceptions of the surrounding environment by the people who move daily and actively in it. For instance, throughout the history of architecture, Chaplya (2016) "examines the impact of internal space of architecture forms of behavior, interaction and emotional mood of the people in it." Ittelson (1973) explains the individual predisposition to interact with the environment "One does not, indeed cannot observe the environment: one explores it" (Ittelson 1973, 13-15); and Valéry (1996, 29) expressed the emotion felt in the

observation of the various buildings of a city: “Les uns sont muets, les autres parlent, et d’autres enfin, qui sont les plus rares, chantent?” In the same line of thought, Abreu and Esteves (2015) argue that “Architecture begins by having – like other works of art – the capacity to generate an inner silence, to suspend the noise of our thoughts; generates a circumstance in which we become receptive to the first stimuli that architecture produces”.

These and other similar ideas, developed in the scope of a research project (Abreu et al. 2015), made it possible for Abreu and Esteves (2014) to distinguish between architecture and current construction. These authors assert that architecture translates into the ability of a given building to communicate a deeper meaning, something that is beyond the function it performs; in a sense also shared by Valéry when he says: “Ce n’est pas leur destination, ni même leur figure générale, qui les animent à ce point, ou qui les réduisent au silence.” (Valéry 1996, 29) or stated by Chaplya (2016) referring to the contemporary architecture: “... loss of a common symbol language and strengthening utilitarian tendencies”. Moreover, “that [deeper] meaning is the essence we should preserve, as architects, when working on pre-existing pieces of architecture – and, whenever possible, not only preserve but emphasize it” (Abreu and Esteves 2015). In fact, “...architects are usually asked to accommodate contemporary needs, which may require alterations to the original shape of the building” (Abreu et al. 2018, 178) especially “...in highly valued monuments, in which touristic influx often generates specific needs – such as signage, accessibility, extra restrooms, the addition of information centers and shops” (Abreu et al. 2018, 178).

According to these authors, this pattern stimulus would convey the meaning of an architectural work.

Therefore, an exploratory experiment was conceived to measure the visitor’s behavior toward an architectural object. In the scope of the research project GESTURE – an empirical process of assessing meaning in a piece of architecture (Abreu et al., 2015), and according to Pinter-Wollman et al. (2018),

[a]n interdisciplinary exchange between behavioral ecologists, evolutionary biologists, cognitive scientists, social scientists, architects, and engineers can facilitate a productive exchange of ideas, methods, and theory that could lead us to uncover unifying principles and novel research approaches and questions in studies of animal and human collective behaviour”

Abreu et al.’s exploratory study intends to test if any part of the building exerts influence on the visitor’s behavior, attracting his attention seriously, causing it to interrupt its itinerant tour to the respective contemplation. “In the absence of such privileged places for stopping, architecturally correlated, the gesture theory would be refuted” (Abreu et al., 2015).

The experience described in this paper is only related to visitors’ pauses that occurred during their walking tour on the church of the monastery of

Santa Maria de Alcobaça (Figure 1), located in Portugal’s middle-west.

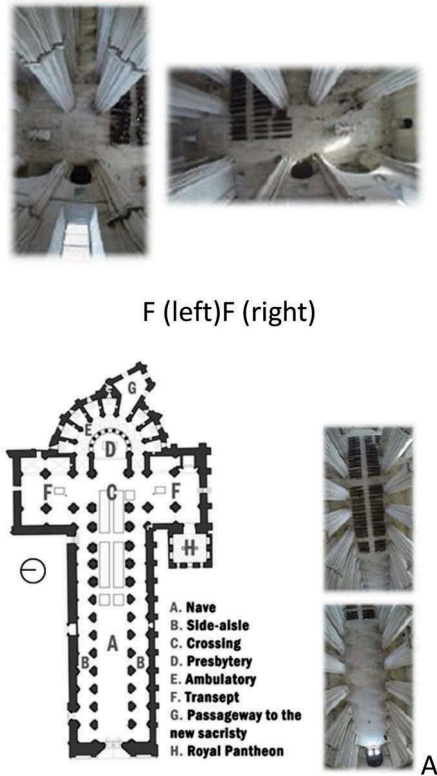


Figure 1. Plan and pictures of the church of the monastery of Santa Maria de Alcobaça.

The Church of the Monastery of Alcobaça was chosen to perform this experiment because of its architectural qualities – it is considered the most exquisite sample of Portuguese Cistercian medieval architecture (Abreu et al. 2015), but also because of the renowned Cistercian simplicity. The purism of Cistercian medieval architecture ensures the legibility required to test the gesture hypothesis, other than displaying a traditional environment that is expected to prevent shocks and inhibitions. Accordingly, it appeared to be especially suitable for evoking a homogenous response from different subjects. If the “gesture” hypothesis were not verified, its wrong formulation would be proven. On the other hand, if the hypothesis were verified, it would allow tuning up the proceedings to apply to more complex and ambiguous architectures.

## 2 ESTIMATION METHOD

The estimation method, described below, was carried out with several individuals whose results may indicate

or refute the prosecution and deepening of the study. In this way, the visitors' pauses during their tour are sought to estimate spatially through a linear kriging estimator (e.g., Krige 1951, Matheron 1965, Journel 1989, Soares 2000); also representing its distribution among different areas of the church.

The variable stopping time – named Time – is a variable distributed spatially by the church that can be seen as a regionalized variable (Matheron 1970, 4-5), i.e., with a dual character. On the one hand, it presents a random behavior that individuals stop for a while in several places; and at the same time, a structured behavior revealed by a relation between the stopping times due to the shape organization of the church.

The geostatistical linear estimator, called ordinary kriging, is given by (1):

$$Z^*(x_0) = \sum_{i=1}^n \lambda_i Z(x_i) \quad (1)$$

where

$Z^*(x_0)$  – unknown values at  $x_0$ ;

$n$  – number of data points in the search neighborhood;

$\lambda_i$  – weights of each sample point that depends on the vector difference between  $x_0$  and  $x_i$  in a way that is determined by the variogram;

$Z(x_i)$  – known values at  $x_i$ .

It is a linear combination of the set of  $n$  neighboring values of  $x_0$ . The mean is taken as unknown and constant within the local neighborhood. So, the mean may vary in space, but it should do so sufficiently slowly to be considered constant within the estimation neighborhood (Sunila and Virrantaus 2011). This model meets the two criteria concerning the estimation error: minimum estimation variance and unbiasedness. The unbiasedness is achieved by imposing the condition that weights  $\lambda_i$  sum to 1 (Soares 2000).

The modeling of the spatial correlation structure of the data to determine the weights required in the ordinary kriging is obtained by calculating the experimental semi variogram given by (2).

$$\gamma(h) = \frac{1}{2N} \sum_{i=1}^N [Z(x_i + h) - Z(x_i)]^2 \quad (2)$$

where

$h$  – lag distance;

$N$  – number of sample pairs separated by  $h$ ;

$Z(x_i)$  – sample value at  $x_i$ .

The experimental semi variograms are modeled using theoretical mathematical models. In the present research, several models were tested, and the fitting data was achieved by the spherical model given by (3).

$$\gamma(h) = \begin{cases} c_0 + c_1 \left[ \frac{3h}{2a} - \frac{1}{2} \left( \frac{h}{a} \right)^3 \right] & \text{for } 0 < h < a \\ c_0 + c_1 & \text{for } h \geq a \end{cases} \quad (3)$$

where

$a$  – range

$c_0$  – nugget effect

$c_0 + c_1$  – sill.

All calculations and graphics presented below were made using the GeoMS software – Geostatistical Modelling Software (CMRP 2000).

### 3 DATA COLLECTION

In order to record the individual's tour and its pauses, five cameras (GoPro Hero 3, Silver and Black editions) were suspended from the ceiling of the church positioned in an attempt to cover the entire church (see more details in Abreu et al. 2015). Although originally planned to use a GPS device, it was found that the signal of this system was blocked by the thick walls and ceiling of the church, making it unusable.

The experimental study focuses on a sample of 54 individuals who visited the church of the monastery of Santa Maria de Alcobaça in the period between October 20, 2014, and December 04, 2014, and who volunteered to carry out the experience. Four of the records were later disregarded due to technical or recording issues, resulting in a sample of 50 records. As described in Abreu et al. (2015), the research team member gave some instructions to participants:

...namely: that there was no time limit for the visit; that the participant would exit the church by the same door by which they were about to enter, and an experimenter would be awaiting them on the outside; that they should visit the church as they would in normal "touristic" circumstances; that they should try to abstract themselves from the apparatus they were carrying; and that they should try to abstract themselves from other visitors if there were any.

Another experience details can be seen, as previously mentioned, in Abreu et al. (2015).

The 50 validated subjects were divided into two groups:

**Group A** – students of the first-year Architecture classes from the Lisbon School of Architecture of the University of Lisbon (39 individuals); "it was presumed that they were almost untouched by any architectural theory" (Abreu et al. 2015), although with a superior sensitiveness to architecture (that the choice of the field of studies implies);

**Group B** – students of the fourth- and fifth-years Architecture classes and graduates who recently concluded the same master's course (11 individuals).

The geographical location and stopping time (over 500 milliseconds) inside the church were recorded for each individual. Thus, were obtained two files (for groups A and B) with the format of Table 1.

Table 1. Format of the input files.

Individual stop	X coordinate	Y coordinate	Stopping time (ms)
a1_01	-27.5	0.8	3456
a1_02	-25.6	2.4	43582
.	.	.	.
.	.	.	.
a39_23	0.75	94.3	2349

#### 4 RESULTS

For each group of individuals (Groups A and B), some basic statistics were calculated, some graphical representations were made, and the estimation of stopping time throughout the church.

The group's A and B covers, respectively 1117 and 279 records, corresponding to the stopping time of the 39 and 11 subjects respectively. Figure 2 and Tables 2 and 3 shows the main results of univariate analysis of the variable Time for both groups.

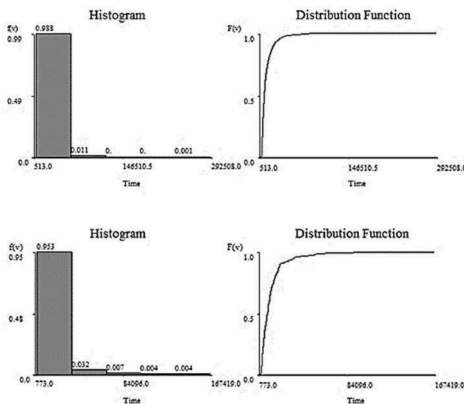


Figure 2. Univariate Time statistics for Group A (top) and Group B (bottom).

In group A, many individuals stop little time at each point (85% of stops are less than about 16.5 s). The arithmetic mean is much greater than the median, owing to about 15% outliers (about 10% of severe outliers and 5% of moderate outliers). Although the total amplitude of the data is very high (about 292 s), the amplitude of 90% of core values is only about 29 s, and the interquartile range of 8.5 s. In fact, despite the high standard deviation (due to the outliers), the core values reveal some homogeneity. In group B, many

individuals stop little time at each point (85% of stops are less than about 17.4 s). The arithmetic mean is considerably higher than the median owing to about 20% of outliers (about 18% of moderate outliers and only about 2% of severe outliers). Although the total range of the data is very high (about 166.5 s), the range of 90% of core values is only about 31.5 s, and the interquartile range of 9.7 s. The results show a greater data dispersion in Group B than in Group A.

Table 2. Main univariate statistics of Time of Group A.

samples	1117	minimum	513.0
mean	9328.42	5 perc.	1313.0
st. dev.	13692.05	15 perc.	1988.0
coef. var.	1.47	25 perc.	2695.0
coef. skew.	9.45	75 perc.	11002.0
		95 perc.	29557.0
		maximum	292508.0

Table 3. Main univariate statistics of Time of Group B.

samples	279	minimum	773.0
mean	11276.46	5 perc.	1568.0
st. dev.	16097.38	15 perc.	2268.0
coef. var.	1.43	25 perc.	3288.0
coef. skew.	5.25	75 perc.	12978.0
		95 perc.	33078.0
		maximum	167419.0

The spatial variability of stopping time was modeled by a spherical model of an omnidirectional semi variogram, with the following parameters:  $c_0 = 0.738$ ;  $c_1 = 0.261$ ;  $a = 1.99 m$  for Group A, and  $c_0 = 0.851$ ;  $c_1 = 0.149$ ;  $a = 4.509 m$  for Group B (Figure 3).

In Group A, it is evident the reduced spatial continuity of data due to the high nugget effect and the reduced range of the theoretical model fitted to the experimental semi variogram. In Group B, the theoretical model of the semi variogram shows greater spatial continuity than in the previous case, although the high nugget effect of the theoretical model fitted to the experimental semi variogram it is also evident.

The results of the spatial stopping time estimation are shown in Figure 4.

In the following analysis results, all capital letters refer to the zones of the church that are located in Figure 1.

For Group A, it is clear that there are some areas of the church where individuals stop for longer, particularly in the entrance area, on the east side of the nave (A), in the Crossing area (C), and in the southern side of Transept (F), near King Pedro tomb. To

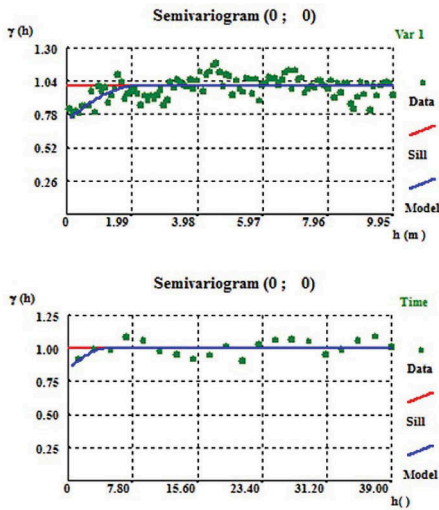


Figure 3. Omnidirectional semi variograms of Time for Group A (top) and Group B (bottom).

a lesser extent, individuals also stop in the area of the Royal Pantheon (H), in the passageway to the new sacristy (G), and on the north side of the Transept (F), near the tomb of Inês de Castro. Shorter stops were recorded in the middle of the south side-aisle (B) and on the east side of the north side-aisle (B). For Group B, it is clear that there are some areas of the church where individuals stop for longer, particularly in the middle of the nave (A), in the Crossing area (C), in the south area of the Transept (F), near the tomb of King Pedro, in the northern area of the ambulatory (E), in the passageway to the new sacristy (G) and the northeast of the Transept (F), near the tomb of Inês de Castro. To a lesser extent, individuals also stop at the entrance and in the western area of the Royal Pantheon (H). Shorter stops were recorded in the southern area of the Royal Pantheon (H) and the northeast and southeast areas of ambulatory (E).

## 5 DISCUSSION AND CONCLUSIONS

The spatial syntax approach is also a suitable method for the socio-spatial arrangements inside buildings, as Hanson (1998) focused on in her later writings. However, space syntax works solely with extrinsic properties since it only takes into account how each space is related to all other spaces in terms of directional changes and angular deviation within a spatial system (Hillier cited by Yamu, van Nes and Garau 2021, 2). The geostatistical approach is more suitable in this exploratory study, given the georeferenced sample points obtained through the human experience performed, and the estimation of stopping places objective.

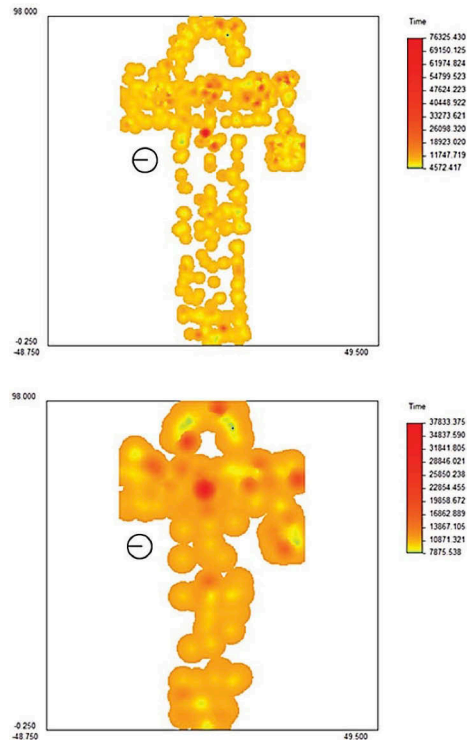


Figure 4. Spatial estimation of stopping time for Group A (top) and Group B (bottom).

The estimation results show that visitors prefer some places of the church to their pauses, which in itself constitutes essential and privileged information for the architects who come to intervene in the church.

The data of Group B showed greater spatial continuity and are hence more structured than the data of Group A, allowing the estimation of the greater part of the church area. Although records of the individuals in Group B correspond to fewer individuals, it is clear that there are differences between the two groups of individuals regarding the areas of the church that were dedicated longer and shorter stop times. This is surely due to architectural education. While non-architecturally educated individuals tend to fixate on more perceptually imposing aspects, architecturally educated individuals relate to the architecture in a more wholesome and continuous manner, attending preferably to the whole space and less to the ornamental details. Acknowledging this perceptive differentiation between architects and laypeople is highly relevant to architectural design.

As the first experimental approach to Gesture theory, there are strong indications of the relation between the stop places and the architecture, which constitutes a stimulus for the continuation and deepening of this study. In fact, the main objective of this



exploratory research has been achieved. Therefore, there is no reason to refute the Gesture theory for the time being.

#### ACKNOWLEDGMENT

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# The preservation of Tibetan monasteries as a source of inspiration for meditation practice; *Shechen Tennyi Dargyeling* in Nepal

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**ABSTRACT:** Recently, meditation has been worldwide used as a contribution to generally improve our mental and physical health. Psychologists, neuroscientists, and psychiatrists have been interested in assessing its benefits in healing mental and even physical diseases. In monasteries such as *Shechen Tennyi Dargyeling* in Nepal, the architecture, and its details, such as statues, frescos etc., reveal a vision on freedom from suffering. This vision arises when we free ourselves from the grip of the usual idea of space and time, which this ensemble of buildings might facilitate. This study aims at exploring the ways this monastery might influence meditation practice. Furthermore, we wish to reflect on the matter, not only using strong concepts on the subject and basing ourselves on literature review, but also analyzing our own experience as practitioners. We argue that this possible influence might become very important to the success of meditation practice. In conclusion, we are most certain that these typologies of architecture are not only an important part of our architectural legacy, but also of our intangible heritage.

**Keywords:** Buddhist architectural heritage, Esoteric architecture, Meditation, *Shechen Tennyi Dargyeling*, Cerebral Mirror Systems

## 1 INTRODUCTION

Many authors have postulated a deep connection between our mind and architectonic environment, namely in the important Minding Design Symposium that took place at Taliesin West in November 2012. An event sponsored by the Frank Lloyd Wright Foundation and by Taliesin, the Frank Lloyd Wright School of Architecture. The communications that were a result of the event were published by the Massachusetts Institute of Technology in 2015.

This article aims at further developing the ideas that underlie the theoretical discussion amplified by the event mainly by recalling the idea of esoteric Architecture. This idea suggests that certain architectural works might imply a slow apprehension by their users. This profound vision of an architectural work may develop throughout time, after these users being introduced to its hidden dimension by a qualified Buddhist master.

As we enter a Gothic Cathedral, we face an extremely high ceiling, in comparison to its plane dimensions. Such disproportion is so unexpected that even today it might strike us as a surprise. In the times they were built, a medieval church should, and could, protect the population from enemies' attacks, keeping the city's [borough] inhabitants inside.

Nevertheless, as Christianity went through a stabilization and affirmation phase, the high ceilings could bring an unexpected propaganda aspect. Given the multiple pagan cults and the millennial heresies it would be important to affirm the status of the Roman Catholic Church. With this strong architectonic feature, there could be an intention to provoke awe in the believers or to state the power of the Church. Ultimately, what still happens today might finally be possible: that the church interior would provide a respite from the city's bustle and agitation. We can easily imagine the impact on someone coming from, in most cases, an unruly urban agitation entering such an architectonic space which might be quiet and peaceful. The sudden discovery of its new and original environment compared to other typologies of architecture in the borough, might not leave the faithful indifferent. It could be so, even if the mind of an individual in the Middle Ages who did not have the contact, as we have today, with a sometimes-frantic "urban show". Which is probably much more agitated than the Medieval bustle. If even today this contrast surprises us, it was meant happen in the Middle Ages. These features of Gothic Cathedrals architecture – high ceiling, protection and cut from the exterior environment – were some of its visible characteristics. There were certainly other features, even hidden ones.

And meditation – Christian Meditation – could be influenced by all these ways of experiencing Gothic Architecture.

Meditation in a Christian environment, or in a Buddhist context, needs, in its early stages, peace and silence. Based on our own experience as practitioners, we consider that meditation is above all the attainment of some mental stability free from internal and external disturbances. As the environment for this practice should be relatively calm, architecture can possibly contribute to create these conditions – which would be partly provided by buildings such as the Gothic Cathedrals. There, the walls' thickness work as a barrier against exterior noise. And its stone slabs pavement generate noise with the impact of visitors' shoes and, by hearing its echo, we get aware of the real colossal dimension of the high ceiling. It might be possible that this scale shock might cause awe and withdraw us from our sometimes-obsessive vicious circle of "discursive thoughts." This "acoustic volume [awareness (this article author's note)] of the space", is referred by Juhani Pallasmaa, mentioning Steen Eiler Rasmussen, when he recalls the acoustic perception in the subway tunnels of Vienna in the movie *The Third Man* (1949) by Orson Wells: "Your ear receives the impact of both the length and the cylindrical form of the tunnel". Stained glass windows and statuary, conveying suggestive biblical images, might complete this ambience giving meaning to our presence in these cathedrals. Indicating a way to the spiritual ascesis, these depictions would present the path to a meditative communion with God: the path to partake of divine peace.

Presently, in North American and European universities, as well as all over the globalized world, some kinds of meditation have been the subject of scientific research. And this research has been interrelating meditation with various branches of knowledge, such as Neurology, Psychology, Psychiatry, Education, Philosophy, Economics, Nutrition, and so on. Furthermore, *samatha* meditation in *Mahāyāna* Buddhism, has been subject of an ever-growing number of scientific articles and studies, namely academic. This research has recently been going into exponential growth. Articles such as "Wisdom and compassion: A new perspective on the science of relationships", by Paul Condon et al., point to the importance of meditation (in this case Mindfulness Meditation) – when combined with compassion – to promote human flourishing. As we might deduce, it also promotes mental health in individuals by improving positive interpersonal relationships. Compassion has also been the subject of important studies such as *Compassion, Bridging Practice and Science*, edited by Tania Singer and Mathias Boltz.

In this study we are focusing on *Mahāyāna* Buddhism from Tibet in diaspora. Namely, as a Case

Study, in *Shechen Tennyi Dargyeling* Monastery (built in Nepal under the guidance of the Tibetan Buddhist master, His Holiness Dilgo Khyentse Rinpoche). In so being, we are willing to explore how its influence on meditation would happen. Finally, we are raising the question: "Do we improve our meditative states of mind when we experience this Tibetan Buddhist Architecture?"

## 2 MATERIAL AND METHODS

Although the Buddha's birthplace is in Nepal – Lumbini, – this country hosts various other religious traditions. This birthplace is not surrounded by an active community of Buddhist practitioners, but the Kathmandu Valley, and other regions in the North of this country, have active Buddhist communities.

The *Shechen Tennyi Dargyeling* Monastery, under the present guidance of the seventh Shechen Rabjam Rinpoche, which was originally placed in the Kham region of Tibet, has been rebuilt in the 1980s in Kathmandu, Nepal. Rabjam Rinpoche is the grandson of Dilgo Khyentse Rinpoche. Since the death of this important master in 1991, Rabjam Rinpoche has taken the responsibility to transmit the teachings and make his vision for the preservation of Tibetan teaching and culture prevail and fructify. This monastery hosts a Tibetan Traditional Art Institute, the *Tsering Art School*, created in 1996 by Rabjam Rinpoche, accommodating the Shechen Archives that include precious texts, paintings, photographs, and their negatives. In addition, the Monastery holds a Philosophical College, the Shechen Philosophical College, created also by Rabjam Rinpoche in 1989.

The *Tsering Art School* aims at contributing to the Himalayan Buddhist Arts' preservation and continuation. The school's main function is to prepare young artists in the Buddhist thangka painting lineage. Dilgo Khyentse Rinpoche chose master painter Konchog Lhadrepa to study Karma Gadri painting style in Rumtek, Sikkim. This painting lineage has its origins in Eastern Tibet. Presently, the students are trained in this style for six years, under Konchog and some of the students graduated under the school supervision.

The *Shechen Philosophical College* has more than 120 students which are originally from the Himalayan region. Its nine years course is held by the supervision of Rabjam Rinpoche and several Khenpos. Students learn sacred texts about philosophy, astrology, and history, while debating about them. To obtain the Khenpo title at Shechen Monastery, a student must pass the Shedra's (Philosophy College), after nine years of studies, and serve as assistant teacher during the last four years. After obtaining the grade, the student becomes a Lopön (equivalent to the master's degree). Subsequently, he needs to teach five more years, or go on a long contemplative

or investigation retreat before he can obtain the Khenpo (PhD) title.

The 2015 earthquake caused serious damages to the temple of this same monastery, and frescos painted under the attentive supervision of Dilgo Khyentse Rinpoche were lost. Those same frescos were based on a text by Jamyang Khyentse Wangpo – a Buddhist master in the XIX century – with additional figures proposed by Dilgo Khyentse Rinpoche. A prayer service and traditional Tibetan Buddhist dance festivals also regularly take place in the Monastery.

The tradition of painting frescos that we can appreciate at Shechen, according to Rabjam Rinpoche, was not an invention by Tibetan Lamas, but something that already existed since the time of the Buddha. It was of common knowledge that during Buddha Shakyamuni's lifetime, a princess from Sri Lanka heard the teachings from some merchants. After getting very much inspired by them, and as she could not travel to see the Buddha, she has asked the Buddha to send her his picture. And this is how the first thangka was painted. According to Shechen, Dilgo Khyentse Rinpoche gave himself instructions about how each frescos feature should be painted: whom should be included, the implements they would detain, the adopted postures, as well as the appearance of each person. Even the less important aspect: whether they were thin or fat, had or not moustache and the facial expressions. He would sometimes confer about these details with Deshung Rinpoche, an academic and teacher of the Sakya tradition. According to Rabjam Rinpoche these murals are very special because they have been done under the instructions of Dilgo Khyentse Rinpoche himself [the last four paragraphs are this article author's free adaptation from *Shechen Website*]

In 2017, the International Centre for the Study of the Preservation and Restoration of Cultural Property's (ICCROM) level promoted a rich debate on the Asian Buddhist Heritage. Writing about Nepal Neel Kamal Chapagain, refers some of the dilemmas with which the authorities responsible for conservation are confronted. The main ones, according to him, are the different perceptions of the Buddhist Heritage between conservationists' authorities and Buddhists. According to the conservationists' authorities, while this Heritage seems to be something tangible to be seen in a museum, to Buddhists they are seen as living, something that supports life. This living Heritage would be the support to spiritual life of Asian populations which might include various aspects such as prayer, meditation, and study. Being the aim of this same spiritual life to attain the peak of existence, that is Enlightenment. According to this eastern meditation tradition, this practice would not aim at achieving health or stress relief issues but would have a farther vision. Some health issues would be solved as a key result from Buddhist

practice aiming at ultimate freedom from Samsara (negative and conflicting emotions).

### 3 THEORY

According to Mark L. Johnson, "the meaning of any object, quality, event, or action is what it points to by way of some experience". And we think that it would be important to reflect about *meaning* as a path to meditation. What we argue is that *Shechen Tennyi Dargyeling* Monastery architecture, as well as its frescos, thangkas, and statuary, and what we would call its *attendance*<sup>1</sup> [1], like their masters (Khenpos or others) and monks, or its activity like the regular prayer service and the frequently staged traditional Tibetan dances, bring sense to its visitors, thus contributing to the improvement and success of their meditation practices. Our hypothesis is that approaching *sense* (or *truth*) has the capacity to bring calm to our minds. This *sense* is related to the empathy with monastery life that its visitors might feel, and this might happen through their "Cerebral Mirror Systems". As Shechen Rabjam Rinpoche calls it: liberation through seeing, which can be achieved at an even more profound empathic level.

According to Harry Francis Mallgrave, the mirror neurons, or mirror systems in humans, was an important biological discovery that took place in the 1990s. This author also claims that the discovery, which he suggests being one of the most important discoveries in science in the second half of the past century, is still in its early stages, and that researchers are still far from reaching a thorough understanding of all its implications. During its discovery, in the early 1990s, as Mallgrave describes, scientists inserted electrodes in monkeys' brains to record the neuronal circuits involved with grasping objects, such as peanuts. What was found unusual, according to the author, was the fact that certain motor neurons became active in monkeys that were not grasping things but were simply observing others grasping objects. The neuroimaging demonstrates the existence of similar mirror systems in humans. According to this author, the discovery of mirror neurons and mirror systems have led to hundreds of studies of neuroimaging during the last fifteen years surveying their extent and significance. As it is commonly assumed that behind the Tibetan Buddhist monasteries construction is an altruistic intention, we wonder if this might not have some effects on the architecture. It might also be possible that those masters were extremely compassionate when working on their rigorous architectonic conception. By that compassionate rigor we mean not thinking only about themselves but also thinking of others, with an

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1. It is the use given to architectures by individuals.

ultimate goal of Enlightenment. The monasteries are meant to be places where one might achieve Enlightenment. The carefulness of the Tibetan masters can be infused on to the resident monks, and to some of its visitors, as we will see. And their carefulness as well as their concept of this architecture, with respect and veneration, would be transferrable to newcomers precisely through these Cerebral Mirror Systems.

Most of us has a concept of space and time acquired throughout our life experience and education. This concept might be distorted by too much *pressure*, or the opposite, exerted upon us by phenomena or other people. According to my Buddhist knowledge, our mental afflictions *invite* this unbalanced distortion, and this might be the main cause for disturbances in our mental lives. On the other hand, meditation happens when we free ourselves from these inner and outer circumstances. A building that promotes *active inner peace* in us – a state of inner peace where our thoughts are free to arise and flow – is a building that keeps or enhances meditation. Meditation meaning here a state in which we are comfortable in space and time, and where space and time are not disturbing us. Likewise, outer circumstances would bring harmony to our inner space and time. These very rare situation might be enhanced at *Shechen Tennyi Dargyeling* Monastery, by an ensemble of causes and conditions [*circumstances*] present in this Buddhist Architecture, that would be increased by its *attendance* and the slow taking in of this building ensemble through the Buddhist practice.

Architecture manifests itself through two important ways: it is either linked to the author's intention or by its reception. We argue that the intention of the author might be transported to its receptors more effectively on Tibetan Buddhist monasteries. This transference would be mainly conveyed through the initiations that its users receive from its "architect", the Tibetan Buddhist master that conceived and surveyed the monastery's construction. These initiations of *Mahāyāna* and *Vajrayāna* under the form of empowerments are occasionally given to its inhabitants (Khenpos, Lopöns and monks) and visitors. However, in order to have the full perception of the monastery's reality, these individuals have to spend several years mentally putting into practice these empowerments. This brings us to an esoteric perception of architecture, which we may find in some other examples from other traditions, such as in Quinta da Regaleira, in Sintra, Portugal. This complex of house and gardens was conceived in 1900 by the Italian architect and set designer Luigi Manini. In those symbolic gardens, where an initiatory well was built, we can glimpse references to mythology, the Olympus, Virgil, Dante, Camões, the "Ordem de Cristo" (which followed the "Ordem do Templo" in the Portuguese national territory, after the extinction of the latter - the great mystics and thaumaturges, the Royal Art enigmas, the

Alchemic Great Work) [this article author's free adaptation from Quinta da Regaleira Website]. A global perception of these architectures would not be direct, but would indeed presuppose study, meditation, and reflection to fulfill its entire potential. As such, their effect on users would deepen with new readings of this architecture, which would then bring new perspectives and elements not yet detected. All this suggests that monasteries such as *Shechen Tennyi Dargyeling* might have a direct influence on their visitors' meditation and consequently on the possible improvement of their mental, or even physical health. Influence that would manifest in a reduction of negativity, stress, and other health issues.

According to Mallgrave, although we may not generate empathy with each one of the inanimate aspects of the built environment, this simulation of features of the inanimate world returns us to the empathy theories of Semper, Theodor and Robert Vischer and Wölfflin. And this empathy, which is being denominated today as *embodied stimulation*, might be based in our *mirror systems*. This author reminds us of the Wölfflin's statement, according to which we animate architectonic events simply because "because we ourselves possess a body". Still according to the author, the optical nerve stimulates the motor nerves and therefore works sympathetically on our neural system thought our bodily organization. Mallgrave also refers that, in 2007, the art historian David Freedberg, with the neuroscientist Vittorio Gallese, argued that "the experience of (...) architecture worked through precognitive activation of the embodied mirror mechanisms involved with the stimulation of actions, emotions, and corporeal sensations". Furthermore, as an example, they claim that when we study the delicate chisel marks in the bas-relief of the Assyrian warrior depicted in the frontispiece by Diogo Boitaca, of the Mosteiro de Jesus (c. 1498), in Setúbal (Portugal), we admire the complexity and the detail of the author's hand by stimulating our own hand to create this work. This might suggest that the same might happen when we experience being in a Tibetan monastery such as *Shechen Tennyi Dargyeling*. All the imperfect perfection [Wabi Sabi] of this monastery, all its architectonics hints are clues to its other dimensions. All its other slow mentally perceived dimensions, which might be related with the internal structure of the human mind. This interconnectedness is what might improve our meditation and make us feel at home in such architectonic works, such as *Shechen Tennyi Dargyeling* Monastery.

#### 4 RESULTS

The enhancement of the perception of certain architectonic works, namely a Tibetan Buddhist Monastery,

might happen through putting into practice the *empowerments* received from a qualified Buddhist master. This perception enhancement might in turn have an important role, if not a decisive one, in meditation practice. And there is also a possibility that Cerebral Mirror Systems might play an important role in this enhancement of perception. As its associated embodied simulations could help taking hold of the building meaning and importance. And therefore, to *grasp* this manifestation of space and time, like when we draw a building, assimilating all its details. Thus, preparing the observer internal availability to further develop his first personal intuition. This might suggest that the immaterial part of this architecture would be its most important feature.

## 5 DISCUSSION

Jagath Weerasinghe discusses, in an article published in 2017, the relevance of *authenticity* to the Buddhist Heritage conservation. We would like to relate this author point of view with the monastery we have been analyzing, namely with the importance of a lively *attendance*, to the survival of the material part of architecture. This *attendance* is influenced by the material part of architecture in a non-determinant way, as this inanimate part of the Architectonic Heritage is the support for life and its experiences. Weerasinghe suggests that the main part of the Architectonic Heritage is the immaterial part - its “meanings and values,” reside in its material part, but also in “intangible aspects”. In this article we argue that the immaterial part resides in the *attendance*. Furthermore, the material part of the Architectonic Heritage is only one of its possible conditions of existence. Finally, we argue that the immaterial part of the Architectonic Heritage is the true Heritage, being the material part only one of its numerous manifestations. However, this should not diminish the importance of the preservation of the material Heritage, neither deem it unnecessary to human life and happiness, and in the present case, to the meditation practice.

## 6 CONCLUSION

This discussion might suggest that the preservation of the architectonic Heritage, in this case the architectonic Buddhist Heritage, should be done preferentially by individuals with some “mental training”, especially mental training in meditation. And we dare to propose a definition of meditation as in a non-disturbed presence in the world. If these conditions are not there, it might become more difficult to preserve the authenticity of this Heritage. This is because the preservation and

maintenance of the authenticity of a classified building is above all, *cosa mentale*. This might be central to what the Núcleo de Estudantes de Arquitetura da Universidade de Coimbra was also suggesting in 2012 by entitling their debates as “Arquitetura: *Cosa Mentale*”. The conservation of the Architectonic Heritage by professionals prepared by ICCROM should only not be an intellectual task, but instead should involve all their “being in the world”.

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# The territoriality of the Torres Vedras region between the French invasions and the consolidation of a liberal and bourgeois era

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**ABSTRACT:** Interpretation of the historical social conditions that determined the 18<sup>th</sup>-century territoriality of the Torres Vedras region, highlighting political and legislative reasons, ancestors linked to a vassalage relationship, which caused the transition to a Liberal and Bourgeois era. In particular, the importance of the Torres Vedras region as the stage of the Peninsular War and the civil war between absolutists and liberals that followed, seeking to understand the impacts of the new legislation that has revolutionized the previous socio-territorial structuring. Finally, we develop the importance of main agricultural production, being understood as a factor for the socio-economic reorganization that was established at the end of the 19th century.

*Keywords:* Rural territory, Country house, Liberalism, Torres Vedras, Linhas de Torres

The second half of the 18th century was marked in Portugal by the opposition between the despotism of Pombal and the return to the tradition of D. Maria I, a reality that expressed a tacit clash between a new bourgeois elite, enriched by profits of overseas trade, and a baroque court aristocracy. The truth is that, due to this ideological radicalism, the end of the century would be decisively marked by the traumas and hopes that the foundation of the United States of America and the French Revolution have originated. In fact, these two events, which legitimized a new era, revolutionarily made by free and equal citizens, have brought a socio-cultural foundation, resulting in a break with the Old Regime. This process has allowed the affirmation of a new liberal and bourgeois era. Indeed, by legitimizing a 'Declaration of Human and Citizen's Rights' and a 'Constitutional Charter', which guaranteed the individual right to self-determination, the matrix of the previous regime was denied, which was based on strict relations of subjugation and vassalage to any lord.

It is therefore in this ambivalent context that we will have to situate this new Portuguese era, understanding that the spiral of violence and the social rupture resulting from the French revolutionary process, came to originate along with our aristocracy a reaction that was amplified by the growing threat of military action of liberation by the new French state. Indeed, at the end of the Reign of D. Maria I was tormented by two main political factions, who opposed the traditional conservative model to the emerging revolutionary

idealization, which would lead to ambiguous alignments of Portuguese policy, clarified on 22 October 1807 with the agreement of protection with England and ports blockade to France. This reality precipitates the first French invasion and the consequent departure of the Court to Brazil later that year.

Indeed, the first French invasion, carried out on 30 November 1807 under the pretext of the protection of "evil English influence" (Araújo, 1993, p.23)<sup>1</sup>, came to establish a reforming economic framework, which was reflected in the subjugation of the Portuguese continental territory to General Junot, and the values promoted by the French expansionist and revolutionary politic. It should be noted, however, that this external subjugation did not translate immediately into a strict imposition, as it was largely based on the support of a major national political faction. Even though the real acceptance of some elites with the French occupation, the affront to national symbols, the imposition of heavy taxes, and the indulgence with the excesses of the invaders, will lead to a reaction on behalf of a restorative movement of the independence.

Despite this growing dissatisfaction, the removal of the French occupation was only possible by the action of the military intervention of English allies. In fact,

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1. All translations are the authors' except where otherwise mentioned. "malígna influência inglesa".



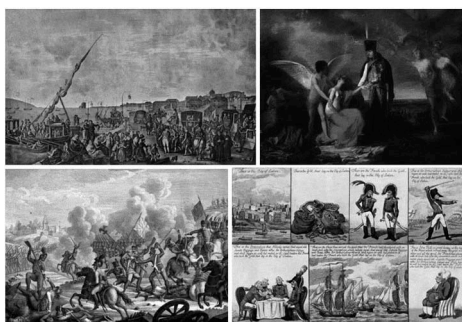


Figure 1. L'Évêque, Boarding of the Royal Family on 29 November 1807, 1815; D. Sequeira, "Junot protecting the City of Lisbon", 1808; the Battle of Vimeiro 1810-12; Woodward, satirical engraving on the 'Sintra Convention,' 1808.

the English military intervention began on 1 August 1808 with an Expeditionary force commanded by General Wellesley<sup>2</sup>, and would have the decisive stage in the region of Torres Vedras, because the relief and the location of these territories north of Lisbon were then considered the best natural defense lines to control land access to the Capital. The decisive battles of this invasion would take place between 17 and 21 August in the successive battles of Roliça<sup>3</sup> and Vimeiro<sup>4</sup> battles that would reveal Anglo-Portuguese military supremacy, which led to negotiations and the end of this invasion.

Despite this first victory, France would seek to repeat this invasion, first through an army commanded by General Soult, which would traverse the North between May and March 1809, and, the following year, by the last invasion under the command of General Massena. Massena, at the head of a powerful army, would take the fortress city of Almeida advancing later to the coast, and was where occurred the battle of Buçaco on 27 September. But, although partially defeated by the Anglo-Portuguese

forces, the French would eventually circumvent this position by advancing then through Coimbra and towards the South, but with the difficulty of crossing the lines of defense of Lisbon. Once again, this territory would be the key to the decision of the war, because a formidable system of fortifications was built in the main high points of the territory, the Torres Lines ('Linhas de Torres'), a system of defense that controlled the valleys to access to Lisbon.

It would be on these lines, occupied between 9 and 11 October 1810 by the Anglo-Portuguese army, that the final confrontation of this last invasion would take place. The French were unable to overcome the first defensive line located in the village of Torres Vedras. Indeed, after understanding the French inability to overcome these defenses, a five-month impasse was created, an impasse that would be broken by the absence of supplies to the invaders. So, in March 1811 they slowly retreat towards the border, ending the Peninsular War in Portugal.

Therefore, the conjunctural context of the early nineteenth century, where these two antagonistic worlds confronted each other, is important to understand the transformation of the territory of Torres Vedras. This region was during this short but significant period, one of the important places of 'revision of the World', and as such, there would be indelible consequences and transformations.

Indeed, when we revisit this region in this period, we must understand it not only as part of the violent but transitory ferocity of its dramas and horrors, made of deaths, occupations, looting, hunger, and fleeing populations but above all in the transformative dynamics that the war economy and the permanence of the huge armies inevitably originated.

In fact, if the First Invasion caused an episodic occupation, its immediate effects being limited to devastation and plunder by the warring armies, the last invasion gave rise to another type of deeper impact, either by the construction of enormous defense structures or by the long stay of the large armies<sup>5</sup>, with all the logistical needs associated with them. "In Torres Vedras, a place of great concentration of troops, as in other places, the population is going to be greatly displaced and, for this reason, the houses and properties that are abandoned are being emptied. The public offices suffer the natural damage caused by improper occupations, fires, and other vandalism. According to

2. Been successively made first Baron (1809), Viscount (1809), Count (1812), Marquis (1912) by the British Crown, it would also be entitled in Portugal as 1st Count of Vimeiro (1811), 1st Marquis of Torres Vedras (1812) and, symbolically, Duke of Victoria (1812).

3. The Battle of Roliça was fought in the vicinity of the village of Roliça, on 17 August 1808, by the Anglo-Portuguese forces of General Wellesley, and the French forces commanded by General de Delaborde. This was the first major confrontation between the British Expeditionary force and the French, being forced to withdraw, but delaying the advance of the Anglo-Portuguese forces that meet again in the Battle of Vimeiro.

4. The Battle of Vimeiro took place on 21 August 1808, near the Vimeiro, a new confrontation arising from the withdrawal of the French army from the Battle of Roliça. The battle resulted in victory for the Anglo-Portuguese forces and precipitated the end of the first French invasion.

5. It should be noted that the system of the Linhas de Torres covered linearly more than 80 Km and consisted of 152 fortifications, fortifications that will have been defended by 36.000 Portuguese, 35.000 British, 8.000 Spanish and 60.000 non-scheduled troops, there are also estimates that 150,000 peasants participated in its construction.

Madeira Torres (...) the English camped in the village and its houses were ruined in such a way that the walls crumbled, the wooden floor and wine barrels were burned, (...) and the churches were occupied and transformed into barracks or slaughterhouses” (Vicente, 2011, p.164)<sup>6</sup>. In this context of exception, and corroborating that “the majority of local studies dedicated to the famous Lines (...) always neglect the political, social, patrimonial, and economic impacts of these fortifications” (Vicente, 2011, p.151)<sup>7</sup>, we should consider two specific aspects of this occupation with significant territorial impacts.

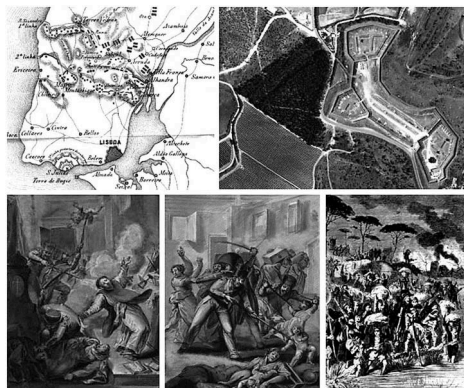


Figure 2. Luz Soriano, Linhas de Torres Vedras in 1810-1811, 1874; Fort of São Vicente, Torres Vedras; Cyrilo V. Machado, drawings of the French Invasions, 1807-1809; Alberto, populations fleeing the French army, 19th century.

The first concerns the strict vestiges of defense systems, which have great historical value but have little impact on the direct transformation of their places, a reality that can be seen both by its almost total physical disappearance and by its absence in the collective memories of local populations. The second, invisible by its irrelevance in the heroic topology of history, but for us much more important to understand the physical and cultural dimension of the territory relates either to the influence caused by the permanence of people with

other cultural references, the extensive fortification works and the pragmatic needs which have effectively ensured the permanence of the armies.

Specifically, on the external cultural influence, we highlight the relevance of this interaction for the affirmation of new ideas, such as the diffusion of liberal customs and the dissemination of Neoclassical English influence, which already carried romantic values that vulgarized the organic reference of the English garden and contradicted the archaic references of Baroque. Symptomatic of this reality, “within the Lines, supplies were not lacking. There was no great shortage of food, and some amusements continued to run as if the army were not at war, but in England. On weekends, people from Lisbon came to visit the Lines” (Gurwood, 1834/2011, p.151)<sup>8</sup>.

On the economic effects, when we look closely at the physical territory, considering the escape of populations at the violent moments of the confrontations, stands out that both changes in the landscape caused by demolition and deforestation give priority to the visual control of the battlefield. Additionally, the military permanence in a territorial defense system demanded the temporary fixation of large populations that supported the logistics of the armies, along with the opening of military roads that had nothing to do with the infrastructure of previous farms. About this reality, one should highlight that, after this intense occupation, the impacts of the hypertrophy of some settlements were certainly caused by the inertia of the temporary settlements. In fact, these places tended to maintain some of this greatness even after the progressive irrelevance of their military causes, either by the links established by the occupants, by the added value of the infra-structures and by the minimum maintenance of the military posts created.

On the other hand, despite the devastation caused, it was also paradoxical for the local economies, the incomings caused by the army corps stationed near the main settlements. In particular, because of the economic impact of payments on taverns, markets, or other places, as happened in the villages of Torres Vedras, Sobral de Monte Agraço, Mafra, Gradil or Alverca. Indeed, despite the difficult quantification of these realities, the economy of this region has had in this short time so much sudden and traumatic destruction, as an exponential increment of some of their socio-economic activities.

After the period of the Peninsular War, in a country exhausted by the violence of the French and the compensations demanded by the British in the post-war, the Portuguese army will start on 24 August 1820

6. “Em Torres Vedras, local de grande concentração de tropas, como noutras localidades, vai assistir-se a grande evasão da população e, por essa razão, ao esvaziamento das casas e propriedades que, abandonadas, são pilhadas. As repartições públicas sofrem os estragos naturais que advêm de ocupações indevidas, incêndios e outros vandalismos. Segundo Madeira Torres (...) ‘os ingleses acantonados na vila ocuparam a povoação e as suas casas que arruinaram de tal maneira que as paredes se desfizeram e o chão de madeira e os toneis de vinho foram queimados, (...) as igrejas foram ocupadas e transformadas em casernas ou matadouros”.

7. “A maioria dos estudos dedicados às famosas Linhas (...) quase sempre descuram os impactos políticos, sociais, patrimoniais e económicos dessas fortificações a nível local”.

8. “Dentro das Linhas, os mantimentos não faltavam. Não havia grande falta de alimentos, algumas diversões continuavam a efectuar-se como se o exército estivesse, não em guerra, mas na Inglaterra. Aos fins-de-semana vinham habitantes de Lisboa, para visitarem as Linhas”.

a rebellion, which, along with the removal of British rules, will seek to establish a first constitutional movement in Portugal. Despite the disappointment of the ‘French help’, the revolutionary seed remained and started closing the Old Regime, a process that will originate a cycle of a traumatic war, which will only end with liberal consolidation. Although this first constitutionalist movement was soon annulled in 1823 by “forces attached to the old, rural and manorial Portugal” (Marques, 1990, p.23)<sup>9</sup>, this first liberal revolution soon forced the change. This movement inaugurated the parliamentary system in Portugal and provided the right to vote for the courts, either because the first constitution kept the monarchy subject to clear egalitarian and liberal principles<sup>10</sup>.

In addition to these realities, this irreversible movement also implied, under the threat of the dismissal of the Portuguese Crown, the forced return to Portugal of Braganza Court on 3 July 1821. So, King D. João VI was forced to leave Brazil and resettle in Lisbon, and accept the impositions of the new authorities instituted, despite the opposition of the factions associated with the absolutist tradition, the recently created constitution of 1822. Moreover, it was from these factions that a reaction to the new political model was realized, a reaction that materialized in 1823. Indeed, through the Vila-Francada, the Infante D. Miguel restored an ambiguous absolutist regime still under the tutelage of D. João VI, who nevertheless reinstated in 1826 a more moderate Constitutional Charter. However, in 1826 D. João VI legitimized the future King D. Pedro IV, but Infante D. Miguel refused the legitimacy of his brother. In this context, D. Miguel made himself acclaimed on 11 July 1828 as King of Portugal, restarting the absolutist conception of real power.

This so-called usurpation of the crown by D. Miguel, will initiate a process that will lead to a violent civil war between the two rival factions, which, more than the dispute between two claims to the national throne, were in fact two alternative ways of understanding the world. The first faction, D. Pedro IV and his daughter the future Queen D. Maria II, were supported by England and adherents of a more liberal policy, the second faction was represented by D. Miguel and the Old Regime, supported by the traditional clergy and the Imperial House of the Habsburgs.



Figure 3. João B. Ribeiro, D. Miguel I, c.1828; H. Daumier, D. Pedro IV and D. Miguel I dispute the Portuguese crown, 1833; J. Simpson, D. Pedro IV, s.d.; the Battle of Torres Vedras, 19th century; Castle of Torres Vedras, 1890–1900.

Indeed, the brief but repressive reign of D. Miguel came to recover a totalitarian and discretionary sense of the real power, rejecting the previous Constitutional Charter and provoking with its repressive action the exodus of the liberals abroad. This reality implies a reaction of D. Pedro IV and the Portuguese liberals, supported again by English politics, and start a war for a cause that promised a new Constitutional Charter. This war began, with the heroic resistance of the Oporto, held between 1832 and 1833, and was imposed progressively until the final victory of the liberal faction in 1834.

Parallel to this political redefinition, between the end of the civil war and the establishment of a new liberal constitution in 1838, a new romantic era was defined in Portuguese life. This era was largely triggered by the newly acquired experience beyond the borders of political exile and that will be marked by the death in 1834 of King D. Pedro and the accession to the throne of the young Queen D. Maria II. Indeed, it was in her reign that a profound liberal reform of the state was initiated. The reforms of the liberals will change the Portuguese life, resulting from symbolic measures that transformed the socio-cultural structure, such as the growing secularization of the state and the radical extinction or secularization of religious orders, the proclamation of the press freedom or the creation of protective institutions linked to cultural promotion. If the liberal victory renewed socially and politically the country’s old ideological structures, the truth is that soon the optimism of the victory would be lost, by the violent dispute between factions, such as the war that took place between a liberal faction and an until present absolutist faction.

Despite the wanderings of the wars and although the country was already in a period of full romantic affirmation, in the Torres Vedras region, this cultural reality was not immediately evident in its territoriality. The fact is understood, by the peripheral character of

9. “Forças apegadas ao Portugal velho, rural e senhorial”.

10. This 1822 constitution proclaimed equal rights for all citizens, refusing prerogatives to the clergy or the nobility, subjecting the exercise of royal power to the respect of three independent powers – legislative, executive, and judicial. Therefore, this constitution undermined social differentiation in the allocation of privileges, as were the rights of the forage and the lordly privileges of land ownership, thus paving the way for a territorial reorganization.

the region for the elites of Lisbon and by the fact that this is not, for its soft and mild landscape, a seductive 'romantic region'. Indeed, in the first half of the 19th century, the region was socially marginalized both by the destabilizing impact of the wars and by the fact that Lisbon and the romantic Sintra centralized the societal life, a trend that was further accentuated in the second half of the century, as these places allowed the desired visibility and worldliness that was central to a social affirmation. In an increasingly liberal and bourgeois time where the reality of Parliament, the Court, the garden of 'Passeio Público', theatres, commerce, or even proximity to new industries were central to new bourgeois life, along with the romantic desires recognized in Sintra, the socio-cultural marginality of Torres Vedras and its rural matrix, was obviously not a particularly appealing reference.

However, the territory of Torres Vedras wasn't stagnant because this did not happen. In the first half of the 19th century, the liberal policies began, the aristocracy and the clergy lose their privileges, and happened a restructuring of the ancient rights of the land, in addition to state reforms that extinguished or reduced land taxes of the forays and control of the Crown's assets. This last reform truly calls into question the Old Regime matrix, that established the relationship between lord and vassal.

In fact, an irreversible transformation was begun, altering the old land ownership links, a reality that transferred the ownership of the properties in the region. This reality will bring investment by a bourgeoisie enriched in trade and industry, which seeks, along with the affirmation of its local and conjunctural social prestige, to apply it in more speculative agriculture. This reality implied a reaffirmation of the vineyard because this was the culture that guaranteed a higher return value for these concrete investments. The direct result of this new ownership of the property is the dynamism that will be accentuated in the construction or renovation of new farmhouses because whoever had capital could acquire land and build on it without royal submissions.

The House, in this new context, no longer affirmed the power of an aristocratic nobility, but an emerging and enriched bourgeois class, that sought to mimic these main cultural references.

According to Rodrigues, in the 19th century "the number of landowners belonging to non-privileged social classes is significant. Indeed, they are the ones who have prevailed in all the parishes. Carefully analyzed, these landowners do not have the best properties or those with the highest unitary yield, but the numerical expression of it gives the expression of the rural bourgeoisie. (...) It is a phenomenon of social mobility, which is possible because it is an economic field, traditionally harnessed to the nobility, but which, in the slow transition to liberal capitalism, also becomes attractive to the investment of bourgeois anxious for the barony. (Rodrigues, 1996, p.238)<sup>11</sup>.

However, if the legislation breaks the tradition in the ownership of agricultural land by attracting new capital and a new dynamic in its management, it also made it easier to subdivide the land, because, with the end of the lord's idea, the right of a single descendant to inherit all the family assets finished. In the past, the conditioned ownership and the rules of inheritance induced the immobilization of land ownership, now the opposite is beginning to happen. The land could be freely sold and shared by successors, realities which, were certainly the main causes of the break-up of the former land domains, with repercussions on the agricultural holdings and their possibilities.

Beyond this framework and understanding of the progress and stabilization allowed by the liberal policy of the reigns of D. Pedro V and D. Luís, this time came to affirm a new situation that would provoke changes in the country and the region. It is accepted today that in this period "the national agricultural product grew at an approximate rate of 1% per year (...) in the period between the 1850s and 1900" (Rodrigues, 1996, p.238)<sup>12</sup>. This increase in production can be attributed to extensive growth; that is to say, the development of larger areas, and not directly to the qualification of production processes with new agricultural techniques or using chemical fertilizers and pesticides.

However, we cannot ignore the agricultural specificity of the Torres Vedras region, understanding the transformations triggered by legislative changes and progressive improvement of infrastructures. These transformations resulted also from the new capitalist investments, which were now concentrated mainly on the most economically profitable productions of wines and cereals.

In the wine production, we will have to reflect both on its impact as an export product with easy immediate economic return for its producers, so they were able to apply this return in the improvement of their new houses and rural areas, as well as in the disruptive impact caused by the three American pests'. First, the mildew, which began to affect the vineyards in the middle of the century, and after the phylloxera and powdery mildew, began to devastate

11. "O número de titulares de terras emprazadas pertencentes a estratos sociais não privilegiados. Com efeito, são eles que preponderam em todas as freguesias. Vistos os dados com atenção, não lhes pertencem as melhores nem as de maior rendimento unitário. mas, indubitavelmente, a sua expressão numérica da uma medida do papel da burguesia rural local (...) Trata-se de um fenómeno de mobilidade social, aqui possível por se tratar de um campo económico, tradicionalmente arreigado à nobreza, mas que, na transição lenta para o capitalismo liberal se torna também apetecível ao investimento de burgueses ansiosos pelo baronato".

12. "O produto agrícola nacional cresceu a uma taxa aproximada de 1% ao ano (...) no período compreendido entre as décadas de 1850 e 1900".

the vineyards that were considered the main wealth of the region. Regarding phylloxera disease in the Torres Vedras region; “in the most important rural parish at this time – S. Pedro and Dois Portos – notable for the presence of the most important farms, in the late summer of 1889, the vineyards of the parish are completely destroyed by phylloxera. The situation of economic collapse generated in the fundamental part of the local economy appears in all its crudeness in a report to the Government, which is set out in the municipal judgment of 9 January 1890. Regarding the revision of the building matrices of the county, which was imposed by the current situation, it can be read, that the building matrices of this County were organized at the time when the culture and wine production (...) had reached their maximum (...). To the prosperity of that time, succeeded misery, because the phylloxera killed the vineyards” (Rodrigues, 1996, p.248)<sup>13</sup>. In fact, the effective problem of the phylloxera would only begin to be achieved in the 1890s, when it began to graft endemic varieties of American vine strains. This technique stopped the disappearance of vineyards but required their replanting, and as such, it would be a long process that would limit the quantity and quality of productions. In other words, in this last period of the century, there was an era of progressive apprehension and despair, when the most profitable and more specialized products in the region were very much at stake. The lack of effective solutions would entail a strong constraint on the production and the resulting effective economic resources.

The cereals production, beyond its market value, was also integrated into the efforts of liberal governments to stimulate and protect their production at the national level because its lack in Portugal was chronic. However, considering the alternatives and the natural conditions of the region, this crop did not appear as the first of the choices of most producers, even when it was assumed as a possible alternative to the plague of phylloxera. In fact, unlike the large Alentejo plains, the average size of the region’s property was increasingly less correct for the planting of

this extensive crop, especially when it faced very specialized production aimed at the market; in 1895, compared with wine, “the cultivation of cereals does not give profit” (Rodrigues, 1996, p.251)<sup>14</sup>.

Therefore, about the economic impact and regional hierarchy of these two cultures, we have a tester that can be made from the analysis of the old physical structures of the farms and agricultural supports. Indeed, mills were a hallmark of the region, they were an image of a past time since as we move forward in the nineteenth century, they are obsolete in the face of the steam milling existing in the factories in Lisbon, unlike the large volumes of the wineries built at this moment. These wineries tended to hierarchize the farms and the main agricultural supports of the territory, assuming themselves as the most remarkable structures that required greater technical and economic resources for their construction.

To conclude this synthesis, a synthesis of about a century of social and political transformations, we still need to note the impact of the infrastructural and technical effects allowed by the emerging policy of Regeneration. Particularly those aspects, which have been instrumental in restructuring the actual conditions of a new era of progress, such as the general improvement of roads and means of transport, that would be confirmed by the revolutionary deployment of the new emerging means of the Industrial Revolution. In fact, when we think about the progress of the nineteenth century, we tend to focus on its innovative nature, but this reference tends to be excessively limited because it simplifies a process made of interrelationships, complementarities, and successive punctual advances.

13. “Na freguesia rural mais importante nesta época – S. Pedro de Dois Portos – notável pela presença de quintas das mais importantes, no final do Verão de 1889, as vinhas da referida freguesia se acham completamente destruídas pela phylloxera. A situação de descalabro económico gerada na peça fundamental da economia local aparece em toda a sua crueza numa ‘representação’ ao Governo, que consta de acórdão da Camara de 9 de Janeiro de 1890. A propósito da revisão das matrizes prediais do concelho, que se impunha pelo actual estado das cousas, pode ler-se: as novas matrizes prediais deste Concelho foram organizadas na época em que a cultura e a produção vinícola (...) haviam atingido o seu máximo (...). Como é sabido à riqueza dessa época sucedeu a quasi miséria porque a phylloxera matou os vinhedos”

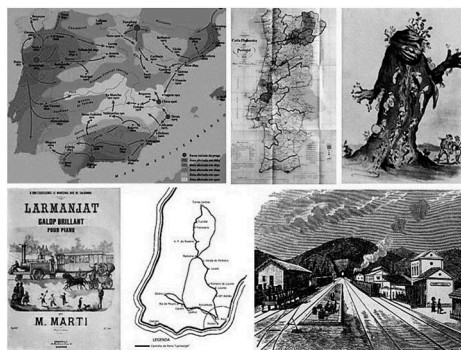


Figure 4. Luis F. Hidalgo, map of the phylloxera in the Peninsula, 1993; F. Almeida, “Influence of Phylloxera in Portugal, 1884; Rafael Bordalo Pinheiro, satirical comparison of the Country to the effects of phylloxera, s.d; ‘Larmanjat’, 1872; plan with the routes of the ‘Larmanjat’ and the railroad, s.d.; Torres Vedras train station, 1890–1900.

14. “A cultura dos cereais não dá lucro”.

In fact, more than a time-lapse process, the development of the region's infrastructure was primarily made by the need for military roads for Linhas de Torres system since a significant part of its efficiency would be the result of the mobility of military resources and the logistics associated with them. In addition to this, we should also highlight the introduction of the pavement of the regional roads according to the method of John Loudon McAdam<sup>15</sup>, commonly known as the macadam method, which despite requiring more manpower in its construction, had an enormous advantage in its use.

In parallel with these realities, the regular passenger transport system should also be highlighted, specifically the stagecoach routes to Lisbon and to the river port in Alhandra, which from the middle of the century began to proliferate, as well as the high number of wagons and trains that made the transport of goods. A reality that is highlighted by the Journal of Torres Vedras in 1885; "It is estimated that between 60 and 100 wine carts are transported to Lisbon every day, and we do not mention the private rental train routes, which, in average terms, must be regulated by three and four each week" (AA. VV, 1885/1996, p.321)<sup>16</sup>.

Beyond these important realities, this situation was territorially transformative, for times and distances in a very short time will be different. The introduction of the railway, first in 1873 by the inefficient Larmanjat, which was conceived as a single-rail line, and after by the rail itself, made it possible to change definitively both passenger transport and the transport of goods. Indeed, with the arrival of the train from Lisbon to Torres Vedras, on 30 December 1886, the temporal distance and comfort were altered. The cost and carrying capacity were determining factors for the exponentiation of specialized agriculture that depended on the market and exports that took place in Lisbon.

In another framework but largely dependent on him, we must also mention the thermal complex of the 'Cucos', formally inaugurated in 1893, and later, in 1896, the opening of the Vimeiro baths, realities that marked another way of exploring the territory, a new activity that will be accentuated in the region throughout the 20th century - tourism. In fact, new opportunities, new costumes, and a new social reality were beginning to emerge from the matrix rurality of the region, a reality that in the Cucos complex<sup>17</sup>, happened in an aristocratic landlord territory.

Complementing these regional developments, the inauguration of the telegraph line on 23 June 1865 and the improvement of street lighting in the village of Torres Vedras by the gas system established in 1888, were factors that anticipated the revolution allowed by the introduction of electricity, a reality that would only happen in 1912 in the new Republican Regime.

To summarize the decisive lines of this century on the territoriality of the Torres Vedras region, some invariants can be highlighted.

Despite the politico-social and technological progress of this liberal and bourgeois century, the region remains a rural territory, largely preserving the main crops that shaped its historical course – the vines and cereals. It should be noted in this era of the progressive fragmentation or devaluation of the great aristocratic or ecclesiastical landlords, as well as the proliferation of new farms – and new farmhouses – of a socially emerging bourgeoisie. This bourgeoisie has given agriculture a new dynamic and specialization aimed at the market, but at the same time, through political altercations, the reduction of the size of properties, overproduction, and the plagues that marked the century, created new limitations to its actual exploitation. Understand this complex and ambivalent circumstantial framework, we can best comprehend the evolution of the next century, a century that would deeply mark the current determination of the region that mirrors our own contemporaneity.

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15. It is significant the Vieira reference that points out that the road of Runa, which will have been the first to use this process, has only begun in 1849. (Vieira, 1926/1991, p.142).

16. "Calcula-se de cerca de 60 a 100 diariamente as carroças com transportes de vinhos para Lisboa, e não mencionamos as carreiras particulares de trens de aluguer, que, termo médio, devem regular por três e quatro cada semana".

17. In the case of this thermal complex, it should be noted that these were in the former manor territory of the Quinta da Macheia, which at the end of the 18th century belonged to the last Captain-Major of Torres Vedras.

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# The territoriality and rural houses of the Torres Vedras region between April 25 and contemporary democracy

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**ABSTRACT:** Interpretation of the historical and social conditions that determined the territoriality and transformation of rural houses in Torres Vedras after April 25, 1974. This period was marked by the stabilization of a new democratic regime, which will entail effective socio-territorial transformations. Specifically, the changes caused by the new European and democratic conjuncture will lead to a new dispersion of the houses, together with a loss of value of the former agricultural realities. This context is also related to the ambivalent transformations that will re-characterize the territory – a real transformation of the traditional housing, the devaluation of agricultural activities, and an apparent disorder of the landscape. Finally, an attempt is made to understand the current state of territory, including the impact of new planning instruments and the progressive conversion of agricultural and housing realities, looking forward to the sustainability of possibilities that are presented today as valid for the future.

**Keywords:** Rural territory, Rural house, Territorial planning, Democratic regime, Torres Vedras

Specifically, about 25 April 1974, it seems that everything has already been told to us. However, more than analyzing the circumstances of the great events and political actors of the Revolution, it is crucial to understand the transformations that changed the organic evolution of a previous discourse – made of authority, made of certainties, made of fears. In fact, the country was waking up surprised, surprised but fast adhering to a situation of change that claimed to liberate and revolutionize the society, promising to redistribute the available wealth, a reality that would structurally reverse the previous political situation.

Thus, the National Union ('União Nacional') was ended, the legitimacy of corporatism was ended and consensus for the 'good of the nation' and political parties multiplied, whether they were at the level of the country or at the level of a new and democratic autarchic power, the war in Africa and the Empire was over. Moreover, it was promised constitutional rights to housing, health, education, and work without exploitation, a reality that required the nationalization of production, the 'end of the employers', and an agrarian reform – for better or worse a whole ephemeral 'new world' began.

Therefore, at this time of change, where the overseas territories had irremediably disappeared, submerged in tumultuous processes of independence, a minimum pay was institutionalized, a worldwide health service and effective social security, because



Figure 1. 1st Page of "República", April 25, 1974; photography of the 1st of May, Lisbon, 1974; Vieira da Silva, poster for the 25th of April – "Poetry is in the Street", 1974; Cover of "Time" – "Lisbon's Troika; Red Threat in Portugal"; João Abel Manta, caricature, s.d; poster supporting Vasco Gonçalves, 1975.

there was now the right to a social pension and to unemployment, sickness, or disability benefits. In this dialectic moment, the mythification of Europe was emerging in a new direction. Indeed, this was a process of admission to the European Economic Community (EEC), initiated in March 1977, and concluded in the European Community (EC) in January 1986. This community became the European



Union’ (EU) after the Maastricht Treaty of 1991, which abolished the right of veto of states on many fundamental issues and which would lead to an ‘imperfect’ creation of the Euro in 1999.

In this new economic time, characterized by a gradual democratic serenity, Portugal has found a possible path to progress. In fact, many European funds arrived, which have helped to build large infrastructures, main sanitation and electricity, new schools, hospitals, and many other things have been built. At the same moment, a society was emerging that required new patterns of consumption, new services, shopping centers, easy credit, and the acquisition of multiple consumer goods, facts that impulse to an optimistic political reality. This reality was consecrated, paradigmatically, in the great ‘Exhibition of the Oceans’ of the EXPO 98.<sup>1</sup>

Now Portugal was different, marked by consumption, went on vacation, had its own house and often second dwelling, but also, despite the declared extension of schooling, it was still an unprepared country increasingly open to external competition and increasingly indebted. In fact, now the imperceptible external threats were beginning to produce their effects. By the ‘enchantment’ of a time of progress, Portugal had rapidly developed services in the detriment of its traditional sectors of production. The immediate European subsidies reduced fishing, grubbed up vineyards and abandoned many of the plots of cultivation, dismantled its heavy industry and its small and medium-sized enterprises were faced with the shock of a large market. A crisis process was affirmed, a crisis that would naturally deepen with the opening of Europe to the East and free competition based on effective and deregulated global trade.



Figure 2. Posters for the 1986 and 1991 parliamentary elections; front page of the Daily News - “We have Expo”, 22 May 1998; the evening show of Expo 98, Lisbon, 1998.

So it is in this context that we will have to understand the specific evolution and territorial transformation of Torres Vedras region, a reality that began to be marked by the revolutionary alterations of the post-April 25. This reality, more than imposing immediate effects on the territory, tended to impose a structural change in the corporate organization of the State and in the relations and social hierarchies. The power relations of the old guilds, cooperatives, and federations had been called into question. In fact, one of the most profound changes triggered by the revolutionary process was the rejection of the old logic of a corporate state, a state without trade unions but based on a logic of protection of corporations. This reality was soon questioned by the II Provisional Government of Engineer Vasco Gonçalves, which legislates in the sense of “the progressive extinction of the corporate system and its replacement by an administrative apparatus more adapted to the new political, economic and social realities”.<sup>2</sup>

Indeed, from the times of the revolutionary process, the symbols of the power of the previous regime were challenged. In Torres Vedras the power of the National Wine Board (‘Junta Nacional do Vinho’) was challenged, a fact that reflected a new social consciousness that reclaimed new rights and another representation among small producers and rural workers.

In this context of uncertainty and increasing difficulties for production, especially since production was still based on the previous socio-economic logic, an atmosphere of crisis was becoming more pronounced and more widespread. A tacit impasse created by the latent conflict between the claims of the owners and workers and the profitability of the system, that was not prepared for such radical adjustment, demanded a new social-political conjuncture. It is therefore no surprise, that the landowners will become increasingly unavailable to invest in their properties, either because of great inflation or because the revolutionary process had conditioned their capital. Now, it must be noted the importance of the break-up of the shareholder system, a reality that implied significant changes in the matrix framework of the territory.

Indeed, the process of abrupt social change suddenly brought about a profound change in the evolution that was taking place in rural territory. Indeed, the lack of manpower was being replaced in the 1960s by greater mechanization and rationalization of production processes, as was the case in the vineyard. After the revolution, this investment was significantly interrupted, a reality that will lead progressively to the loss of the economic value of the rural territory, and consequently to its disorder,

1. Reference to Expo 98 (1998 Lisbon World Exposition – “The Oceans, a Heritage for the Future”), exposition realized in Lisbon, from 22 May to 30 September 1998.

2. Extract from the Decree-Law on the “extinction of corporate bodies” (extinção dos organismos corporativos) created under Decree-Law No 23049 of 23 September 1933; Decree-Law No 443/74 of 12 September.

divestment, and abandonment. This context will lead to the removal of the former traditional owners of their rural homes and family farms, which is why these houses will in many cases be abandoned, subject to an 'absence' that will extend from the late seventies to the whole eighties a reality that will manifest itself both in the conservation of its architectural heritage and in the productive capacity of those farms. Once again, we are facing an ambivalent reality, because, by a nostalgic character one can regret this loss of heritage, the old houses and farms were an effective socio-cultural heritage accumulated throughout the work of generations, but the truth is that its decadence gives the way for a new territorial reality, made up of multiple and new owners.

This reality also induces a new vitality, possibly more suitable for a 'new democratic' time'. Concretely, we are facing a time when new constructions will begin to proliferate a little everywhere, a reality that is enhanced by access to housing and the new infrastructure conditions for water, sanitation, and electricity, but also by the vulgarization of road transport, which makes it easy to reach places that were previously isolated and marginal. In fact, we are facing a profound transformation of the territory, accentuating the dispersed settlement according to the accessibility of roads and to the detriment of more concentrated villages, and places.

We should also reflect on the ambiguous relationship with the European Economic Community incentives for the modernization of the agricultural sector, resulting from the Common Agricultural Policy (CAP) in the 1980s and 1990s, and the creation of over-dependence by agricultural producers on these subsidies. In this context, the apparent irrationality of planting solely based on obtaining subsidies, a reality which despite the economic rationality of an immediate return endangered the specialization of traditional rural production, is divergent from a sustainable development strategy.

However, it is significant that it was also the result of this same process of Community subsidies, that began to restructure the culture of vines in the region. In fact, these subsidies were fundamental to a new vineyard culture, because at the time this sector was going through a huge crisis, a reality that would have a significant impact on the amount of vine cultivation, which would affect the vitality and preservation of its cooperative sector. Therefore, the wine specialization of the region was traditionally a wholesale production, because the cooperative wineries mainly valued the 'large volumes', a reality that has been confronted with an anachronistic product that is unsuitable for the new market.

To overcome this reality, Community aid has in fact been decisive in reducing the areas of production and restructuring existing vineyards, a situation which has been achieved by encouraging the grubbing-up of vineyards, as a means of minimizing production and

increasing the relative value of production, and subsequently by its qualification, qualification which involve new vines, the modernization of wine-making processes and a strategy for enhancing marketing resources. In fact, nothing could stay the way it was before; a context which would require the change of the still dominant wine-growing cooperative sector, a process which has led to insolvencies, but which has begun to create opportunities for the new higher-value productions, more differentiated and able to promote integrated projects in agriculture and tourism generating sustainable socio-economic value. Resulting from this reality, was a trend towards an uncontrolled increase in the dispersed settlement, a trend that will give rise to a wave of construction that quickly spreads in the rural landscape and that already had little to do, typologically and morphologically, with the traditional housing that characterized the rural territory.

Indeed, due to the availability of the land and because there were new conditions in rural housing reality, new housing patterns were required, wherever the symbolic, functional, comfort, or space dimensions no longer had anything to do with the old houses. Therefore, other houses and new realities were built or rebuilt, either to better accommodate the car or to satisfy new experiences, because the omnipresence of television trivialized desires and moved people more and more away from public space.<sup>3</sup> This situation tried to respond to the proliferation of first and second homes of the urban population, often with family links to places of origin or with a desire to regain an even idealized rapprochement to a rural world. So, it can be said that we face a re-characterization of the territory, because despite the lack of architectural quality of the buildings, what has happened is a sudden readaptation to new activities and effective new ways of life.

However, despite this dispersion and re-characterization of the construction is now evident, we should point out that this reality was not entirely random or as intense as we can interpret in the first observation. In fact, it should be noted that this reality tended to concentrate its deployments near the boundaries of the former settlements and the pre-road infrastructure existing, which has tended to occur mainly in the regions close to the coast. Despite this dispersive reality, the truth is that it did not happen in a homogeneous way. We recognize today that concentration in coastal regions is evident, in contrast to more interior territories clearly less pressured by the construction. This concentration is particularly visible on the road between the City of Torres Vedras and the coastal zone of Santa Cruz Beach ('Praia de Santa Cruz').

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3. It is essential, for the study of the transformation of the space of the house, the relevance of the time acquired by television from the beginning of the eighties, because it modified the pattern of social habits.



Figure 3. House in Silveira; view of the road Torres Vedras/Santa Cruz Beach; aerial view with the settlement dispersed in the territory (Boavista and Silveira); rural house remodeled, Turcifal.

It is therefore important to understand the dependence on road infrastructure and the impact of this deployment, which could explain the perception we have today, because it happened in the points of greater visibility, a fact that increased their virtual perception. Consequently, the perception of landscape impact has increased, a reality that, for better or worse,<sup>4</sup> will tend to condition the future image of the region.

For this re-characterization, we should also refer to the specific planning process which has regulated this growth. Indeed, it is recognized today that the lack of a macro-regional strategy,<sup>5</sup> limited to the ‘recent’<sup>6</sup> areas of the National Agricultural Reserve (‘Reserva Agrícola Nacional’ – RAN)<sup>7</sup> and the National Ecological Reserve (‘Reserva Ecológica Nacional’ –

4. Here we don’t want to make value judgments, positive or negative, we just want to highlight their reality as a possible explanation for the perception that generally has this re-characterization of territoriality.

5. It should be noted that the ‘Planos Regionais de Ordenamento do Território’ (PROT), despite their limitations and shortcomings, were created only under the framework of the Law nº 48/1998, of August 11, and by the Legal Regime of the Territorial Management Instruments, Decree-Law 380/1999, of September 22, it is also worth mentioning that the specific regional plans, the ‘Plano de Ordenamento do Território da Área Metropolitana de Lisboa’ (PROT AML) and the Western and ‘Plano de Ordenamento do Território do Oeste e do Vale do Tejo’ (PROT OVT) were only approved in 2009.

6. Implemented in the transition of the century, in the broad timescale implied by effective urban planning, these plans will necessarily have to be considered as recent realities.

7. It should be noted that the National Agricultural Reserve resulted specifically only from the measures formalized in a Decree-Law of 1982, Decree-Law No 451/82 of 16 November, which would only become truly operational after its replacement, in 1989, by Decree-Law No 196/89 of 14 June 1989.

REN)<sup>8</sup> or municipal control, made insufficient planning of territory.

In fact, despite the municipal instruments and some detailed plans, the local restrictions between 1980 and 2000 were only limited by generic national legislation, regulation based on the General Urban Buildings Regulation (‘Regulamento Geral das Edificações Urbanas’ – REGEU), legislation insufficient<sup>9</sup> to deal with the multifactorial dimension of the process. This situation only begins to reverse with the introduction of the Municipal Strategic Plans (‘Planos Estratégicos Municipais’ – PEM) and, above all, with the limitations established by the Municipal Master Plans (‘Planos Directores Municipais’ – PDM) realities that only took place in Torres Vedras region<sup>10</sup> in the mid-nineties. It can be said that until the introduction of Municipal Master Plans, the strategic planning of the region was almost non-existent.

Not that there was no longer technical and political awareness of the limitations of territorial planning legislative instruments, but it was very difficult, in a new democratic environment, to limit the construction, without the formal force of objective instruments.

In this context of regional planning, the multiple processes of territorial re-characterization of the region were thus promoted almost randomly, depending in fact exclusively on the circumstantial interests. For this reason, the territory tended to be urbanized by small and isolated initiatives, processes that, by their scale and the infra-structural conditioning, have tended to produce a disconnected urbanization process, unable to give rise to a desirable territorial hierarchy and rationalization.

This situation of dispersion in the rural landscape, derives from two decades of insufficient planning, two decades which, despite the progress achieved in the basic infrastructure of the territory, created the present problems in the maintenance of infrastructure

8. Like the National Agricultural Reserve, the National Ecological Reserve would only result from legislation introduced after the beginning of the 1980s, Decree-Law No 321/83 of 5 July, and was also readjusted at the end of the decade, Decree-Law No 93/90, of 19 March.

9. It should be noted that the General Regulation of Urban Buildings was the result of legislation adopted on 7 August 1951 and, as such, despite having been progressively updated by successive decrees-law, maintained in its essence its original form. That is, a functionalist matrix proper to a dogmatic time of the Modern Movement mainly circumscribed to the edified one, reason why it was always revealed to be an instrument of control of the functionality of the spaces (even if it presents today anachronistic situations) than as an instrument promoting an effective multifactorial contextualization architectural – cultural, social, economic and landscape.

10. Specifically, the first Torres Vedras Municipal Master Plan was approved by the Municipal Assembly on 22 March and 13 September 1995 and ratified by Council of Ministers Resolution 159/95 of 30 November 1995.

networks, as well as their functional specialization and a tourist image.

In fact, the region's future depends on the effective use of its potential economic activities, a reality that necessarily requires rethinking the many aspects that must be complementary and simultaneously present in the territory, whether housing, industrial, agricultural, or tourism. This complex reality obliges us to consider the impacts and interrelationships of urban growth on the potential synergies that qualify the territory of Torres Vedras, a reality that implies understanding the growing impact of both bathing tourism<sup>11</sup> in the region, and potential rural tourism or a new rural reality. In addition, we see a potential proliferation of first and second dwellings located in the region due to the proximity of the metropolis of Lisbon, whose success will depend on much of the qualified characterization of a regional landscape.

In this new context that places us in the present contemporaneity, we want to address another important feature of these territorial changes. This feature is linked to agricultural conversion, tourism and alternative housing to urban housing, a reality that takes place mainly in the rural environment and that tends to close a cycle of interactive relations between the old built realities and the new forms of territorial redefinition.

Indeed, one of the most significant realities that began to emerge between the late eighties and the early nineties, was the emergence of major private property promotion initiatives. These initiatives exploited the desire in urban populations for a 'nostalgia of loss',<sup>12</sup> calling directly or indirectly for a return to more elitist and neo-traditionalist memory values, namely a return to a slow and more natural way of life that still maintain a strong presence of rural ancestry. More specifically, the response to this reality has gained great visibility in the Lisbon region with the prestige promotion of

Belas Clube de Campo,<sup>13</sup> a real estate promotion based on a strong landscape investment and strong publicity.



Figure 4. View of 'Belas Clube de Campo', Belas; view over the golf course of the urbanization of the 'Campo Real'; view of the building of Adegas Mãe (project of Pedro Mateus and David Baptista, 2011), Fernandinho-Ventosa.

This project proposed to 'live in the countryside near the city', and that made the conversion of huge rural territoriality into a gated condominium of low-density housing, consisting of large lots of individual houses and buildings in a band, with a great golf course as a reference.

In fact, this type of large development located in the rural territory is not entirely original in the Portuguese context, because it existed before the Revolution of 1974,<sup>14</sup> and was now again possible with the normalization of a democratic time. Indeed, much has changed since the Revolution, and consequently, the social acceptance of a new post-modernity avid to the traditional opened a new reference for the conversion of large farms, a reality that, as a marketing strategy, frequently reappropriate the name of the farm as an inducer of a stereotyped exclusivity and belonging to a traditional elite. "Always arise from naive and simplistic visions, either through dwellings that reconstruct idealized visions of a self-supporting ecological nature (...) or by dwellings that reconstruct idealized visions of some place' of a culturally valued past, one can recognize a latent nostalgia that finds an apparent answer in these new identities, not abdicating, contradictorily, of all the assumptions of comfort and mass

11. This beach tourism, we will have to consider not only the Santa Cruz Beach, which was and is the traditional element and catalyst of this reality, but also beaches with a potential development as Foz do Sizandro, Praia Azul or Porto Novo.

12. In the nineties "it is essential that the distance of the new urban populations to the rural matrix framework and disenchantment by the current conditions of urban life, increasingly densified", (...) have created a huge 'nostalgia of loss' that enhances a desire for change and the consequent need for a 'psychological escape' – at least temporary." (Leite, 2015, p.378). ["Nos anos noventa "é incontornável que o distanciamento das novas populações urbanas ao enquadramento matricial do rural e o desencantamento pelas actuais condições da vida urbana, cada vez mais 'densificada', (...) vieram despoletar uma enorme 'nostalgia de perda' que potencia um desejo de mudança e a consequente necessidade de uma 'fuga psicológica' – pelo menos temporária"] All translations are the authors' except where otherwise stated.

13. The Belas Clube de Campo development was launched in 1990 by the businessman André Jordan (Andrzej Jordan, n. 1933), promoter in 1971 of the Algarvian venture of reference of the Quinta do Lago.

14. We can only say that this trend existed only partially before 25 April 1974, since, except for the development of 'Quinta da Marinha' located between Cascais and Guincho, the existing undertakings were promoted above all on values less traditionalist and, objectively, related almost always with an idea of 'modern'.

standardization that can be provided by the world of consumption and by all the latest innovations of current technology” (Leite, 2015, p.378).<sup>15</sup>

Indeed, with the stable conditions resulting from the European integration and with the growth of the property sector aided by credit, consumption, and improving the remuneration of some social sectors, it is attractive to carry out major real estate promotions aimed at some sectors, because the rural territory was then unprofitable and almost undervalued, so it was available for speculation of these promotions, that promised to transform agricultural land into urban space with a huge economic return. The commercial success of this project will naturally contaminate peripheral rural regions near large cities, as was the case in the rural region of Torres Vedras polarized by Lisbon.

So, at the beginning of the nineties, several proposals emerge, aiming to transform the old farms into large housing estates, promising alternative ways of life to the urban. This reality understood as a first or second dwelling, was evident in Turcifal, a place clearly marked by the rural. Specifically, we are referring here to ‘Quinta de Fez’ and, later, to the larger development, with a 5-star hotel and golf course, in ‘Campo Real’, a development that was oriented to the external market, because there was the expectation of the international airport at Ota, reality that did not happen. Paradigmatic of this post-modern return to rurality and tradition, is the subject of the architectural language promoted by these enterprises, a language that both in ‘Quinta de Fez’ and in ‘Campo Real’ initially imposed typified models that claimed to reintegrate elements identified with regional architecture, even if these elements, functional and constructively, had nothing to do with the traditional reality. In fact, we are facing the illusion of ‘recreating the rustic and traditional environment’ that was imagetically linked by referential models, although in these new realities it is not understood whether its referencing is related to erudite or popular architectural models. In other words, there was an intentional return to the problem of the Portuguese House (‘Casa Portuguesa’) spread by Raul Lino, a concept that sought to reaffirm national morpho-typological identities and, in his time, was propagated in the whole territory.

To close this last context, it remains to be noted that the crisis in the construction sector, which began to be visible after the first decade of this century, around the 2008 credit crisis, was indirectly inducing a more qualified reality. The crisis of the previous building dynamic was indeed the promoter of a less massified and speculative intention, an intention that led to slower and more punctual construction processes. This change has also been responsible for a healthy ‘return’ to qualified reinvestment in agriculture, which is clearly slower in implementation but certainly more sustainable in the medium and long term since it tends to insert a more organic continuity in the rural matrix of the region.

Despite the ambivalences and uncertainties of a new future imposed by the COVID 19 pandemic, it is confirmed today, an impetus for new forms of rural housing and a real reinvestment and modernization of the agricultural sector, now promoted in global ‘free space’ with networks, in a virtualized process of increase of value for the region. In other words, we are witnessing new transformations that are expressed both by the desire for a new housing reality in rural areas as a possible home and telework and by the emergence of new activities and new forms of intensive farming. This reality is immediately visible because of the presence of large areas of greenhouses and sustained by new organic crops or traditional extensive crops in the region, where the vineyard stands out for its dimension and new modernity integrating many activities.

This agricultural activity, which is characterized by its historical omnipresence in the identity of the Torres Vedras region, is becoming today paradigmatic since it tends to be seen not only as a strict market product but rather as an ‘identity product’<sup>16</sup> of transverse capital gains and culturally integrative. Therefore, because the territorial evolution is always a certainty, this reality can be seen as one of the possible paths for the future, a path capable of reconciling around itself synergies inducing a more qualified transformation – a transformation that reconciles the socio-economic appreciation of those who inhabit it and is able to preserve their identity and heritage in an organic sustained way.

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15. “Apesar de surgirem quase sempre de visões ingénuas e simplistas, seja através de habitações que reconstruam visões idealizadas de uma auto-sustentada natureza ecológica (...) ou por habitações que reconstruam visões idealizadas de um qualquer ‘lugar’ de um passado culturalmente valorizado, pode reconhecer-se uma nostalgia latente que encontra uma resposta aparente nestas novas identidades, não se abdicando, contraditoriamente, de todos os pressupostos de conforto e estandardização massificada que podem ser proporcionados pelo mundo do consumo e por todas as inovações mais recentes da tecnologia actual.”

16. An identity product that will tend to concentrate complementary activities such as the production and trade of agricultural products, small industrial productions, tourism or even housing.

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# The syntactic thermal relationship based on school layouts in Jordan

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**ABSTRACT:** The circulation corridors in a building carry the movement of people, materials, information and energy from one space to another. Since the Space Syntax theory showed that human movement is highly affected by the topological relationships of a layout, we aim in this paper to answer if this applies also to indoor thermal environment.

The proposed methodology consists of five phases. First phase is selecting fifteen case studies of school buildings in Jordan. Second phase is performing a syntactic analysis on each layout using an algorithm built on Grasshopper to obtain measures of integration, control, and choice for each space. Third phase is performing a thermal analysis on each layout using the CFD technology to obtain measures of temperature, humidity and air velocity. Fourth phase is performing a graphical and mathematical comparison to notice any correspondence between these measures. The last phase is presenting the results and discussing the syntactic thermal relationship.

The results indicate a possible correspondence between choice syntactic measure and the three thermal measures. However, the relationship is considered significant only for choice and air velocity as revealed by the graphical and numerical analysis. This approach helps make the early design decisions of patterns of circulation and configuration layouts.

**Keywords:** Space syntax, Circulation corridors, Indoor thermal environment, Choice, Air velocity

The first design decisions, taken at the early stages, are always related to the spatial structure and topological relationships of a building with the orientation taken into consideration. These decisions define the configuration layout and the shape of the building which cannot be changed later on during the life cycle of the building.

The circulation corridors: their amount, orientation and connections represent the biggest aspect of these decisions. They define the movement patterns according to the connections of interior spaces and their relation to the outside. Moreover, they represent a large percentage of the total building's area. Finding a functional arrangement of elements in a plan is considered a complex activity because it considers multiple criteria (Zimring & Craing, 2001, p. 138). Therefore, they need to be given more attention in the design process and be included in the guidelines of the design methodology.

Conventionally, a good building should provide a comfortable environment for its occupants. This includes thermal, visual and acoustic comfort as well as indoor air quality (Roulet, 2001, p. 183). Thus, a huge amount of research has been directed towards the construction techniques and material selection (AlAnzi, Seo, & Krarti, 2009; Marks, 1997; Ourghi,

Al-Anzi, & Krarti, 2007) to provide this environmental comfort, taking into consideration the energy consumption. Pitts (2013) tackled thermal comfort in circulation spaces. He aimed to reduce energy use through reaching new thermal comfort standards to be considered only in what he called "Transition Spaces". He argued that these spaces have a stronger thermal connection with the exterior environment and should be treated with specific standards for these spaces (2013, p. 125).

Research done by Dobbelsteen *et al.* (2007) studied different shapes and stacking typologies to assess the environmental life cycle of office buildings with equal spatial demands. Dogan *et al.* (2015) had managed to prove the significance of interior subdivisions over the Energy Use Intensity (EUI) levels of a building. They conducted a process of typological sorting for floor plans based on their exterior morphology and interior organization. They compared them with the ASHRAE zoning scheme, which showed a 15% difference in EUI between the two paradigms. Another study aimed to spatially analyze a dual transportation system of a small city on the social exclusion and transportation measures. The study also implied that the highly penetrative and 'ringy' spatial structure of the system led to a reduced CO<sub>2</sub>



emissions in the city (Vaughan, 2007, pp. 264-286). The study was unique in relating syntactic measures to urban environmental measures.

Overall, several studies address the effects of building geometry on energy consumption and thermal performance. However, they do not encounter spatial structures and circulation corridors' impact over that matter. The spatial structure approach deals with the topological nature instead of the geometrical measures. It describes the pattern of connection and quantifies the extent to which each space is directly connected to other spaces. It also produces diagrams that connect spaces through their adjacencies or permeability, and then analyzes these diagrams to generate spatial measures. We use this approach in analyzing the circulation of people inside school layouts, adopting the space syntax theory. Circulation corridors inside buildings allow for matter, energy, and people to move between spaces. Therefore, they are expected to affect the indoor environment.

## 1 CASE STUDIES SELECTION

### 1.1 Selection criteria

We set a selection criterion to better control the number of cases that will be examined while we ensure a sufficient sample that represents all school buildings of Jordan. We focus on public schools owned by the government because we might have more capability to impose a framework later on. They also represent one of the five types of schools based on the number of circulation corridors (5 types). The school construction year should be posterior to 2003 because the ones before were already prototyped. Finally, the selection should include at least one city from each of the three climatic zones existing in Jordan.

### 1.2 Selected cases

A total of fifteen cases were selected based on the previous criteria. The ground floor for each case was drawn using Autodesk AutoCAD software in a one-line plan to be used later in the syntactic analysis. The plans had boundaries to represent spaces, a text for name tags, and small lines intersecting the spaces that have direct movement access between them i.e., doors.

- Climatic Zone 1: This zone mainly requires heating during winter, and includes cities such as, Ramtha, Madaba, Salt, Irbid and Tafilah.
- Climatic Zone 2: This zone is a middle zone that requires both (heating in winter and cooling in summer) and includes the cities of Amman, Azraq and Zarqa.

- Climatic Zone 3: This zone mainly requires cooling in summer, and includes the cities of Aqaba, Shuna and Ma'an.

Table 1 shows the names of the selected cases with their locations.

### Syntactic Analysis of Building Layouts

### 1.3 Algorithm creation

An algorithm was generated in Rhinoceros 3D using Grasshopper, and a space syntax toolkit created by Nourian *et al.* (2013), which is added as an add-on to the program. The algorithm was able to obtain the syntactic measures for all different layouts automatically just by inserting the preliminary plans drawn for the selected cases.

The plan layouts must be prepared in a very easy and simple way for the algorithm to extract the required data automatically. We drew the plan layouts using the Autodesk AutoCAD software with closed polylines for each space and put them under a specific layer. We also drew circled spaces representing the outdoor area and the other floors. The spaces are drawn to show the circle of movement and connection of spaces inside the buildings. However, their syntactic measures were not considered in the analysis. When this layer is imported into Rhino, the algorithm in Grasshopper will be able to extract the spaces represented in their center-points and the area of the spaces. Then the algorithm can calculate the total area of the layout as well as the number of spaces. We wrote the names of the functions on a separate layer. When imported, this layer would extract the mandatory data of spaces' names. Finally, we drew small lines that intersect the polylines of spaces that are directly connected, and we put them on another layer. When the layer is imported into the algorithm, it can check the connectivity of spaces and accordingly provide this information to the syntactic plug-in as lines between the extracted center-points. Now that all needed data are extracted, the syntactic plug-in can calculate the syntactic measures of integration, control and choice. It can also produce a proportional bubble diagram of the configuration.

Figure 1. shows an example of a drawn layout for the algorithm.

### 1.4 Syntactic analysis results

The relationship between the configuration of space and movement has been the core of the space syntax theory so far. Hillier and Hanson (1984) argued that movement is the fundamental part over which buildings are generated and configured. The theory describes building plans as patterns of convex spaces and movement as a transition from one convex area to another. According to Hillier, performing a configuration analysis can help the designers in

Table 1. Names of school buildings selected for analysis (Author, 2021).

	1-Corridor	2-Corridors	3-Corridors	4-Corridors	5-Corridors
Climatic Zone 1	Arainbah (Madaba)	Ma'mouniyah (Madaba)	Hartha (Irbid)	Hetteen (Tafilah)	Maymounah(Irbid)
Climatic Zone 2	Firas (Amman)	Shkhoot (Zarqa)	Umkalthum (Amman)	King-Abdullah (Zarqa)	King-Abdullah (Amman)
Climatic Zone 3	Swaimah (Shunah)	Deeseh (Aqaba)	Atekah (Ma'an)	King-Abdullah (Aqaba)	Aboseedo (Shunah)

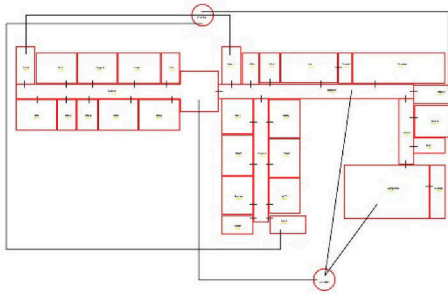


Figure 1. Example of the layouts drawn to be used in the syntactic algorithm (Author, 2021).

understanding the pattern consequences of their design moves, the relation of new and existing patterns, and in general the relation of parts and wholes in cities (Hillier, 1996, p. 99).

Space Syntax theory investigated relationships between spatial layouts and many other aspects such as social, economic and environmental aspects. The syntactic measures were correlated with different measures such as density, land use, land value, crime and other environmental aspects (e.g., CO<sub>2</sub> emissions). They were affected by the patterns of flow of people and objects. Later on, some of these investigations were evolved into models that could reflect upon the design-decision process; e.g., urban movement model, land use model and crime model (Vaughan, 2007, p. 208).

The theory suggests modelling the network of spaces by algorithms that produce syntactic measures, which could be correlated to other types of processes and backgrounds. The syntactic measures that are calculated from spatial graphs help in expressing the properties of spatial networks in a quantifiable way. In this section, the syntactic measures were obtained for all the spaces of the layout, including the integration, control, and choice.

Figure 2 shows a matrix of the results of the syntactic measures for all the fifteen school cases in the different three climatic zones. Regardless of the exact values, but rather in terms of higher and lower distribution, we notice a pattern of distribution for these measures inside the layouts which we can classify and organize into groups.

## 2 THERMAL MEASURES ANALYSIS

### 2.1 CFD technology

The Computational Fluid Dynamics (CFD) is a technology that performs fluid flow analysis through simulations of CAD models that are used as inputs. The simulation process starts with building the geometry and assigning the materials. Once this is done, a computational mesh is generated. The mesh is used to break up the space into millions of small cells, where the variables can be precisely computed (Marshall, 2010, p. 2). Then, the analysis and computation of measures begin. The CFD technology helps in predicting product performance, optimizing designs and validating product behavior including thermal prototyping, architecture and Mechanical, Electrical and Plumbing tools (Hossain, Abduhu, & Ebna Shad, 2019, p. 151). This technology offers more affordable analysis option other than the physical prototypes. It also enables users to compare different scenarios of a certain design for better and easier design decisions.

The models of the selected cases were created for the simulation process using the Autodesk Revit software and then simulated for the thermal analysis using the Autodesk CFD program. In each case, the ground floor was modelled, showing the corridors, stairs and other rooms, as well as the openings including the doors and windows. The other floors were modelled as one space only to show the cycle of movement inside the building. However, the measures related to these spaces were not considered in the analysis. The inner doors were modelled to demonstrate the internal connections between spaces for airflow simulation purposes. The exterior doors and windows were also modelled to be inlets and outlets of airflow rates according to the cases' locations and orientations. The openings in the Jordanian school layouts generally follow a modular dimensioning system that corresponds to uniform opening sizes (Jordan, *et al.*, 2008, p. 47).

At the inlet elements, the temperature, humidity, and air velocity conditions were assigned based on information from the Meteorological Department and some studies (Alrwashdeh, Alsaraireh, & Saraireh, 2018; Meteorological Department, 2018; Zeitoun,

2019). At the outlets, the pressure value was listed with a value of zero. Then, the simulation proceeds to predict the airflow and distribution within the layout, and the measures are obtained. The simulation conditions are different by zone. The materials and thicknesses of the building elements were assigned based on the Ministry of Education guidelines for the governmental schools (Jordan, *et al.*, 2008). The inlets were modelled with a depth of 5 times the width of the window, and the outlets with a depth of 10 times as a simulation requirement.

## 2.2 Thermal analysis results

The purpose of environmental design decisions is mainly to achieve the comfort zone as defined in ASHRAE standards “those combinations of air temperature, mean radiant temperature, and humidity that are predicted to be an acceptable thermal environment at particular values of air speed, metabolic rate, and clothing insulation” (ASHRAE, 2017, p. 4). These conditions depend on the outdoor environment represented through climatic data (including temperature, wind speed, solar radiation, and relative humidity) for different locations around the world. A successful indoor environment is dependent on an understanding of the multiple environmental factors that can be included in a building design. Such factors include air temperature, air humidity and air velocity (Corgnati, Filippi, & Viazzo, 2007, p. 951).

In this section, we have analyzed the circulation of air inside the layouts using CFD technology. The movement of air inside a layout can give indications of the distribution of temperature and humidity, as they move within the air volume. These are the basic environmental measures needed to evaluate thermal comfort inside free-running buildings, which are buildings without any heating or cooling systems running and tend to follow the conditions of the outdoor climate. This is the case for most of the school buildings in Jordan.

Figure 3 shows a matrix of the thermal measures' distribution in all of the fifteen cases in the three climatic zones. A pattern of distribution is noticed for some of the measures.

## 3 RESULTS DISCUSSION

### 3.1 Graphical comparison

For the integration distribution pattern, it is clear that the corridors are always in the highest value group. The second group has all the spaces that are usually more than one-connected space, such as the multi-purpose room which is connected to a backstage space and the corridor itself. It also acquires an independent entrance to the layout from the outdoor space. The laboratory spaces are also in the second

group; they usually have internal storage space. The stairs are also part of this group. They are connected to the rest of the floors and therefore happen to be on movement rings that contain the rest of the stairs leading back to the ground floor. We notice that the spaces that are connected to the less important corridors (which are connected to a fewer number of spaces) acquire a lower value of integration than the spaces connected to the main corridor. The last group contains the very deep spaces that are one-connected spaces. They are positioned within other spaces such as the backstage, the stores of the labs and the services of the kindergarten, if it exists.

For the control distribution pattern, the corridors have the highest value group. The spaces that are more than one-connected space constitute the second highest group (e.g., the multi-purpose rooms, the stairs and the laboratories). The third group includes the one-connected spaces (e.g., the backstage and the stores of the laboratories). Finally, within the fourth group comes the rest of the spaces that are directly connected to the corridors. We notice that the higher control value is not always acquired by the main corridor, but sometimes it is acquired by the other corridors that are connected to a fewer number of spaces. Moreover, the spaces that are connected to the less important corridors could still acquire a higher value of control than the spaces connected to the main corridor.

For the choice distribution pattern, the corridors are in the highest value group. The spaces that are more than one-connected space constitute the second highest group. The third and fourth groups are interchangeable within the different layouts (the spaces that are directly connected to the corridors and the one-connected spaces). Even though the spaces connected to the main corridor are not always the ones acquiring the higher choice value, sometimes the spaces of the other corridors are.

When it comes to air distribution, it happens to be faster and more present in the corridors, especially the ones that are longer, more connected and are aligned with the east-west axis. This is due to the fact that the prevailing wind is from the west (e.g., corridors 1, 2 & 3 in Maymounah, corridor 4 & 1 in Abdullah-Zarqa, corridor 1 in Shkhoot, corridor 1 & 2 in Ateka).

The spaces that are directly connected to the corridors are next in their values, especially if they were on the outlets' façade (e.g., eastern façade of Maymounah, Umkalthum, Ateka). However, the spaces that are more than one-connected spaces sometimes tend to have more air velocity than their adjacent spaces in the same corridor and façade (e.g., the multi-purpose space in Abdullah-Aqaba and Maymounah and the lab in Umkalthum). Moreover, even with different corridor orientations, the corridor with the higher velocity transmits higher values to the spaces connected to it more than corridors with lower

velocity (e.g., Hetteen, Maymounah, Abdullah-Zarqa, Abdullah-Aqaba). Usually, spaces on the outlets' side (the east and north-eastern facades) have higher velocities than the inlets' side (the west and south-western facades). Finally, are the more excluded spaces that don't have a window to the outside or are not on the air movement path (e.g., services of kindergarten in Arianba and the backstage of Aboseedo). It is clear now that the air distribution is highly related to the orientation. However, it is affected by spaces connectivity and the overall configuration layout.

While the temperature distribution doesn't seem to have such a pattern, the connectivity of the spaces and the air distribution do not seem to help with the temperature distribution. The temperature seems to be related highly to the orientation. In most cases, the spaces with the higher temperature are always the ones facing the north and the east facades, regardless of their corridor connectivity or the number of spaces they connect to. The deeper spaces, which happen to be within another space or don't have a window to the

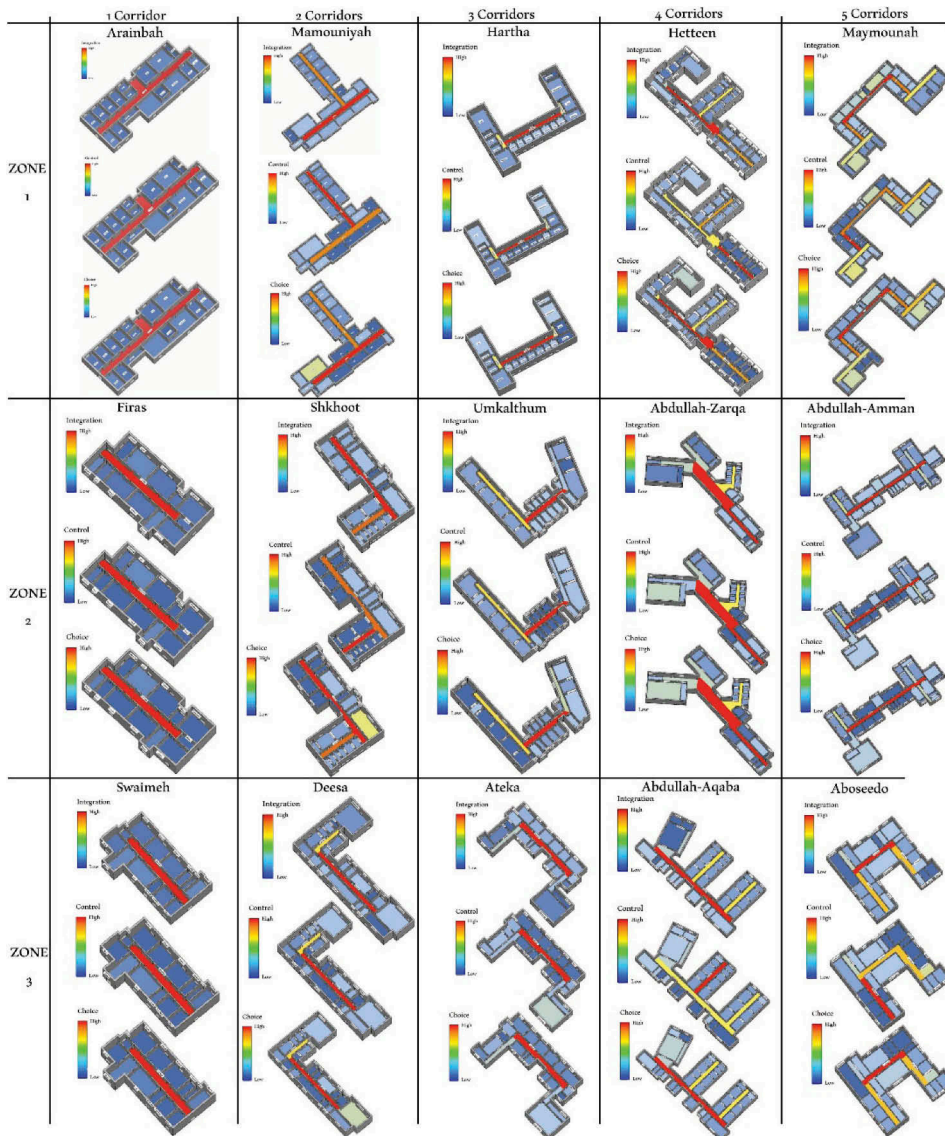


Figure 2. Matrix of syntactic measures for the fifteen case studies (Author,2021).

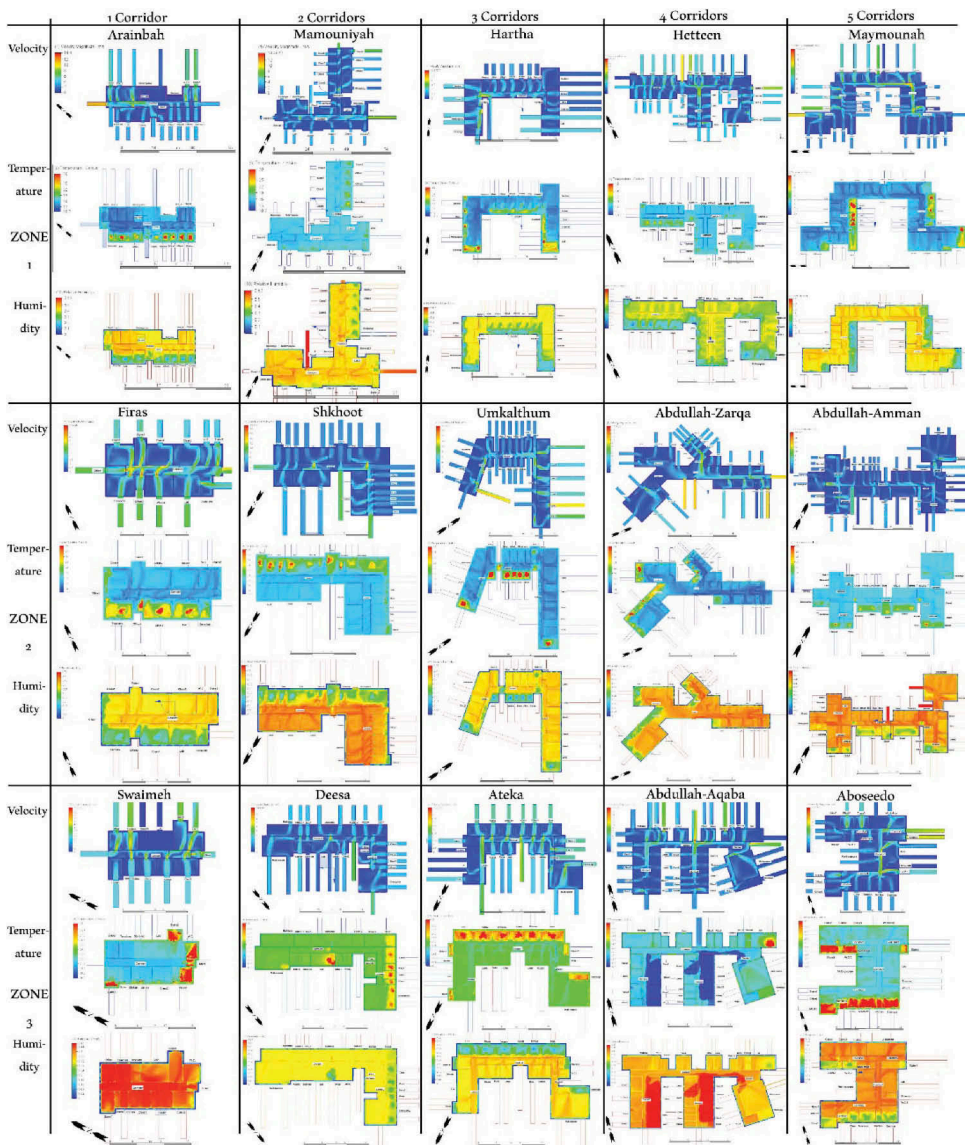


Figure 3. Matrix of thermal measures for the fifteen case studies (Author,2021).

outside, acquire a little more temperature than the colder spaces on the northern façade. This is shown in the services of kindergarten in Arianba and in the backstage of Aboseedo. Furthermore, in some cases where a corridor is directly exposed to the sun on the southern façade, it is noticed that some of this heat is transmitted to the spaces connected to it on the northern façade (e.g., Hartha, Umkalthum, and Ateka).

In all cases of the humidity distribution, there is an exact opposite of the temperature values. Spaces with higher temperatures always acquire lower

humidity values and *vice versa*. This makes sense because humidity represents the concentration of water vapour in the air which depends on temperature. As the temperature of a parcel of air increases, it holds more water molecules causing its relative humidity to decrease. While if the temperature drops down, relative humidity increases, as it will eventually reach the saturation point without adding or losing any water mass (Wikipedia, 2019). The highest humidity values are on the northern facades while the lowest is on the southern and eastern facades. The more excluded spaces seem to have less

Table 2. Correlation analysis results for the overall syntactic & thermal measures (Author, 2021).

	CHOI.	CONT.	INTEG.	HUMI.	TEMP.	VELO.
CHOI.	1.000000	0.795726	0.523697	0.158060	-0.120673	0.333346
CONT.	0.795726	1.000000	0.447025	0.090743	-0.088075	0.179284
INTEG.	0.523697	0.447025	1.000000	0.055579	-0.030589	0.217187
HUMI.	0.158060	0.090743	0.055579	1.000000	-0.830483	-0.089007
TEMP.	-0.120673	-0.088075	-0.030589	-0.830483	1.000000	-0.035185
VELO.	0.333346	0.179284	0.217187	-0.089007	-0.035185	1.000000

humidity than other spaces on the northern façade. This shows a highly correlated relationship between temperature and humidity. Both variables seem not to be affected by the layout or air distribution.

### 3.2 Mathematical analysis

A basic correlation analysis was performed on the syntactic and thermal measures of all the cases and all the zones combined. Table 2 shows the results.

The correlation results don't show a high correlation value in general; however, it is noted that velocity and choice acquire the highest correlation.

#### – Humidity

Humidity acquires the highest correlation with choice. But we can notice that temperature and humidity acquire a very high negative correlation value. This is clearly obvious in the graphs.

#### – Temperature

Temperature acquires the least correlation values with the three syntactic measures; nevertheless, the highest is with the choice again. It is always negative; meaning that the relationship is always an inverse one, where an increase in any of the values would always suggest a decrease in temperature

#### – Air Velocity

Air velocity acquires the highest correlation values with the three syntactic measures, where the choice measure is the highest. This is also shown in the graphs in some examples.

## 4 CONCLUSIONS

A pattern of distribution was noted for the syntactic measures as well as the air velocity. As for the temperature and humidity, they are highly correlated, however, they don't seem to have a certain pattern of distribution other than being highly related to orientation. The choice had a very small effect on both temperature and humidity, but it had a significant effect on velocity. While control and integration had a small effect on velocity, neither of them had a mentionable effect on temperature and humidity according to the mathematical analysis.

It shows that air velocity distribution in relation to the syntactic measures, especially choice, could have an interesting relationship if examined further. It had a pattern of movement close to the syntactic measures. It was noted that circulation spaces had the highest air velocity values, their transmission to directly connected spaces is clear taking into consideration the orientation factor (inlets, and outlets spaces). The spaces that are more than one-connected spaces tend to have higher values compared to their neighbors since they receive air movement from more spaces. Finally, the deepest spaces are the lowest in value.

Determining this relationship is extremely important when making the first design decisions regarding configuration layouts. These decisions allow increasing or decreasing the syntactic measures, which could control the indoor thermal environment. Hence, it offers the designers an additional justification to the selected layout as well as provide an opportunity to optimize the indoor thermal environment according to the needs of the different climatic zones.

However, the mathematical analysis is only indicative of a cause-effect relationship, but it is not comprehensive to this relationship. This means that the syntactic factors are not the only factors affecting the thermal indoor measures. This is, of course, well-known since research had already proved the effect of building materials, insulation coefficients, orientation, window-wall ratio, and many other factors. Therefore, this relationship can be better used as a predictable tool of the indoor thermal measures if combined with the effect of the other factors in future studies.

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# Time can attribute value to a specific object; can Portuguese rural typified railway stations confirm this premise?

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**ABSTRACT:** The standardization of the construction industry, which had already started in Europe during the Industrial Revolution, informed the implementation of the Portuguese railway network (Mid of 19<sup>th</sup> Century onwards). Hence, promoters<sup>1</sup> developed a series of train station types distributed across the country throughout its execution, which represented the rural typifies of railway stations in Portugal. As part of an ongoing Ph.D. investigation, this article aims to provide an insight into how time defines the historical value of a spatial object, or in other words, how the process of attributing value to a structure that not only represents a historical period but can also activate our future? And therefore, informing our spatial awareness?

Attributing value to any architectural object is defined by time and (also) defines time itself. It is time that regulates its historical importance, yet the attribution of value does not end there. It is, therefore, outlined by several other attributes, so intrinsically connected to the spatial characteristics of an object, its context, and its cultural roots, which makes it impossible to have a universal consensus or universal heritage valorization system. Consequently, the results presented in this article are not final and definitive findings. Yet, they are the latest findings<sup>2</sup> for one to prove that the Portuguese rural typified railway stations have, in fact, heritage value.

*Keywords:* Portugal, Architecture, Railway, Heritage, Value

## 1 THE URBAN TECHNOLOGY CATHEDRALS VS. THE RURAL TYPIFIED RAILWAY STATIONS

The arrival of the railway network made it possible for people to travel faster than ever before. These revolutionary times brought the Modern Era to remote and inaccessible areas worldwide. (Alves, 2015, p. 89) This event was possible because new methods of using steel, glass, and reinforced concrete radically improved during the Industrial Revolution. (Benevolo, 2001, p. 45)

Consequently, these innovative techniques also allowed for the invention of a new architectural

typology called railway station. (Hagatong, 2014, p. 107) Railway stations grew in scale and social significance ever since the Industrial Revolution, becoming the new cathedrals of the modern world,<sup>3</sup> also called the technology cathedrals. (op. Cit, p. 101)

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3. The railway station became the indispensable image of the growing significance of the bourgeoisie in society. As they were the main users of this means of transport, such as: businessmen, merchants and traders demanded more urban centrality from the Station, more speed and proximity to services, greater functionality and comfort of all equipment - constructions or carriages, more aesthetic quality of the main railway building. For this social class and for society in general, the Central Station came to be associated with the “image of modernity” in each era. Sometimes simple and technical, in the image of the machine. Sometimes eclectic, with imposing or elaborate details, with occasional traces of monumentality, displaying symbolic elements such as the public clock, emblem of a new society driven by the domain of time and speed. The railway station began to enclose in itself the image of a new world, with an innovative mentality based on the use of new materials, with avant-garde technologies, with a rapid pace of transformation and constant progress. (Alves, 2015, p. 597)

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1. There were several private and public promoters, such as: the national government represented by: Direção-Geral dos Caminhos de Ferro (DGCF); Concelho Superior das Obras Públicas (CSOP) and MPs, as well as the local government represented by its municipality, tradesman; businessman; farmers and in many cases, the local community. (Alves, 2015, p. 600)

2. These findings are specific for the object of study presented in this paper, and therefore will not work with a different object, even a similar one, or the same object in a different country.



In Portugal, these technology cathedrals are in major urban cities or strategic locations within the railway network with high traffic. In contrast, buildings located in smaller urban settlements and rural areas (although crucial to their sites) could not have the same imponent volumetric scales or elaborate details, mainly because of economic reasons and reduced passenger flow. Therefore, when the implementation of the railway started in Portugal, it adopted a methodology that categorized the necessities of each location and divided railway stations into classes,<sup>4</sup> organized by their economic nature, entitled as stops,<sup>5</sup> 4<sup>th</sup>, 3<sup>rd</sup>, 2<sup>nd</sup> e 1<sup>st</sup> classes.<sup>6</sup> (Alves, 2015, pp. 598–599)

The train stations included in the classes between stops and 2<sup>nd</sup> class used standardized materials for their construction. They were types of buildings that grew in scale as their locations became larger urban settlements. Each class repeated its model in different parts of the country where its sites had similar requirements. Therefore, they are located in rural or small urban areas and categorized<sup>7</sup> as typified rural railway stations. In contrast, the 1<sup>st</sup> class stations were structures built exclusively for each setting, mainly in large metropolitan cities and strategic areas within the railway network. Therefore, each project was unique and impossible to replicate (Alves, 2015, p. 601), and the uniqueness of each project makes the recognition process as heritage consensual.

Although, there is no straightforward or institutional process for railway heritage recognition in Portugal. Consequently, only a few 1<sup>st</sup>s class stations have already been recognized as heritage by Directorate General for Cultural Heritage (DGPC),<sup>8</sup> such as Rossio train station in Lisbon and São Bento train station in Porto.<sup>9</sup> Even though most of these 1<sup>st</sup> class

buildings are not heritage, their cultural significance is. Hence, they are carefully maintained, especially when renovated, such as the refurbishment project for the new five-star hotel in Santa Apolonia<sup>10</sup> Station in Lisbon. In contrast, none of the rural railway stations are considered heritage or valued adequately by society. Hence, many of these buildings' abandonment and/or demolition is a prevalent reality.

Moreover, they are small and modest buildings, and therefore when one looks at them might question their legitimacy. So, what gives them value? Time. The relationship of the lived time defines the essence of a monument, which is its anthropological function. The rest is contingent. (Choay, 2000, p. 16) Time defines its historical importance as a crucial part of our cultural legacy. These rural typified and often overlooked railway stations, scattered around Portugal, hide a world of historical peculiarities worth unveiling. However, can they be valued as railway heritage? It is essential to contextualize the meaning of heritage before attempting to answer this question.

The word 'heritage' has a clear and relatively simple relationship with the concept of inheritance - indeed the French word heritage is still used exclusively to mean 'legacy'. One dictionary gives two definitions of the English word: That which has been, or may be, inherited' raises the interesting area of heritage that is not yet owned, but may come into ownership at a later date; the other definition, 'circumstances or benefits passed down from previous generations', keeps the close contact with the concept of inheritance, but opens it beyond immediate ownership to include group heritage and heritage which may not have a physical form. (Howard, 2003, p. 6)

## 2 CULTURAL HERITAGE AND ITS RAILWAY PATH

While examples of destruction and respect of historic buildings and objects [...] can be identified in the past, there has been a fundamental change that distinguishes modern society from the traditional world. This change is essentially due to a different approach to the past, i.e., the modern historical consciousness that has developed with the Western *Weltanschauung*. The new concepts of historicity and aesthetics, but also the new relationships with culture and religion, nature and environment, have generated

4. The classification of railway stations was possible mainly because the implementation of the Portuguese railway was a belated one, when compared to its peers in Europe. In a way, this later arrival, ended up benefiting its fast implementation with a knowledgeable and experienced legacy of its current cutting-edge construction information from Europe, both in its engineering and architectural experimentations and also in the treaties established since the Industrial Revolution. One of the major ground breaking solutions imported from the railway treaties was the typified construction solutions, now possible due to the standardization of materials. (Martins, 2010, p. 33)

5. In Portuguese, they are called: Apeadeiros.

6. Yet, during the current PhD investigation, further classes have been identified by the authors, but since the new findings have not yet been validated, they shall not be presented, and it is not crucial information for the main argument being presented.

7. This denomination was done by the authors.

8. Directorate General for Cultural Heritage is the official translation on the DGPC's website, yet the acronym in English does not match. The acronym represents the Portuguese' denomination, entitled: Direção-Geral do Património Cultural.

9. Two railway stations considered heritage in Portugal is a realistic number, if we compare it to the three railways considered part of the World Heritage list by UNESCO: Semmering Railway in Austria, Mountain Railway of India and Rahetian Railway between Italy and Switzerland. (Lins, 2015, p. 31)

10. The first Portuguese train station (<https://www.ippatrimonio.pt/pt-pt/estacoes/estacao-de-lisboa-santa-apolonia>).

a new conception of time and new value judgements. (Jokilehto, 2002, p. 6)

What one perceives today as cultural heritage evolved through time, updating its meanings according to the contemporary demands of each historical era. This process is complex and often ambiguous because it deals with past events desiccated in the present. Lowenthal (2002) argues that the meanings of each present change how the past is perceived. Therefore, it is a created authenticity in the same way humanity has the intrinsic necessity to divide time chronologically to understand its past.

The past is everywhere. All around us lie features which, like ourselves and our thoughts, have more or less recognizable antecedents. Relics, histories, memories suffuse human experience. Each particular trace of the past ultimately perishes, but collectively they are immortal. Whether it is celebrated or rejected, attended to or ignored, the past is omnipresent. (Lowenthal, 2002, p. xv)

One needs to consider two moments in European history to understand how the contemporary meaning of cultural heritage evolved. The first moment refers to the primordial interest in preserving objects found in archaeological activities in 15th Century Rome. Hence, ruins became a hub for intellectual development, and society filtered this concept and began to protect their relics from weather conditions and burglars. The second moment was in the 19th Century when the historical monument established itself as a national symbol. It was no longer the recognition of just the relics from the past but also objects from everyday life within the European Urban space. (Caliskevstz, 2011, p. 123)

Only in the nineteenth century did preservation evolve from an antiquarian, quirky, episodic pursuit into a set of national programmes, only in the twentieth has every country sought to secure its own heritage against despoliation and decay. (Lowenthal, 2002, p. xvii)

The awareness of a change in the historical era and a traumatic rupture of time mobilized writers, intellectuals, and artists. The entrance into the industrial age was a peculiar moment in history that divided societies and their environments. For the first time in history, the perception of time radically changed to "never again as before." The awareness of the new era and its consequences created a consecutive meditation and distance in the face of the historical monument. At the same time, it released dormant energies in favor of its protection. (Choay, 2000, p. 118)

The Industrial era resulted in two crucial moments for the heritage historical context. The first was an incentive for the development of legislation of protection. The second was the recognition of historical monuments as cultural heritage, where their meaning became acknowledged by UNESCO<sup>11</sup> in the 20<sup>th</sup> Century. Therefore, classifying a given asset as World Heritage Site adopted new notions and tools. (Borges, 2020, p. 1)

Furthermore, the industrial era also conveyed new typologies, such as the industrial and the railway infrastructures, all with unique paradigms added to the heritage mix. Hence, industrial railway heritage is a relatively recent event.<sup>12</sup> They must always be understood and studied inside what is considered cultural assets. (Kühl, 2008, p. 37)

Although, industrial heritage has particular characteristics concerning cultural heritage, such as nature, scale, and identity. Throughout the conceptual discussions on the subject matter, experts agree that industrial heritage should be based on theoretical-methodological references from various fields of knowledge and not perceived as an autonomous discipline. The criteria for designating industrial assets as World Heritage Sites cannot be the same as the other historical monuments. (Borges, 2020, pp. 3–4)

Additionally, the railways have specificities that go beyond their recognition as industrial heritage insofar as they can also be related to the category of cultural landscapes and heritage routes. Hence, they are an asset linked to industrialization, inseparable from their natural and built environment. Railways connect different locations based on movement dynamics, with continuity in time and space. (Lins, 2015, p. 66)

One can identify a curious dichotomy in perceiving industrial and railway assets as heritage. On the one hand, they are objects that cannot dissociate themselves from their cultural roots. On the other hand, their definitions and historical recognition cannot be the same. This dichotomy creates further bewilderment due to the lack of international and national studies on the subject matter. The shy expressiveness of railways on the world stage occurs both within UNESCO and in the context of each State Party (responsible for submitting their railways to the Tentative List of World Heritage). (Lins, 2015, p. 31)

Therefore, there is still a long theoretical-methodological path for the different and opposite theories to settle into established methodologies. For this process to succeed, time needs informed content to galvanize the development of innovative concepts for industrial and mainly railway heritage valorization. So, how can we nowadays value the rural typified railway stations in Portugal as railway heritage? It is now time to understand the attribution of value within the Portuguese railway heritage spectrum before answering it.

11. UNESCO is an international agency used as reference to national and municipality governmental bodies for the safeguard of their assets as cultural heritage.

12. Despite the fact of incipient and isolated manifestations regarding the industrial heritage being manifested since 18<sup>th</sup> Century, a broader debate was initiated in England in the 1950s. (Kühl, 2008, p. 37)

### 3 HOW TO ATTRIBUTE VALUE TO RAILWAY HERITAGE

Heritage is clearly a problem and becomes so as soon as different people attach different values to it. The values which we hold can be envisaged as a series of lenses placed in front of our eyes, which correspond to our various attributes, each of which alters our perception of what is heritage. (Howard, 2003, p. 211)

Whether municipal, national, or international, an institution evaluates cultural property as heritage. Therefore, a cultural significance is identified and understood through the heritage values attributed to the asset. (Borges, 2020, p. 7) But how to classify and delimit multidimensional values that interact with each other, overlap, combine and recombine, create hierarchies, transform and create conflicts? What kind of information to collect? How to establish a relationship between values, registers of values and qualification regimes, and inventory of values? But how to manage value systems that attribute different meanings to similar things? (Menezes, 2014, p. 6)

Furthermore, each culture perceives its heritage attributes in distinctive manners, as there is an intrinsic link between the universalization of concepts and the identity of each society. For this reason, multiple definitions of the same concepts appear in different temporal and cultural spheres. (Valentim, 2018, p. 1)

The modern sense of universal significance in cultural heritage does not, therefore, derive from the notion that all products resemble a particular ideal or model, but from the conception that each is a creative and unique expression by a particular artist or community and, at the same time, represents the relevant cultural context. For a cultural heritage resource to have universal value does not – in itself – imply that it is ‘the best’; rather it means it shares a particular creative quality, a uniqueness, and the quality of being ‘true,’ original, authentic, as a constituent part of the common, universal heritage of humanity. (Jokilehto, 2002, p. 295)

The attribution of value to the heritage asset is not a consensual or linear process. Moreover, it never was because opposite values have been attributed to historical monuments since the process began in the industrial era, both in England and France. Hence, there are opposite results in the values attributed by both countries. France determined the values of the historic monument based on the ideals of progress and the future. In contrast, England remained attached to its traditions, which thus denied the progressive ideologies of the industrial revolution that they invented. For them, the past monuments were necessary for life in their present-day, being neither random ornaments, archaisms, nor mere carriers of knowledge and pleasure, but part of everyday life. (Choay, 2000, pp. 120–121)

England was both a pioneer in the Industrial Revolution and preserving its industrial heritage. Hence, “Industrial Archeology” was born there during the 1950s. The industrial discipline appeared to respond to the need for a methodology of analysis, study, and interpretation of the history and culture of industrialization. It originated from the abandonment of the outdated industry and responded to problems of a social and economic nature. (Fernández-Carnicero, 2016, p. 4)

Hence, the industrial heritage belongs to the domain of unauthorized memory. It is one of the most significant and representative immaterialities of the civilized western world. It undoubtedly holds an enormous symbolic meaning for economic, social, and cultural aspects - aesthetic, constructive, and formal - generally not recognized within the canons of cultural heritage. It is, therefore, considered an atypical discipline. (Folgado, 2005, p. 361)

The credibility of this atypical heritage needs validation. Therefore, it is crucial to elaborate a methodology that can objectively validate Portugal’s industrial and railway heritage assets, subject to a consistent analytical framework. The starting point for this type of framework is to identify the values recognized in cultural heritage. It is, however, essential to individualize the underlying criteria in each one, qualifying the industrial universe under study. (Folgado, 2004, p. 24)

Railways are a unique combination of technological, sociocultural, architectural, and landscape elements within the industrial heritage world. These elements can express the history of technology, political and economic factors, and urban and social transformations across the globe. The railways have material and immaterial features, distinctive and universal attributes, some of which are significant to justify their recognition as cultural heritage. (Lins, 2015, p. 67)

To understand the criteria for valuing the Portuguese typified railway stations, we examined the values’ attributions within three fundamental theories of heritage valorization: the Theory of Values, Conservation Theory, and UNESCO’s Outstanding Universal Value (OUV). We mainly studied these three theories through Lins’ (2015) research work. Then, we filtered the object of the study by dissecting the charters and conventions dedicated to the industrial and railway heritage, such as the Nizhny Tagil Charter (TICCIH, 2003); Riga Charter (FEDECRAIL, 2005); The Dublin Principles (ICOMOS - International Council on Monuments and Sites, 2011); Burra Charter (ICOMOS, 2013); and Seville Charter (TICCIH-España, 2018). Finally, we delimited the context of this study by scrutinizing the Portuguese legislative documents, and the preliminary results are in Figure 1.

But how to analyze these findings? How to give them validity since some documents consider the same criteria as general or complimentary, hence

creating opposite interpretations? Furthermore, our research on the subject matter found different meanings to the same value, or even more challenging when there were no definitions, as is the case of the Portuguese legislation. The lack of clear and concise descriptions creates a duality of meanings, hence multiple interpretations of the same criteria.

HISTORICAL
TECHNOLOGICAL
SOCIAL
SPIRITUAL
ARCHITECTURAL
FUNCTION
SCIENTIFIC / RESEARCH
AESTHETIC
TECHNICAL CONCEPCION
EXCEPTIONAL / RARITY
IMMATERIAL
URBAN / LANDSCAPE / TERRITORIAL
INTRINSIC
RELATION WITH ITS SURROUNDINGS
ANTIQUITY
SYMBOLIC
ALTERABILITY
TESTIMONY
LOCATION / IMPLEMENTATION
COMPOSITION OF THE INFRASTRUCTURE
AUTHENTICITY / INTEGRITY

Figure 1. Preliminary findings by author, 2022.

To analyze the preliminary findings, we first allocated the results according to the only Portuguese legislative document that clearly defines its attributes, entitled: Directorate-General for Cultural Heritage Assessment Criteria,<sup>13</sup> 1996. Secondly, we did the same exercise using the Industrial Heritage Plan,<sup>14</sup> 2007 from Spain as described in the research thesis of Fernández-Carnicero, C. V. (2016). Finally,

13. Directorate General for Cultural Heritage is the official translation on the DGPC’s website, yet the acronym in English does not match. The acronym represents the Portuguese’ denomination, entitled: Direção-Geral do Património Cultural. This document was published in 1996 and there are no updates on the document, therefore it is still used by Directorate General for Cultural Heritage to evaluate assets as heritage. (DGPC, 1996)

14. The selection of this particular document is because Spain is the Portuguese’ only neighbor, not despite the fact that culturally and historically they are different countries.

we tested those findings using Folgado’s (2004) proposal to divide attributes for the Portuguese industrial assets. It was a three-step procedure providing evermore clarity to the process, from a division of the original findings (into general and specific criteria) to reorganizing the results with an industrial focus. Thirdly, the last document enriched the process by further dividing the general criteria, which gave it a clear direction shown in Figure 3.

The presented criteria inform a theoretical body analysis of the diversity that makes up the railway heritage, evaluating the different areas that incorporate it. The model has three parts, all defined by general and specific criteria. In the first instance, the general criteria have five components: historical-social-cultural; territorial; scientific; technical; and architectural – aesthetic. Furthermore, each of these criteria has subdivisions of specific attributes. The definitions of each attribute will guide the user through the process, which aims to take away the subjectiveness of the viewer and proposes to approach it scientifically in regard to a specific typology of an asset.

People put different values on things. Apart from the roles which we all play as owners, visitors, and insiders, [...], we each have factors that affect our views. The best analogy is with the older kind of optician, who would place on one’s nose a set of spectacles with room for several different lenses. Each lens altered your vision a bit more. Some of the lenses that we have in considering our heritage values include nationality, gender, ethnicity, class, religion, poverty, insiderness, expertise and age. (Howard, 2003, p. 213)

This first part of the proposed methodology allows for a global appreciation of the railway object. Therefore, the railway dimension appears whole and integral, imposing and justifying itself for the future due to its multiple implications for the current civilizational phenomenon. (Folgado, 2004, p. 24) The second part intends to evaluate the object itself, rooted in its specific context. The third and final part aims to test the role of the asset and its viability in society’s future.

#### 4 PROPOSED METHODOLOGY FOR VALUING PORTUGUESE RURAL TYPIFIED RAILWAY STATIONS

To evaluate the validity of Portuguese typified railway stations as railway heritage using the proposed methodology, we firstly started by selecting a sample of study as shown in Figure 2. Secondly, we examined the original architectural projects about the

Yet, for the purposes of this study, the industrial legacy of both countries can be interpreted similarly.

proposed model and finally attributed ratios to each criterion, designated: not applicable; of little relevance; relevant, and of great relevance, as also shown in Figure 3. As previously mentioned, this is a work in progress, yet valid to be presented as so.

We aim to describe a summary of our evaluative methodology. Therefore, to analyze the first general criteria designated by historical, social and cultural, we examined each specific criterion that informs it.

Starting by examining the specificities of the first general criteria, we assessed its antiquity, symbolic, immaterial and spiritual values. Hence, in regard to its antiquity, the building did not entirely comply with its requirements according to its definition: “at least in principle, it rejects all conservative action, all restoration, as an unjustified intervention on the unfolding of the laws of nature.” (Lins, 2015, p. 78). Sines’ railway station had architectural interventions done in 2008, yet most of the original building features are intact. Moreover, the importance of this particular railway building holds excellent symbolic and immaterial relevance as it was initially used as an instrument to strengthen the national ideology of the Portuguese Dictatorial Regime, and it perpetuates “know-how” and the cultural memory of the railway workplace. In contrast, spiritually, the building has little relevance because it conveys only industrial and cultural practices, not spiritual or sacred meanings.



Figure 2. Sines’ Railway station, photo by author, 2010.

The second general criteria entitled territorial has the following specific attributes: urban, landscape and territorial; the relation with its surroundings; location and implementation and composition of the infrastructure. The results indicated that the urban, landscape and territorial attributes were highly relevant as Sines’ railway station was responsible for developing urban areas within its railway network. It also created landscapes through their technical-productive forms and insertion into the territory. Hence, the criteria called relation with its surroundings is only mildly relevant because nowadays, there is no real interaction between the natural environment and the building. Further, the attribute called location and composition of the infrastructure resulted in little relevance since its railway

	GENERAL CRITERIA	SPECIFIC CRITERIA
CRITERIA	HISTORICAL SOCIAL CULTURAL	HISTORICAL
		CULTURAL
		SOCIAL
		ANTIQUITY
		SYMBOLIC
TERRITORIAL	URBAN / LANDSCAPE / TERRITORIAL	RELATION WITH ITS SURROUNDINGS
		LOCATION / IMPLEMENTATION
		COMPOSITION OF THE INFRASTRUCTURE
SCIENTIFIC	SCIENTIFIC	
TECHNICAL	TECHNICAL CONCEPTION	RESEARCH
		TECHNOLOGICAL
ARCHITECTURAL - AESTHETIC	ARCHITECTURAL	FUNCTION
		AESTHETIC
EVALUATION	INTEGRITY	INTEGRITY
	AUTHENTICITY	AUTHENTICITY
	EXAMPLARITY	EXAMPLARITY / EXCEPTIONAL RARITY / TESTIMONY
ROLE	VIABILITY	ALTERABILITY
		CONSERVATION
LEGEND		
	N/A	
	OF LITTLE RELEVANCE	
	RELEVANT	
	PERTINENT	

Figure 3. Proposed model to validate Portuguese rural typified railway heritage, done by the author, 2022.

network followed the flat natural terrain with no unique traits, and the infrastructure only partially informed the original composition of the abandoned railway.

The third general criteria designated by scientific has two specific elements called scientific and research. The results demonstrated that Sines’ railway station had little scientific relevance since it had no unique technical-scientific activities of recognized importance, only the railway’s arrival itself. However, in terms of research, it is relevant as there are specific documents that can relate to the significance of the railway as a source of research and study.

The fourth general criteria labelled as technical is all about technical and technological conceptions. Moreover, Sines’ railway station has little relevance regarding its technical conception and technological qualities because there are no unique attributes to this station alone. The station is a typified building, and its technical features appear in various locations.

The fifth general criteria designated by architectural, and aesthetic relates also to architectural; function and aesthetic attributes. This railway station has excellent architectural relevance because it holds an irreproachable formal value, which constitutes archetypes for Portuguese railway architecture. Finally, the attribute entitled function is the only one not applicable in this study because its function changed when the renovation of the building occurred in 2008. In contrast, its aesthetic value is highly relevant since its embossed decorative elements are unique.

The first phase of analyzing the general aspects of the asset is complete, and so far, the typified railway station selected holds excellent relevance to most attributes. Nevertheless, the next stage is called evaluative, and it determined the exceptional qualities of the building, examined by its integrity, authenticity and exemplarity.

The building holds great integrity since it represents a physical-cultural area that has been processed coherently to the economic, social, and cultural forces of that environment. Its authenticity is considered relevant because there were renovations in the building. Yet, it maintained most original features over time that corresponded to detailed documentation, not concealed or overlapping the original structure, function, or framework. Its exemplary, exceptionality, rarity, and testimony attributes have little importance since Sines' railway station is not a unique exemplar, despite some of its features, like the images on the exterior ceramic tiles. In an evaluative mode, this building is integral but not exceptional. The lack of unique values is somewhat an expected reality since the study focused on typified railway stations, where their features appear repeated in several locations. Yet, their heritage value is in the collection of buildings in each class, which makes this typology unique. Hence as a group, they hold unique values not found anywhere else.

Finally, we analyzed Sines' railway stations' role in the future in terms of adaptability and conservation. Both attributes have great relevance since it is possible to alter the structure's original function and use without compromising the asset's key historical features.

We concluded that it is possible to use this methodology to validate Portuguese rural railway stations as heritage assets. Further assessment is crucial to validate the premises, mainly by testing all the different typified railway classes. Hence, what makes this model any different from existing ones? Its framework. Although it is hard to prove that this model brings any further knowledge, what is also true is that there is no existing model for the Portuguese railway heritage validation. For this reason, the proposed model uses research work done internationally, especially in Brazil by Lins (2015), among other authors, but aims to contextualize it within the Portuguese arena by using Portuguese legislation and research work.

## 5 FINAL CONSIDERATIONS AND CONCLUSIONS

The process of valuing any cultural heritage is not consensual nor linear. It is further complex when one focuses on the industrial and railway ramifications of the cultural heritage world. The complexity derives mainly because the industrial and railway infrastructures are still a recent event, especially compared with the cultural heritage realm. Hence there is a lack of theoretical and methodological analyses to solidify the validation process, creating multiple definitions for the same value. As a consequence, there is a lack of precision. The proposed method aims to minimize the acknowledged problem, especially when considering that there is no legislation dedicated to protecting and valuing the railway heritage in Portugal.

The model presented is validated using one example of a 2<sup>nd</sup> class Portuguese railway typology, within other five,<sup>15</sup> entitled: stops,<sup>16</sup> 4<sup>th</sup>, 3<sup>rd</sup>, 2<sup>nd</sup> e 1<sup>st</sup> classes. To fully validate the proposed methodology, we aim to use one or two examples of each class for the following stages. It is, therefore, a work that is part of a PhD. research, which is still in progress, and thus, the results presented are not final. Still, it is a validated skeleton that aims to incorporate further changes, not only from this research but also from other researchers, experts, or relevant professionals keen to contribute to the present or distant future.

Ultimately, what we could conclude is that these railway buildings cannot be fully examined as one individual piece. They are part of a typified set, and only as a set of the same model, can these buildings have heritage value. A theoretical/practical problem arises here. It's just that we can't save everything, and we can't keep everything either (even if that is not necessary). So, we are at a time when we need to rethink our field of studies and specify our actions with greater clarity. It is time to give it a new spatial-temporal framework so that we can have an adequate and correct safeguard of both what can and what deserves to be saved (and this passes for its reuse in feasible terms). Alongside the in-depth study of what is to disappear (which implies its consequent dissemination and diffusion). (Tinoco, 2012, p. 33) Choay (1980) eloquently argues that it is only after an emotional experience of space that we can undoubtedly undergo a sensitive reappropriation of time. Therefore, time and space define heritage' intrinsic nature.

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15. There are five classes, yet there are some variations of each class, which was intentionally omitted in this document, to keep the structure easier to be understood. To explain the variations of each class would be long and not be relevant to the main argument being presented.

16. In Portuguese, they are called: Apadeiros.

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17. FCT is the Portuguese national funding agency for science, research and technology.

# The time of inhabiting

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**ABSTRACT:** The new paradigms put forward by the so called “Modern Architecture”, which appeared in the 1930s and established itself decisively after World War II, gave birth to memorable experiences and contributions in the field of habitation, however, the technological advances we have watched in the last 40 years altered our habits and ways of interacting with space. Questioning the modern model of habitation, seen as a machine of inhabiting, the article intends to discuss the role of a modernist proposal in the ambit of the process of modernization of cities, in contrast with the new programmatic proposals of contemporaneous living. Reflecting on the habitational spaces of the “information era”, that, due to their specificities, could not be implemented in another context, we aim in this investigation to perform a theoretical reflection in the light of concepts and experiences of contemporaneous spaces, questioning the thinking and the meaning of the architectural place while concept of human experience, evaluating the transformations which occurred in the contemporaneous family and its lifestyle, verifying the impacts of the new information and communication technologies in the domestic and social day to day life of inhabiting and their reflection in the spatial conception and demands of habitation projects with flexible configurations and alternative programmatic characteristics that allow the adaptation to future functional, spatial and urban needs of contemporaneous society.

**Keywords:** Habitation, Contemporaneous habitation, Modern architecture

## 1 INTRODUCTION

The time-space of human society was built in the last 10.000 years; a small-scale temporal count, considering the long duration of life on Earth. The time and space in the evolutionary process of civilizations is consecrated by formed social habits “that are integral part of any personality structure” (Elias, 1998). The set of individualities forms the social collective, principle of the organization of society. Remotely, the social organization produced restricted spaces in long timeframes. With each advance of the civilizational process, society organized itself in new time-space configurations. With each time-space of human civilization, as a whole, faster and more socially organized processes stood out.

The world we live in is constantly changing. Cambeiro (2019) states that current globalization process, boosted by technological progress and informational cult, unleashed an unprecedented acceleration in social phenomena and inevitably transformed the way human beings appropriate space. The need to match the uses/functions of housing to the dynamic and heterogeneous demands of contemporary society places architects with the following challenge: to create flexible houses capable of accommodating change and freedom of ownership of the inhabitant over time.

The issue of housing is a time issue. The equilibrium of societies today depends on it. Architecture has as first duty, in a time of renovation, to operate the review of values, the review of the constitutive elements of the house (CORBUSIER, 2010, p. 12).<sup>1</sup>

Corbusier’s affirmation shows us how ample must be the architect’s vision in relation to their time, and in their application in architecture. Our “today” is surrounded by social, economic and environmental issues.

In each historic moment of modernity that involved a rethinking of lifestyles due to political, social, economic and productive changes, it became clear that it was necessary to disseminate new values, new means to improve people’s life. We are in a key moment, and it is necessary to establish a network of communication and participation from bottom to top, to understand changes which have occurred in society, on the other hand, an effort is necessary to find solutions to these demands and explain, from top to bottom, how habitation can better answer the social, urban, technological and sustainability challenges

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1. All translations are the author’s unless otherwise stated.



we face. Today we must learn to live in new subjectivities and societies in transformation in the beginning of the 21st century: learn to value, design, participate, share and inhabit the present. (MONTANER and MUXI, 2021, p. 35)

The day-to-day activities are structured and shaped by walls, doors and windows, imagining our own life inside these walls is to admit that potentially we would be different personalities by inhabiting a different space than that to which we grew accustomed to. According to Dovey (2008) the house is static, but housing is fundamentally dynamic and oriented by dialectical processes and transactions that change in time.

About the house, it can be said that it is in it that man seeks to express his epistemological condition, his customs and habits so intimately tied to the social environments in which he lives, that is, housing can also be considered the mirror to whom inhabits it.

The nature of inhabited space is more complex than a systematization of technical and linguistic evolution, it is also the evolution of the understanding of the world, in a constant reform of the definition of religious and cultural identity.

To Teyssot (2013), architecture demands maturation in the way that time, changes and human conduct are seen, so that it can be decided when and where to propose spaces that fit a certain behavior or that allow these to be ambiguous once the individual is not a stable being, but the result of a confluence of energies among affections, perceptions and emotions.

Cultures worldwide have different times, not only when it comes to the consolidation of their traditions but also in relation to changes in customs. However, in some way, all take part in the realities of the new modernity, although for not so few there is a cultural heritage which is hard to be overcome.

Perhaps, what will best define the process of transformation in society in the next decades will be permanent evolution, without transition; a continuous succession of technologies, behaviors and ways of life, of always new time-space.

It is a fact that society lives in a permanent flow, that creates and transforms all existing realities; and current times appear as more and more dynamic, bringing other notions of space and time. Contemporaneity is, therefore, marked by the complexity of transformations, especially in the way of living, communicating and expressing, that reflect on the way of inhabiting. The fact is, considering the necessities of users subject to the dynamic of society and culture, architecture and design exercise the mediating function between production and use. (MENDONÇA; VILLA, 2018)

## 2 THE MODERN MOVEMENT AND THE LIVING MACHINE

In the middle of the 1920s, the architect Le Corbusier (2002) affirmed that habitation is altered according to

the demands of society, for the architect studying the house for the current Man, anyone, is to find again the human foundations, the human scale, the type-necessity, type-function, the type-emotion.

The first habitations had only the function of shelter and protection. Throughout history, with the evolution of materials, constructive techniques, and of our needs and with the change of the ideals of beauty/comfort, habitation has been suffering many transformations. In the last few years, architecture has looked for experimentation, the discovery of new models for inhabiting.

The European traditional bourgeois habitation was organized in a three-part structure of its areas, segmented in compartmentalized sectors: intimate, social and service and in a hierarchization of spaces, through the separation of employers and employees, where the kitchen and bathrooms were considered rejection spaces, therefore located at the back of the house (Tramontano, 1998). The proposals of the first European post war period made by the modern movement sought to unravel both the rooted dispositions to this tradition of living, be it that of spatial segmentation, or that of hierarchization.

The European Modern Movement of the interwar period constituted the first and only moment in the whole history of Architecture in that the design and production of living spaces were integrally reviewed, including in the ambit of social habitation designs, as pointed out by Tramontano (1998). That way, according to Bruna (2010), it was the construction of the great habitational complexes in the 1920s and 1930s in the Netherlands, Germany, Austria and England, that realized for the first time this architecture for the proletarian masses of the great industrial cities. Grouping around of a series of collective social services hundreds and at times thousands of minimal habitations, these complexes, due to their study of the internal details of each habitation, the use of industrial production techniques, the attention to insolation and natural ventilation and the landscape implementation, the innovation they represented in terms of organization and planning, ended up becoming the marks of a new conception of urban space and of a new architecture.

In Europe, at the end of World War II, as a response to the great habitational deficit created in that period, the State appeared as a manager of collective habitation problems. The use of pre-made materials became the symbol of a faster construction and gigantic plans of reconstruction were moved forward thanks to the possibility of rationalizing and mechanizing most of the operations made in the construction site. The movement of construction and reconstruction lead to the historical evolution of the concept of modern once it involved modern architecture directly. This seemed ideal to face the problems of cost and time, while ideologically united to the industrial production (Raja, 1993).

The development of the modern architectural vanguard and, consequently, of modern houses, can be understood and the logical extension of the Industrial Revolution. The changes occurring in cities, transportation, utilities and public infrastructure, as well as in the economy fostered by industry, contributed, among other aspects, to the emergence of modern habitations. With a machinist aesthetic, the result of an emphasis on the idea of serial industrial production, and the abstraction, result of an idea of equality, standardization, repetition and, especially, the complete removal from the eclecticism, which was dominant until World War I, reinforced the idea of the “living machine” of Le Corbusier. These are the notions – design derived from a scientific comprehension of habitation and from a new social behavior; the industrial production of habitation components; and finally, the recognition of the fundamental role of government planning - which are in the center of what was called modern movement, no longer as a style, but a cause impregnated with ethical values and convictions of material, social and political progress. (Bruna 2010)



Figure 1. Collective verticalized habitations. <https://pixnio.com/pt/arquitetura/edificios/>.

The analogy made by Le Corbusier between a building and a machine – a living machine – was more than a poetical metaphor; it was based on the assumption of an ontological identity between science and art (COLQUHOUN, 2004, p.161).

As if architecture and science in a certain way had the same nature, and because of that, should dialogue incessantly, so that the technique should always serve as basis to the artistic and intellectual assumptions. Architecture, technology, the real and the representation should, therefore, correspond to the same end. The pure forms that the new technology allowed were the essence of the meaning of architecture. Architecture, according to Le Corbusier’s discourse, as discipline inherent to the science and technology emerging from the Industrial Revolution, where the idea of adornment did not make sense anymore for a world with a completely different epistemological foundation from the Victorian or Classical worlds, should, thus, portray the new society of its time.



Figure 2. Collective verticalized habitations. <https://pixnio.com/pt/arquitetura/edificios/>.

The theme of habitation, extremely central to the restructuring of urban territories post Industrial Revolution, initiated systematic studies (minimal unit, templates, densities, etc.) that composed true urban utopias in the interwar Europe, for example. Collective verticalized habitations, in their formal and urban variations post-Industrial Revolution, would represent one of the most significant and questioned typologies of the Modern Movement. Contradicting the bucolic ideal of the more romantic or conservative person, the densification of great cities would make unfeasible the ideal of those who still believed that residences should be built isolated. The speed of the machine, the productive, behavioral and capitalistic particularities, anyway, the new conditions of time and space of the modern man, brought with them new spatial conditionals for architecture and urbanism. In the new industrial cities, verticalization becomes a fundamental parameter. Repeated generations of architects made a great effort to correspond to this new programmatic demand that would make necessary, due to its complexity, a profound review of the concepts in force in design processes. A difficult question, subsequent to the need of an immediate evolution in constructive, sanitary, technical, aesthetical and urbanistic systems and subsystems of the new buildings that emerged. The verticalization of habitation, besides transforming as a whole the structure of cities, reconditioned, fundamentally, every existing relationship between man and their habitat. (Medrano, 2005)

All of these alterations in cities, also accompanied by transformations in the habitational cell, caused significant changes in the way of inhabiting.

### 3 NEW WAYS OF LIVING AND 21ST CENTURY HABITATION

Contemporary architecture would stop prioritizing the conforming of material spaces, concept that defined it since the Vitruvian formulations of commodity, firmness and beauty, elaborated twenty-five centuries ago, and would start, then, to have to consider the permanence of the fruition of these spaces, besides the events tied to them. That is, in the traditional perspective of space/time, the architecture of the informational era would change its focus from the first to the second domain. In other words, what we experience since the end of the 20th century is the passing from the firm, stable, solid, immutable architecture to an architecture that could be denominated as fluid, liquid. In this sense, Solà-Morales affirms that the habitual in architecture is, therefore, that determination is to be made through solid material, which explains the repeated material and constructive considerations contained in Western architectural treatises.

Architecture has to do, traditionally, with the idea of permanence. But what happens if we try to think from other extremes of these traditional concepts? Is it possible to think of an architecture whose objective is not that of ordering an exact dimension, but movement and duration? (SOLÀ-MORALES, 2002, p.125)

The comprehension of the formation of models of domestic space generated in the 20th century and their relationship with the current ways of living constitutes experience and knowledge to understand and frame the current transformations and subsidize the design of 21st century domestic space. At the same time, and particularly after industrialization, day-to-day life has suffered transformations, not only at the level of social structures, but also through the introduction of new technologies. The relationships between people, the rhythms of life, forms of leisure, work and consumption were altered. These two factors influenced the conception and living of the house, which today, however, still do not seem to fit completely in the needs of those that inhabit it.

The demographic evolution caused transformations in the configuration of family structures and consequently in the domain of ways of living. These transformations manifest themselves essentially in the generalized increase of the number of people living alone; higher number of single-parent families; in the growing number of couples without children; in the increase of people without family ties living together, mostly students, among others. Also, the unit of nuclear family is subject to changes. The family aggregate is reduced (related to the decrease of the fertility rate), the role of the woman in the habitation is modified, who starts to perform a more active role in society, leaving her domestic activity in the background. The performance of this role by the woman implies changes in the domestic day-to-day life. That

way, the delegation of certain functions is necessary, such as the education of children, a bigger sharing of domestic chores and to resort to new equipment to support these same tasks. Other factors influence the way of experiencing the domestic space, such as the existence of different work hours, which influence the living time in the domestic space; the accentuated absence of the family aggregate during the useful period of the week (weekdays); the increase of the use of the domestic space as work space; the more intensive use of the domestic space for ludic and leisureable ends; the decrease of permanence time of maids; the increase of mobility which eases the change of habitations with more regularity, since it is easier to also change workplaces; the improvement of access to culture and information; the improvement of personal hygiene, with a bigger cult of the body; the generalization of the automobile; the bigger sociocultural diversity in the family aggregate, driven by the increase in immigration, among others. At the same time, a tendency to individualism in social relations and a bigger requirement of domestic comfort, through the use of new technological equipment inside the domestic space, can be observed.

The transformations in the social structure, throughout the years, show that the search for new habitational solutions, can't be reduced to a single residential model, due to a great diversity of family compositions, residential norms, ways of life or lifestyles associated with living in a habitat. Despite these transformations, the use of proposals based in the spatial configuration grounded in the 1800s bourgeois model, adapted since the beginning of the 20th century to the model proposed by the modern movement, can still be observed today. This model (19th century) was based on the concept of three-part separation of spaces - social, intimate and services, with the nuclear family standing out, with domestic servants responsible for the functioning of the residence and who were deliberately separated from the employers. The service area remained in the back of the house and included the servants' room, the kitchen and the bathroom. In closer contact with the public space, there were prestigious areas, the social area, composed by the vestibule and living rooms, in contrast with the more intimate spaces, which corresponded to bedrooms. On the other hand, the Modern model is characterized by the functional bipartition of day spaces - kitchen and dining room, corresponding to convivial spaces - and night spaces - bedrooms, sanitary installations and resting spaces. The kitchen was moved from the back of habitations to merge with the living rooms, becoming therefore a convivial zone. Areas were reduced to a minimal, with flexible furniture elements, such as articulated tables, collapsible beds, etc. being proposed. It kept being based in a nuclear family but characterized by both father and mother working outside of the domestic ambit, as well as the decrease in the

number of children. In the current context of complete mediation of human activities through computational, web and software technologies, the Modern archetype of “habitation-for-all”, which had been reproduced in the whole world under Western influence, is outdated. The introduction of the idea of networks, of interconnected and overlapped flows, and of places they are manifested, would transform the demands of architecture for the 21st century. In a nutshell, contemporaneous architecture would stop prioritizing the conformation of material spaces, concept that had defined it since the Vitruvian formulations of commodity, firmness and beauty, elaborated 25 centuries ago, and would, then, have to consider the permanence of the fruition of these spaces, besides the events tied to them.



Figure 3. Home-office. <https://stocksnap.io/photo/home-office-6QB1LJY6CR>.

That is, in the traditional perspective of space/time, the architecture of the informational era would change its focus from the first to the second domain. In other words, what we experience since the end of the 20th century is the passing from the firm, stable, solid, immutable architecture to an architecture that could be denominated as fluid, liquid. Tramontano et al. (2002) suggests two impacts due to the introduction of means of communication and informatization in the domestic environment, which are: direct impacts, those caused inside buildings; and induced impacts, which are behavioral transformations.

When we transform our dinner tables in workstations or type an e-mail in the bedroom, we change our relationship with the house. [...] In the following decades, we probably will not worry about keeping computers in cabinets or plugs in couches. Cabinets, clothing, glasses and kitchen counters will be computers. At home, people will work and browse, while seated, walking or eating. The future technology has huge implications in the nature of the house. (JACKSON, 2002, p. 58)

The redesign of the contemporaneous habitat faced with new ways of living must consider the possibilities of flexibilization of space, with the alternance

and overlap of functions; as well as the possibilities of flexibilization of use considering the technological implications involved.

The adequacy of the housing project, especially that aimed at low-income populations, must take into account both the fulfillment of the minimum human needs for safety and hygiene of the family, as well as their social needs linked to family characteristics, their abilities and potential, as a way of qualifying the project. In this sense, Szücs (2000) proposes to seek more flexible constructive alternatives, which allow the user to introduce personalized elements that do not interfere with the environmental and constructive quality of the building.

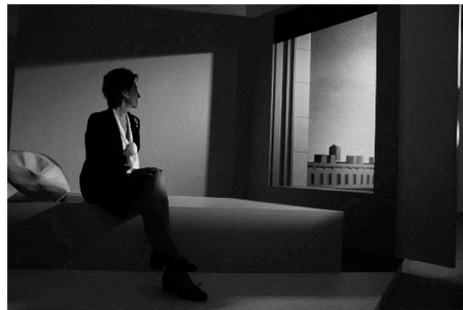


Figure 4. An interactive installation that reconstructs the scenography depicted in the painting *Morning Sun* (1952) by Edward Hopper, Palazzo Reale, Milan, 2009. <https://encrypted-tbn0.gstatic.com/images?q=tbn:ANd9GcRauBA-yZ4H0FRFqM8BojfN8kN7Uun1wNqUw&usqp=CAU>.

Just as the life cycle of users changes throughout their lives, the performance of the built environment also changes. According to Orstein (1992), the building life cycle can be summarized in two major phases: the production phase, which includes the stages of planning, design and construction of the building; and the longer-term use phase, which consists of the phase in which the built environment takes on a social role, whose efficiency is measured by user satisfaction.

Therefore, aiming at greater efficiency, spaces intended for housing must be studied and designed to meet the needs of users, adopting more rational solutions. The use of modular coordination, as well as the introduction of flexibility criteria and the adaptability of the project, already in the housing planning phase, will be able to maximize the housing performance both in production and in use.

Indeed, it can be noted that the great majority of studies on habitations focuses on functional and constructive architectural questions. ... The user and their behavior in space are the core of the question on the qualification of habitation. Fomenting a discussion on the implications of subjectivity, on inhabiting.

The scale of transformation, of evolution in the various civilizational processes that were installed, formed a time consciousness for personal and social life events. Gradually, time became the “symbolic representation of a vast network of relationships that gathers diverse sequences of individual, social or purely physical character” (ELIAS, 1998, p. 17). The notion of time would evolve to a growing domain in social life.

#### 4 FINAL CONSIDERATIONS

The inhabitant of the great cities of the world seems to be increasingly alike their congeners from other countries, grouping themselves in similar family formats, wearing clothes of similar design, entertaining themselves in the same ways, tasting the same dishes, equipping their homes with the same appliances, working in personal computers which use the same software, capable of reading, all over the world, information contained in the web. This means that, apparently driven by the potentiation of mass means of communication, a huge transformation of habits is in course, minimizing, including, the influence of local cultures.

It is especially in this sense that the transformations currently in course are deep: when, equipped with more performative long distance means of communication, the workplace tends to again occupy the habitation space, which must house a minimal number of people, maybe – and with, apparently, increasing probability – a single one, creating the scenario which will house a new kind of workforce, completely fragmented. The crisis in labor and the new ways of producing and distributing wealth, leveraged by the 21st century technological advancements, are accelerated by the context of the COVID 19 pandemic.

With so many social and mainly behavioral changes, the contemporaneous architecture cannot be limited to deal with the problem of habitation as only a problem of alterations in program or of formal speculation. A more profound reflection about possible new designs for these spaces becomes necessary, due to the new behaviors.

Cambeiro (2009) concludes that the concept of flexibility in habitation must be understood in its broadest dimension, that is, as the capacity of the inhabitant to adapt the domestic space to distinct functions and uses throughout time be it through active flexibility, based on physical transformations, or passive flexibility, settled in the neutrality and polyvalence of space. The importance of flexibility is intimately tied to the human necessity to have a space adapted to them, with which they can interact freely and that follows the changes of life. The freedom of appropriation is a fundamental aspect of the expression and construction of human identity in the space so that it becomes essential to introduce flexibility as an intrinsic factor of design promoting the capacity of inhabitants to personalize space according to their individual necessities and aspirations.

From this approach, habitation should be faced not as a “finished” product, but as an “incomplete” work. The concept of space must integrate a sense of “temporality” allowing the house to adapt itself to the evolution of the personal, social and culture conjuncture of the inhabitants, as well as to the particularities of the place in which it is inserted. In the end, designing a flexible habitation means designing a building that is the continuous reflection of its context, a kind of “living organism”, that answers dynamically to the human and environmental conditions.

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# Spirals of time; centrifugal spaces on Francisco Conceição Silva's work

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**ABSTRACT:** Francisco da Conceição Silva was a prolific Portuguese architect and a leading figure in the consolidation of tourism as one of Portugal's main economic strengths in the 1960s. Despite being a distant reference in the Portuguese star-studded architectural universe, Conceição Silva's work is regarded as influential because it successfully combines highly qualified design - approached as a multidisciplinary activity - with significant commercial achievement. His work is especially remarkable in its sensitivity to handling materials such as concrete and wood; his ability regarding spatial distribution is also noticeable, using mainly a centrifugal spiral disposition, which is the subject of this paper.

Developed from the analysis of the architect's residential and hospitality projects - such as the Dafundo House, the Boca do Inferno House, the Alfragide housing complex, and the Balaia Hotel - the paper intends to highlight his sensitivity to dynamically organizing daily living through subtle spatial progression, manifested by the seamless transition of spaces, height variations, and centrifugal spiral plans. Conceição Silva's work is a reminder that the usefulness of a room can be found not only in the enclosure but also in articulation.

The article is based on the analysis of documental sources, especially the Conceição Silva estate, currently under the conservation of CIAUD - FAUL.

**Keywords:** Conceição Silva, Spatial organization, Materiality, Portuguese architecture

Born in Lisbon in 1922, Francisco da Conceição Silva was a prolific Portuguese architect and a leading figure in tourism consolidation as Portugal's economic strength in the 1960s. His architectural practice strongly engages with painters, sculptors, and other artists as active partners in developing projects. Conceição Silva's career was boosted after organizing a modern furniture exhibition in Lisbon in 1952, thereon granting him a series of jobs, mainly single-family houses and downtown shops, which reflect the multidisciplinary approach of his practice. This exhibition also helped him to get the commission to design Hotel do Mar, located in Sesimbra (Leite, 2007), to the south of Lisbon, Portugal, as an integral piece of art: the architect was responsible not only for architecture but for equipment, furniture, graphic design, art works' integration, and even landscape. Success and visibility of Hotel do Mar marked another step in Conceição Silva's career: his firm had turned into a multidisciplinary studio capable of even larger projects, such as urban planning, tourist complexes, housing projects, and public equipment, later extending to a small business group (encompassing engineering, construction, real estate development, and

advertising), which will be responsible for the majority of the office's projects until the Carnation Revolution, in 1974. After being physically attacked, Conceição Silva moved to Brazil in 1975, where he started a practice from scratch. In Brazil, he developed several smaller projects (Conceição Silva & Conceição Silva, 1987) - compared to those he left in Portugal - still with the same pursuit for crafted and qualified spaces until his sudden death in 1982.

Conceição Silva's work is regarded as influential because he successfully combined highly qualified design - reached through multidisciplinary sensitivity - with significant commercial achievement. Plastically, his work is noticeable in how it delimitates spaces through the arrangement of elements, creating a subtle transition suggested by material and dimensional handling instead of the traditional space compartmentation based on walls.

Such subtlety is evident in the designs for the Dafundo House (1965), the Boca do Inferno House (1971), the Balaia Hotel (1966), and the Alfragide housing complex (1970), analyzed in this paper. Despite the sculptural aspect of these works, they are still buildings, meaning they must still fulfill some practical issues: being comfortable spaces to meet,

work, prepare a meal, sleep, and move, among others. One key aspect to providing such comfort is the development of a spatial distribution that determines enough room to realize daily activities and organize users' flow within the building, providing – or removing – the privacy needed. This spatial distribution is the paper's central theme; its apprehension is based on a documental analysis of Conceição Silva's estate and redrawing of the building, aiming to clarify the internal organization of spaces.

## 1 THE DAFUNDO HOUSE (1965)

The house that Conceição Silva builds for himself and architect Carmo Valente, his second wife, occupies the northern part of a narrow land plot in Dafundo, Algés, near Lisbon. From the outside, the austerity imposed by the plot boundaries gave no opportunity to develop dynamic or sculptural elements; the interior is far from obvious, despite being relatively easy to navigate.

Upon opening the front door – and making the subtle transition of two steps above street level – we enter a space horizontally organized through a spiral matrix, constrained by plot boundaries. Three similar-sized strips, perpendicular to the land's narrowest sides, accommodate the different uses. The house's geometric (and programmatic) center is marked by a circular dining table in the living space, from which the other rooms articulate, fitting the permanence spaces along the east and west borders. Two proportionally smaller spaces, perpendicular to these strips, are designed next to the west boundary in the street façade and close to the east limit in the transparent façade. This set of rooms forms a distended and continuous "Z," flanked by closed spaces on the house's boundaries.

This structure is repeated on both levels of the house, although the entrance hall – the basis of the extended "Z" – is shared and is located on the intermediate level between them. From this "half floor," we can go up to the formal and adult level: a spatial continuum that houses a dining area and a living space, connecting to the balcony overlooking the river. On the west side, an internal patio brings light to the front of the house, followed by the master bedroom, covered by the library in the living room's mezzanine; on the east side, the kitchen is segregated from the living room and lit by another patio next to the street façade. Completing the "Z" on the formal level, we have a sitting room with a fireplace, typically set as a focal point in Conceição Silva's residential work. Back to the "half floor," if we go downstairs to the youthful and informal level, we again have a living room that leads to a second balcony, precisely placed under the first one; on the east side, we have the daughter's bedroom, and on the west side there is a game room. Consistent with the centrifugal force implied by the plan's spiral, a passage along the east border gives access to the pool.

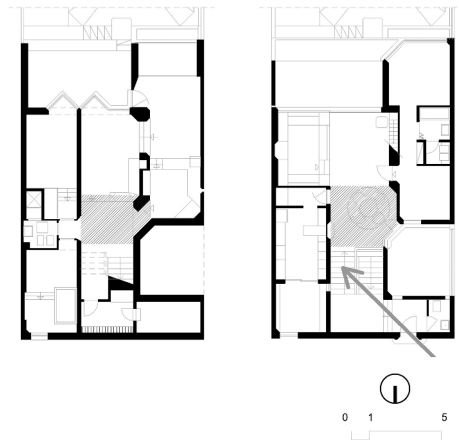


Figure 1. Plans of Dafundo House: ground level (left) and upper level (right); gray hatch highlights the house's geometric center. Drawing by the authors.

Conceição Silva conceives his house as he conceives much of his work: with attention to detail, the economy of means, opening to light where it is necessary and to the view where it is mandatory. This attention can be seen in detail such as the transition from the central space to the rooms on side strips: except for the kitchen, these spaces are located two steps - made from a free-standing block of stone or wood - below or above; that way, doors are practically unnoticed as mediators of spaces. Materials are also intentionally worked: roof and living floor are made of solid wood; stone finishings, cabinetry, furniture, fireplaces, and even handles are designed to the finest detail.

## 2 BOCA DO INFERNO HOUSE (1971)

One of his main clients, Engineer Valadas Fernandes, commissioned Conceição Silva to design his house, situated on the outskirts of Lisbon, in the nearby village of Cascais. Shaped approximately as an isosceles triangle, the plot is in the corner of an urban block, pointing west: the southern side has a stunning view of the ocean from a cliff's top, known as Boca do Inferno (Hell's Mouth); the north-western side is formed by one regular, interior street. More extensive than the architect's plot, the one from his client allows him to establish the house as a free-standing building, which leads to a more balanced treatment of façades. Forming a cross on the roof level, the building is an inverted T-shaped volume on the ground floor with a covered passage to an adjacent unit that contains the chapel and a garage.

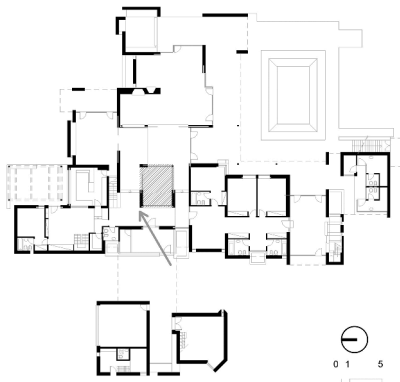


Figure 2. Plan of Boca do Inferno House: ground level; gray hatch highlights the enclosed garden. Drawing by the authors.

To enter the house, one must drive parallel to the interior street, starting almost on the plot's apex: then, one will face a sequence of volumes arranged perpendicularly to the northwest. Getting closer to the T-shaped volume, one must turn 90 degrees right and look at the ocean framed by the house, chapel, and covered passage - which also indicates the house entrance. If one is not yet suggested by the dynamic volumes seen from the exterior, the door - not aligned with neither the passage center nor the enclosed garden it reveals - puts the visitor out of balance, inducing a circular, tangential movement that turns into a centrifugal displacement if one intends to reach the house's other rooms.

The enclosed garden marks the building's highest point. The routes previously mentioned lead to more private spaces: to the northwest, the kitchen, then the servants' rooms; to the southeast, children's bedrooms and private living room; to the northeast, dining and social living, facing the ocean and the pool, then a veranda for private conversations. Only the main bedroom and a small office are located one level above. Even so, the circulation is again guided by the tangential movement generated by the circulation around the enclosed garden. As in Dafundo, height variations can be noticed on ceilings and steps between rooms; doors are features of the wall, occupying the whole room's height. Façades are made from trimmed stone and concrete. Interior spaces are clad in wood as space features, revoking the ornament but still formal as in a traditional Portuguese manor house: doors are more than wall pierces but volumetric elements. Conceição Silva repeats with the same subtlety the spatial principles of his own home in a larger area by creating a seamless volumetric composition under different conditions.

### 3 HOTEL DA BALAIA (1966)

After the success of Hotel do Mar, Conceição Silva is hired to hand over another hotel, this time as a turn-key project: the office is responsible not only for the complete design (as in Sesimbra) but also for its construction - an unprecedented event in Portugal. Hotel da Balaia is another step on the corporate office ladder for the architect, which requires him, according to Lobo (Lobo, 2013), to be more businessman and less artist as he takes control of the whole process,

In the design of the hotel, the practice must deal with dissimilar forces in the building's positioning: all rooms must face the sea; the building must be as integrated as possible with the surrounding landscape, which means lower construction and some topographical recognition while creating a privacy barrier to the access street. According to Lobo (Lobo, 2013), the hotel was part of a large urban plan that should provide a significant number of amenities to tourists, avoiding the need to commute to the nearest city. To house these amenities, Atelier Conceição Silva plans a lower building withholding all the functions required; as those include tourist entertainment, this structure should be both protected from the exterior and with a view towards the ocean.

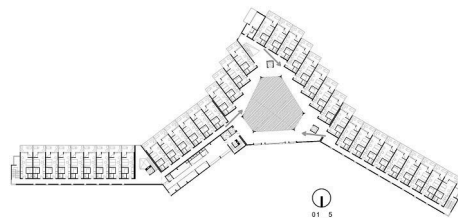


Figure 3. Plan of Hotel da Balaia: rooms plan; gray hatch highlights the atrium. Drawing by the authors.

Unlike a house, a hotel requires a clear enclosing of private spaces: each guest must use only their room, and service workers must enter the rooms only during service hours. This means one cannot cross through progressively private spaces but reach them only through a neutral, public space as a corridor. Houses usually have rooms with distinct purposes, which means various sizes, shapes, and finishes: in a hotel, there are plenty of exactly equal - or quite similar - rooms. With the economy of scale in mind - an essential factor when one cares about the economics of a business - it is desirable to reduce the variations to a minimum.

However, Atelier Conceição Silva's approach to the project is generally the same as the houses previously discussed. By setting an apparent spiral volume, and an irregular hexagonal atrium as the origin of the building, Conceição Silva also



generated the guidelines for the hotel implementation with enough margin to answer all the specific requirements. Conceição Silva establishes a gallery building from west to east, parallel to the entrance street, absorbing the hexagonal atrium, shaped by two sets of side lengths, alternated (A-B-A-B-A-B). The atrium can be read in plan as an equilateral triangle pointing to the sea, with guests' access across the center of the side parallel to the entrance street. This arrangement reinforces the only movement not tangential but directed to the center of distribution space among the projects described in this paper. Despite that, according to Lobo (2019), the concrete skylight above, stylized in a kind of Vitruvian equilibrium, filters down the sunlight creating an almost ethereal atmosphere. An experience that leaves a lasting imprint on the tourist. This is the hotel's image

As soon as one takes the main staircase, a clockwork movement is put in motion around the atrium: eventually, one will find a corridor that leads to the room or the way back to the staircase.

If, from this point on, the program does not allow the same subtleties as in the design of the houses, Conceição Silva still provides some features of the same spatial disposition when possible. The tangential movement does not end in the public circulation: having the room entrance diagonally opposed to the balcony access and the bed space between this virtual line and the bathroom back, hosts must walk around the bed to reach their exterior private space; variations in rooms heights are given by ceiling levels, highlighting the area for the beds. Regarding materials, wood on the sea façade gives warmth and differentiates the front and back faces of the building. Indoors, the pre-casted elements, in conjunction with the wooden pieces, create an environment akin to holidays. Finally, Conceição Silva makes excellent use of wood as an edge-highlighter: between walls and ceilings, free-standing wall borders, masonry railings, and so on.

#### 4 THE ALFRAGIDE RESIDENTIAL COMPLEX (1970)

In the last well-succeeded step of his career, Francisco Conceição Silva becomes his own client: not as a house buyer but as a building owner. Through a real estate development company under the holding "Atelier Conceição Silva," the architect designed, built, and sold a building condominium formed of three residential towers and a small commercial center in Alfragide, nearby Lisbon. According to the project description,<sup>1</sup>

1. From the project description: "(...) O elemento torre agora apresentado, é constituído por 4 pequenos núcleos que se articulam através do nó de acessos" que é constituído de 1 escada, dois elevadores e uma queda de lixos.

the tower comprises on each floor four apartments around a utility core made up of stairs, elevators, and a garbage shaft. Each apartment has a different internal organization, developed to meet the needs of diverse types of medium-income families.



Figure 4. Plan of Alfragide Residential Complex: even floors plan; gray hatch highlights the utility core. Drawing by the authors.

Like with the Boca do Inferno House, the three towers are free-standing volumes, which reflect on the façade and volumetric treatment<sup>2</sup>; each tower has a different number of floors, resulting in an irregular crowning of the building. Each tower is set in such a way as not to block the view and natural lighting of others. Each tower has different access, but all straight from the street: after crossing the building door, one enters a space with elevators and a garbage shaft in the center. After circulating this "access node," the inhabitant or visitor can take the elevator and move up. When he arrives on the appropriate floor, he can repeat the tangential circulation and reach, with a centrifugal movement, the apartment entrance intended. The spiral movement follows into the house: through steps, half walls, and other spatial devices, one moves tangentially to the living room wall, enabling the appreciation of this aggregation space. At Alfragide, Conceição Silva has more units,

Cada um dos núcleos (considerado em plantas) tem uma organização diferente, pretendendo, contudo, todos eles suprir as necessidades da família classe média. (...)"

Which can be free translated as: "(...) the tower element now presented is made from 4 small nuclei that articulate through an "access node," which is made up of one stair, two elevators, and one garbage shaft.

Each of the nuclei (considered in the plan) has a different organization and intends to meet the needs of a medium-income family. (...)"

2. From the project description: "(...) Cada um destes núcleos, tem um número de pisos diferente, pelo que acabam a alturas diferentes, conferindo ao edifício uma visualização mais rica e um inacabado que é característico da semântica dum edifício tipo torre (...)"

Which can be free translated as: "(...) Each of the nuclei have different floors, so they end up at different heights, giving the building a richer visual and such unfinishedness typical of tower-like building semantics. (...)"

allowing him to create height variations more often than in Hotel da Balaia. The use of wood is similar: besides highlighting edges and protecting corners, wood is also used in furniture and cabinetry designed especially for this project by his practice.

## 5 CONCLUSIONS

Like a comet in its path, the user in any projects described in this article follows a trajectory of approach and departure regarding one central, almost untouched element without crossing it. Conceição Silva's Figure 4 approach shown above differs from the usual in this kind of project: typically, one will move through an entrance hall, enter a corridor to reach private rooms, or go directly to a main space – like a living room – through a door. The architect's strategy is making the user – inhabitant, guest, or worker – move tangentially around a proportionally significant space (but it is not the most important: a dining table, a garden, an atrium, the circulation core) and through a centrifugal route reach the most distant and private rooms. Usually, this space is the highest of the building and frequently has zenithal illumination.

With this simple move, Conceição Silva can solve, both functionally and formally, different programs at different scales and sites by creating an autonomous, everyday path to spaces where one can notice a progressive variation of privacy. Functionally, the central element is the region with the most significant public affluence in any studied building in this paper: after passing property filters (entrance gate, access door, hotel or apartment reception), users are carried away by a centrifugal movement that leads to a growing privacy gradient which in the chosen projects means bedrooms and private balconies. Upon returning to the center, the user experiences the inverse privacy gradient. Formally, the option for the additive composition of non-uniform elements is intentional and brings advantages when these elements are controlled - as in Conceição Silva concerning spaces. The harmonization of the composition through space alignments and material characterization is simpler to resolve than if some symmetry or general modulation conditioned it.

Regarding material expression, the general philosophy of Conceição Silva's practice and its corporate size and organization allowed for a deeper study and refinement of the building detailing, qualifying even more the spaces aesthetically.

Conceição Silva used the concept studied here more as an underlying principle than a strict rule: of course, Alfragide and Boca do Inferno are detached buildings, freed from the directionality imposed by the sense of street façade and backyard of Dafundo and Balaia; it is clear that in Dafundo, the scale only allows for a piece of furniture to take place as the central element of the building; the main component of Alfragide is an entirely practical one. It is noticeable, however, that such a formal and functional principle, even being flexible and elegant, is not mainstream.

This work intends to highlight one of the various exemplary expressions of daily but well-conceived Portuguese recent architectural past. Hopefully, our interest and literacy as a public will grow with the help of some thoughtful expressions from some years ago.

## ACKNOWLEDGMENT

This work is financed by national funds through FCT - Fundação para a Ciência e a Tecnologia, I.P., under the Strategic Project with the references UIDB/04008/2020 and UIDP/04008/2020.

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# Space and time in Tomás Taveira revealed in the late 1960s; Valentim de Carvalho's record store

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**ABSTRACT:** Tomás Taveira is the prime mover and an unavoidable name of postmodernism in the panorama of Portuguese architecture to this day. However, his path began in the last fifty years through an inkling that emerged from the political and social turmoil of that time, adjusted in an enormous curiosity about the English brutalist movement mixed with a great fascination related to the period of Italian architecture that encompasses the Renaissance and the Baroque (*Cinquecento/Seicento*). This historical-temporal bipolarity was transfigured in his works. Since then, these two influences have followed him throughout his career, where he has operated incessantly in very particular investigations and buildings about the sensations of space present in architecture. His work is research on an incessant transfiguration – a metamorphosis with no end in sight. Although architecture is the petrification of a period, this architect refuses to be domesticated by the space related to his time, permanently confronting it in a “work in progress” without, however, refusing its origin. Interestingly, this beginning had a fracturing character and was presented in a small store in Cascais—Valentim de Carvalho's record store—with the collaboration of a painter and a poet who were his peers. The approaches related to space and time in his work are the main argument in this paper, where it will be shown that his ideas are not circumscribed to a normative and much less carry a regularity within the Portuguese socio-cultural context. Surprisingly, although his vast professional career has always been subject to aesthetic-formalistic modifications, its matrix remains the same, although everything else has changed over time, particularly the configurations and times of space.

*Keywords:* Space, Time, Architecture, Generation, Fracture

## 1 INTRODUCTION: THE DECOMPOSITION OF POSTMODERNISM

This article seeks to define the connection between space and time through the work processes, methodologies, and architecture of the major driving force of the postmodern movement in architecture in Portugal in the early 1980s—the architect Tomás Taveira. However, his professional path begins through a close aesthetic affinity to the generation to which he belongs, that of the 1960s. His connection with space and time, as he has intervened in it, began with an intense affinity with the Anglo-Saxon brutalist architectural movement, developing into a close relationship with that trend, beginning with an enigmatic work in Cascais: Valentim de Carvalho's record store (Bártolo, Baltazar, 2000, p. 29).

A decade later, he transitioned to a postmodern formal language, with a strong American influence, through Michael Graves, as well as European, through Ricardo Boffil. From the 1990s onwards, his work grew closer to a late postmodern extension, called architectural deconstructivism, with a strong influence

of Coop Himmelbl(l)au, Morphosis, or Frank Gehry, but oddly enough, from 2000 until today, he started a very personal journey, totally idiosyncratic and one might even say, close to the aesthetic diktat of contemporaneity, contrary to what he did in past decades. Despite the level of plasticity in his projects having changed in different periods and being different from those traditionally used at a given time, the origin of his spatiality has always remained related to what he holds as most precious: his memories of space through time in his seminal project, Valentim de Carvalho's record store in Cascais.

## 2 THE 1960S AND 1970S AND THE FRACTURE AND CONTESTATION

Taveira's relationship with space stems from a curiosity that transports him through time because, as he has related in conversation, his curiosity for architecture began in his childhood through his inclination to draw almost obsessively and the act of drawing itself as a transmitter of a code that is revealed in architecture,

which is his communication link to the world, as he often states. However, his inclination comes under the aegis of his generation, strongly influenced by pop-art culture and English neo-brutalism. Ideologically, he feels more inclined toward a culture of contestation where the representation of color and form has vital importance in the plastic architectural expression, appropriate to an industrial and controversial Anglo-Saxon nature, unlike the overwhelming majority of other Portuguese architects who entered the neo-realist current with a very strong Italian tendency and with a less plastic and more socially contestatory perspective. His first contact was innocent, and while he was a university student, through an architectural magazine, he bought that contained the Preston housing complex by James Stirling and James Gowan (1957-61). At the same time, he discovered the duo Alison and Peter Smithson, and there he immersed himself deeply in a neo-brutalist aesthetic, which made use of the meager material resources that existed in the immediate post-war period in Great Britain—iron and reinforced concrete—, the cheapest and most suitable materials for building at the time. In a conversation with Tomás Taveira on January 20, 2022, the architect delved into this matter:

I studied the Hunstanton School in Norfolk, designed by the architectural duo Alison and Peter Smithson. From there, I read Lewis Mumford, Jane Jacobs and noticed an analogous phenomenon. Although we did not have direct consequences from the Second World War, in the same period in Portugal, there were also no funds for sophisticated materials, and I started to do architecture with an English affiliation through a series of projects I did, such as the towers of Alfragide or the Castil building, which was designed with a typically English style. But on the other hand, I wanted my work to have a historicist and popular side. Hence Valentim de Carvalho's record store in Cascais! (conversation with Tomás Taveira).<sup>1</sup>



Figure 1. Valentim de Carvalho's record store general view (M. Baptista-Bastos 2022).

1. All translations are the author's except when otherwise stated.

### 3 VALENTIM DE CARVALHO'S RECORD STORE IN CASCAIS: BRITISH POP CULTURE AND ITALIAN HISTORICAL MEMORY IN PORTUGAL

Design works for Valentim de Carvalho's record store project in Cascais, located at Rua Frederico Arouca, started in 1966, and the construction concluded four years later. In the same period, other projects, such as the Alfragide towers and the Castil building, come to fruition. However, this created an aesthetic and ethical fracture with the intellectual *status quo* of the time because, until then, nothing of this kind had been done in Portugal.

Where does historicism come in, and why did this little store affect the visual arts and architecture of that time? In the same conversation mentioned in the previous section, the architect stated: "This tiny 15 sqm shop was a sketch of Bramante's Saint Peter's Basilica, and the walls also had paintings by Sá Nogueira and quotes by the poet Herberto Helder." (conversation with Tomás Taveira).



Figure 2. Valentim de Carvalho's record store detail (M. Baptista-Bastos 2022).

### 4 ARCHITECTURE, PAINTING, AND POETRY WITHIN 15 SQUARE METERS

Winston Churchill's famous quote, defining the Soviet Union as "a riddle wrapped in a mystery inside an enigma," applies perfectly to this work. The floor plan is a simulacrum of Saint Peter's Basilica in Rome, only on the small scale of a store. One would say that it is almost a maquette, resembling another mysterious and much less known building by Donato Bramante, the Tempietto.

The Tempietto subliminally reveals itself to be a tiny prototype of what would become his proposal for constructing Saint Peter's Basilica. Bramante was hired to start this small church in Rome, more specifically, where Saint Peter is said to have been crucified (Freiberg, 2014, p. 87). Interestingly and almost simultaneously, given the long construction periods, in 1506, Pope Julius II also started the plans to replace the existing Saint Peter's Basilica with a new one, commissioning Bramante for its architectural work. However, the architect died soon after, in 1514, without even having time to see the beginning of the development of his project. His proposal was so fearless that although other architects replaced him—Raffaello Sanzio and Antonio da Sangallo, and Michelangelo Buonarroti—the Basilica kept its original cruciform layout until its completion, i.e., a Greek cross-shaped plan with four equal arms, as could be found in the Byzantine temples erected six centuries earlier. But if we examine closely, Valentim de Carvalho's store, in its scale and origin, navigates between these two works by Bramante—consciously and popularly in the Basilica, involuntarily and unknowingly in the Tempietto. Unconsciously, the Taveira's record store transports us to the crypt of this small temple that also reveals a cruciform space, similar to that of the great basilica—a speculative grandiosity contained in a dimensional exiguity, Saint Peter's Basilica hidden in Bramante's Tempietto, transposed spatially and temporally to Portugal, in a narrative decomposed into a neo-brutalism of British aspect.

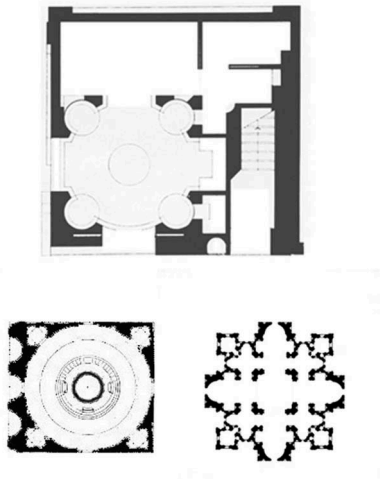


Figure 3. Valentim de Carvalho's record store draw plan. Tempietto draw plan. Bramante's Saint Peter's Basilica draw plan (M. Baptista-Bastos 2022).

## 5 PAINTING AND POETRY EMBEDDED IN ARCHITECTURE AS THE PARADIGM OF A FRACTURED ERA

The Cascais store was at odds with the national architectural scene in the 1960s because, besides containing an architectural language that wandered between the modernity of British neo-brutalism and Italian Renaissance historicism, it contained an element that could be said to be neo-baroque, consisting of the use of other authors' paintings and poetry to fill the reinforced concrete walls that make up the space. In this case, the use of color and letters drawn on the reinforced concrete originated a national art-pop mural composition.

The use of the letter or any other graphic sign on a building, on a part or only on one of its elements, constitutes immediately, through the agglutination of sets with completely different structures, a new form of discourse (...) This new form of discourse will be translated by new structures whose impact on the future image will be such as to make them completely different from the current ones. (...) Architecture must assume its informative function as a 'mass media' (Taveira, 1973, p. 74).

The collaboration between Tomás Taveira, the painter Sá Nogueira, and the poet Herberto Helder was incisive, not only in demonstrating the emergence of Portuguese artists who were discovering themselves, but this revelation was also the fruit of the same generation to which the three belonged (Taveira, 1990, p. 47). The expression revealed in a generational affinity is probably what best defines this work. The revelation of a universe where the various artistic expressions constitute a form is taken as the space-time perimeter of a group of artists influenced by the internationalist spirit of their time. In the next section, we will delve into that same spirit.

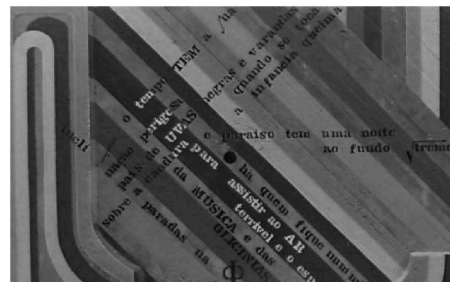


Figure 4. Valentim de Carvalho's record store detail (M. Baptista-Bastos 2022).

## 6 THE 1960S, THE 1970S, AND THE SPIRIT OF THE TIME

Continuing the aforementioned conversation with Tomás Taveira, the architect says:

As soon as I had the money, I traveled to Rome and upon seeing all that I admired, I had never seen it with my own eyes, I thought: a differentiated architecture is worth fighting for! The second trip was to England; not only did I go to London, but I had to visit what was for me another great reference in my professional life: James Stirling and James Gowan's Engineering College in Leicester, near Birmingham (1955-1958).

This relationship of searching through history as if looking for archaeological remains to discover other architectural and artistic configurations resulting from the wreckage of the Second World War strongly influenced Tomás Taveira. However, his architecture was also touched by the theoretical and philosophical currents from that same period. These enlightened him to discover a style in which aesthetics is inseparable from ethics. Starting from Kevin Lynch and following his maxim, which states that “there seems to be a public image of any city that is the superposition of many individual images” (Lynch, 1997, p. 51), he investigated the purposes of memory and recognition in a subversive way. By placing himself on a more ambiguous plane, the architecture he exposes dissolves into other artistic expressions, pursued by poetry blended into painting as an integral part of his method. An exquisite store in Cascais, seen as a discursive form, to which proportions matter little or nothing to the expansion of his message. His inaugural discourse is supported by this project, expanding throughout his career regardless of proportion, as is the case of the urbanization of Olaiais (a large urbanization project in Lisbon that was developed between 1972 and 1980), or the metro station, also in Olaiais (1998). Scale is unimportant and removes itself from any hierarchical ambitions. According to Lynch, we have the opportunity to transform our new urban world into a landscape that can be imagined: visible, coherent, and clear. This will require a new attitude on the part of the city dweller and a reshaping of the environment in which he lives. The new forms must be pleasing to the eye, organized on different levels in time and space, and function as symbols (Lynch, 1997, p. 101).

A line of thought that tries to relate identically two thinkers to his way of thinking about architecture, such as Christopher Alexander and Noam Chomsky, also had a great effect on achieving a differentiated work because, according to Tomás Taveira, architecture was not hierarchized before other arts and thoughts; it is an interaction between

the several artistic and human expressions with the purpose of communicating.

Art is still something related to the emancipation of nature, and consequently, all man's gestures tend to incorporate previous knowledge, and all previously repeated gestures. (Taveira, 1973, p. 114).

History has an axial relationship with everyday life, and although most architects use a modern language, they discreetly take refuge in the past, even preferring to live in older buildings than in contemporary housing buildings (Alexander, 2015, p. 1-2).

This draws on Noam Chomsky's concept of performance, in which for communication to reveal itself, there must be an involvement in the various arts before architecture to communicate with the citizen. According to Chomsky, in any discourse, there is an implication of various phenomena of cognitive structure and extralinguistic considerations, which play a fundamental role in determining how the discourse is Produced, Identified, and Understood (1969, p. 125).

This rooted line between diversified generational senses of thought converged on this edification, where a heterogeneous profusion between diverse arts blossomed through an eclectic procedure while not ceasing to be convergent and with a very oriented sense towards what would become the understanding of postmodernism in Portugal.

## 6 CONCLUSION

This early work was not only perpetuated through space and time as one of the most emblematic of the 1960s Portuguese architecture but also created a fracture in the generality of the intellectual and constructive thought of the Portuguese intelligentsia of the time. Tomás Taveira moved in an original way between a constructive matrix inspired by post-war British-oriented architecture and a historicist field of the Italian renaissance and baroque memory. He also resorted to painting and poetry to reconfigure the constructive matrix of his space, navigating between these two universes, i.e., on the one hand, there is the inherent change of the turbulent times where it was projected; on the other hand, there is a nostalgia that resorts to painting, poetry, and the melancholy of historical culture, without ever denying his generation and the idiosyncrasies inseparable from its cultural habitat.

Finally, Robert Venturi's “Less is a bore,” rendering with irony the “Less is more” maxim of the modern movement uttered by Mies van der Rohe, makes more sense than ever in this small building that had a tremendous influence on the following decade for Portuguese architecture, through the emergence of the Portuguese postmodern movement,

in which Tomás Taveira was the main intervener. Since then, architecture went from being an elitist phenomenon with very strict criteria to a popular, widespread, and consumer event for the general population. This extravagant architectural space had a huge influence on this whole context without, however, being revealed as it should have been until today. It has been ignored, even by the prevailing political and cultural powers, so this paper also calls for the revival of its memory as an influential agent in the Portuguese culture of a certain time.

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# Space-time experience as a resource to dialogue with the place; the example of Álvaro Siza's Saya Park Art Pavilion and Rem Koolhaas' Casa da Música

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**ABSTRACT:** According to its three-dimensional condition, Architecture needs time. In other words, it depends on movement in order to provide a complete experience of its space. Furthermore, whenever Architecture has a relevant significance, it can be said that it reflects its own time. In that sense, there is a relationship between space and time.

Álvaro Siza's lesson arises as a fundamental approach to this subject. By framing Architecture as a result of a dynamic action in space, he sees time as an indispensable feature for the sensorial architectural experience. In this respect, he shares the same idea as OMA/Rem Koolhaas. Even though, unlike Koolhaas, Siza sees specificity as a basic condition for Architecture, it is not so surprising that the Saya Park Art Pavilion (North Korea, 2015-2018), by Siza, and Casa da Música (Porto, 1999-2005), by Koolhaas, show similarities. As this paper concludes, the autonomy in both works is not real nor *Generic*. They both consider their own context to paradoxically free themselves from the context. In other words, they both result from previous projects, and the architectural disciplinary scope is the key to contextualize Architecture, that is, the space-time binomial is the resource used to inscribe a specific meaning to both buildings. From this point of view, both are significant approaches to Architecture.

**Keywords:** Álvaro Siza, Rem Koolhaas, Generic city, Saya Park Art Pavilion, Casa da Música

## 1 OVERTURE: SIZA BY SIZA

The space-time binomial in Architecture can be perceived in two different ways. It is undeniable that as a creation with a three-dimensional definition, Architecture must consider time as a fundamental feature to provide a full spatial experience. On the other hand, relevant Architecture is always a reflection of its own time, in accordance with its role as a cultural expression of a specific place and moment. In Portugal, these two ways of perceiving Architecture come together. Both the practice and thinking of Portuguese architects rely on universalist meanings regarding the key disciplinary themes; however, in addition, their approach highlights the sensorial and phenomenological dimension as a primordial architectural "material": That kind of dimension is always based on a specific place and culture.

In short, the strong attention to the physical and cultural context, the proximity to life and people, and the universalist vocation (concerning the primordial disciplinary themes) may define some of the most relevant features of Portuguese Architecture.

Considering the abstract expression of his work, Manuel Mateus gives a significant meaning to the aforementioned arguments. He claims that permanent attention to the pre-existing context should always be a concern for architects in the European city: their design must provide continuity to the multiple historical levels of space and urban fabric (Mateus apud Cruz, 2017, p. 30).

The subject of this paper is based both on those premises and the hypothesis that arises from them. We will develop the arguments by looking at an exemplary Portuguese architect: Álvaro Siza. In his work, the space-time binomial is complex and rich enough to explore the ideas this paper aims to contemplate. We can say Siza perceives architecture far beyond a static point of view. Movement throughout the space is the key to understand his architecture, i.e., he always considers a sequence of spaces that may be discovered through sensory perception. We can say that this way of conceiving form and space depends on time for a full experience. In this sense, Siza compares the resources of the architect to those of the filmmaker.

[When someone directs a film], the camera... chooses different angles, organizes a *parcours* [sic], and can travel... so rhythm, differences of rhythm... We must relate different areas of a project. You design a hall, and you know that it is the preparation to enter the building, and after that comes another room or a corridor. And, maybe, we decide the ceiling will be low. And then, after entering, [we see] a high ceiling, [we experience] the sensation of space. Or it can be the opposite. We can enter a big room - for different reasons, we can consider that solution - and then we pass through a door and have a low corridor. A director works the same way... There is always movement, the succession of space, which provides different emotions according to the use of the building (Tchoban Foundation - Museum für Architekturzeichnung, 2019).

Movement in a building is a way of incorporating time into the architectural experience to increase the sensory experience of the human body in that space. As such, movement becomes a spatial experience. Moving throughout the space provides a continuous succession of unpredictable architectural “events.” The body, senses and perception are under permanent contrasts. The form of space and its dimensions, together with the light and different interior/exterior relationships give room for human experience over time. Time is, therefore, a major feature in Álvaro Siza’s designing method. He defines a set of resources to provide a sensory experience that is not possible to achieve without moving the body inside that space.

In this process, the fragmentation of the form and space under complex geometries is a resource for defining spatial joints and achieving complexity: the building induces movement through a division into multiple volumes. In that sense, fragmentation is a resource that relates to Cubism, as if the volumes had been distorted by the action of time. It is known that this artistic movement, which Siza refers to as one of his main references, is a means of expressing time during both the conception and fruition of the work of Art. According to that approach, Siza’s Architecture is not fully experienced from a static point of view nor with few movements inside the space. It is not even possible to have reliable clues about his Architecture, because those clues are always incomplete (due to the complexity that shapes his Architecture). Therefore, it is never possible to foresee what has not yet been seen by those who experience Siza’s Architecture.

In this context, Siza refers to Arabic Architecture as a lesson that the West has forgotten. Accordingly, he often refers to the Alhambra, which he knows very well, as a model of how to use “thickness” between rooms.<sup>1</sup> Porticoes and other spaces with different degrees of light intensity and heights are

resources that inspire him. The articulation between the different parts of Architecture is not solely achieved by geometry and form; time is also a means to increase the complexity of the experience amongst sequential spaces.

This theme opens up a different subject. Siza’s designing method does not include fixed starting points. He assumes that circumstances may play an important role in the design choices, which is also true for finding the proper architectural models and references. History, or tradition, should be a permanent element in the designing process. The author looks at tradition as an inexhaustible updating of possibilities. In this sense, time, which refers to the past of Architecture, may play an important role in facing problems, even in the present.

I do not set out to create something ‘new’ for its own sake, and it is evident that memory plays a crucial role in my process of invention (Siza apud Curtis, 1999b, p. 15).

That sort of thinking means opening the way ahead (Siza apud Curtis, 1999b, p. 7). Amidst the objective difficulties of the design process and the quest to find the proper answers – technical, functional, cost, and others– the project eventually finds its own freedom:

You need to pass through all these considerations to achieve the freedom of the architectural idea (Siza apud Curtis, 1999b, p. 8).

Siza’s work as we know it begins at that point when intuition meets architectural culture and rational options. The opening up of multiple hypotheses – based on his freehand sketches – gives him different design possibilities, which are always unpredictable and often contradictory.

Sketching is designing, desire, liberation, recording and a form of communication, doubt and discovery, reflection and creation, a restrained gesture and utopia (Siza, 2009, p. 273).<sup>2</sup>

That process of extensive experimentation leads to a path of coherence and interdependencies. All the designing parts naturally adjust to one another and to the place. Taking the words of Curtis (1999a, p. 31) as a motto, one may state that Álvaro Siza recreates typologies and models.

Your reading of a context works as much with spaces as with forms. Your buildings seem to respond to the forces of a place – those of the past but also those of the present – and these are often contradictory (Curtis, 1999b, p. 8).

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Granada (together with the Spanish architect Juan Domingo Santos).

2. All translations are the author’s except where otherwise stated: “Desenho é projecto, desejo, libertação, registo e forma de comunicar, dúvida e descoberta, reflexo e criação, gesto contido e utopia” (Siza, 2009, p. 273).

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1. In 2011, Siza won the competition for a new entrance and visitor center at this UNESCO world heritage site in

The places become more complex in this process as they are redefined by the dialogue between the new proposal and the preexisting reality. This means that the architect pays full attention to orography, the surrounding buildings, etc. More than just the building, what really matters to Álvaro Siza is the territorial dimension. Building and landscape (not only urban) are intertwined. The essence of the place becomes central in the process of searching the designing solutions.

It is clear that specificity cannot rely on a strange and autonomous Architecture. However, Siza rejects to understand the context in a straightforward and obvious way: to find order is to reconcile the opposites (Siza, 2009, p. 27), and his sketches provide him with the means to understand the strongest features of a place. Accordingly, if Architecture must improve human life, it means that Architecture must not only be respectful of places, but also improve them. Therefore, Architecture should be designed as a major contribution to spaces with specific and identarian features. As such, authorial work does not concern Siza if it means a generic intervention, merely as a result of an author expressing his personal style with no attention to the place. Accordingly, Siza assumes pseudonyms - in Berlin, The Hague, Manhattan, Évora, or any other city. He does so rather than accepting the city's transformation as something that takes place against local specificities. It does not mean that Siza rejects urban dynamics with nostalgia. He is not someone who yearns to recover a lost paradigm. On the contrary, Siza pays attention to the circumstances and present time. All that can survive the passage of time has a timeless value, if not a universal meaning. Tradition must lead to innovation, since conflict and compromise are the basis for transformation: this means that "... Innovation has inevitably to go through tradition" (Siza apud Santos, 2009, p.28). His eulogy to Aalto must be understood with that precise meaning.

There is a real demand today for Aalto (Siza apud Curtis, 1999b, p. 20).

When referring to the Finnish architect, Álvaro Siza states, in an apologetic sense, that Aalto shows that Architecture originates from a permanent dialogue between former reality and a will for transformation (Siza, 2009, p. 212). Consequently, Siza's words show that as an architect, he is undoubtedly committed to architectural culture: invention depends on already existing models. In this sense, the concepts of tradition, classicism, modernity, vernacular, international, local and universal are the subjects of his work. Memory and, in that sense, the past of a subject with centuries of existence, as well as territorial and urban (and not only urban) specificities are the determinants of his first idea for a project: it is about "... rediscovering the uniqueness of the evident things"<sup>3</sup> (Siza, 2009, p.29). In other words, it is about universality and history as part of the future (Siza, 2009, p. 186), that is, the project should discover and

express what gives a city "... character and identity" (Siza apud Santos, 2008, p. 25).

Spontaneity does not fall from the sky. It is more like an assemblage of information and knowledge, conscious and subconscious (Siza apud Zaera, 1994, p.10).

The complex understanding of the relationship between time and space - which always merges architectural culture with sensory experience and a sense of place - can be summarized in Siza's own words:

This is the important thing to observe at a time when Singapore is making the same thing as New York. I have big hopes for the interchanges between different cultures... The hope for architecture... [relies on stepping away] from the small local work. This does not mean destroying each culture, or my own culture, quite the opposite. There is the need to open the local so that it does not disappear, to open it in order to give it new stimulus (Siza apud Curtis, 1999b, p. 21).

Aiming at inscribing a relevant meaning to Architecture from the beginning of his career, Álvaro Siza always faced the peripheral condition of Portugal as a motivation to overcome the narrow frontiers of knowledge. It was actually a starting point for learning and designing an Architecture that was able to be important outside of the local scope while reaching universal meaning (Siza apud Zaera, 1994, p.6)

Universality is not equivalent to neutrality; it is not the Esperanto of architectural expression. It is the capacity to create from the roots...

My sense of universality has more to do with the vocation of the cities, arising from centuries of intervention of crossbreeding, of superposition and mixing of the most opposed influences, creating an unmistakable identity (Siza apud Zaera, 1994, p.6).

Accordingly, he claims that the most significant cities developed themselves in a balance between local, specific and idiosyncratic features and, on the other hand, the innovations coming from abroad (Siza apud Zaera, 1994, p.8). Thus, the ultimate objective of a building should be the sense of belonging to the city, while expressing its universality. In Architecture, such duality should be expressed through a sense of permanence and a quest to update the disciplinary thinking.

Regardless of design, what really matters for the city is that specific quality.

... We always work within this conflict between autonomy and belonging to the whole (Siza apud Zaera, 1994, p. 17).

Expanding the scope of this debate, specificity also concerns architectural expression. In the author's perspective, language is a matter that also has to do with

3. "... redescobrir a singularidade das coisas evidentes" (Siza, 2009, p.29).

time and place, or, in other words, language goes beyond both the brief and the function. This subject leads to the act of designing and thinking the project. The design exercise cannot be safe nor stable, Siza says, refusing to have a supporting theory if it means a set of fixed and stable rules to be used on every work (Siza, 2009, p. 383).

For the architect, "... language expresses its most powerful arguments with the context." This means that "language always implies a relationship with the cultural context, with the moment" (Siza apud Zaera, 1994, p. 7). In other words, all the decisions depend on specific and non-generalized circumstances. Thus, the architect's work is to discover the room for freedom in a project, without neglecting the circumstances (Siza apud Santos, 2008, p. 19).

Clearly aware of Siza's research, Souto de Moura underlines the accuracy of his method:

He is an infallible personality in his answers. He has a grammar that he refreshes on the basis of each situation, and that means being very contemporary (Souto de Moura apud Grande, 2009, p. 7).

However, having considered these points, Álvaro Siza's own words are the ones that best summarize all that has been said.

The city is a repetitive fabric that flows through history, and it only arrives at rift situations when there are certain points of common interest. However, when that moment arises by force through a large-scale gesture without the community's acceptance, it is usually bound to fail because it lacks the sense of naturalness, we find in things that have changed inevitably (Siza apud Santos, 2008, p. 23).

Nevertheless, Siza admits that there are key periods when language may change. In such moments language "... becomes freer and comes more to the forefront" (Siza apud Santos, 2008, p. 23).

You cannot say that intervention resides solely in the architect's desire to do something really new and different; it is the context that requires a different sort of willpower, something imperious that is manifested as the fuel for the project (Siza apud Santos, 2008, p. 23).

## 2 KOOLHAAS: BEYOND THE GENERIC CITY

Language changes lead to another architect. Rem Koolhaas looks at tradition and contemporaneity in a different way. For him, "identity... as a form of sharing the past is a losing proposition" (Koolhaas & Mau, 1995, p. 1248). Koolhaas states that in a stable model of continuous population increase, there will be less and less to share, in the sense that common cultural values will become less significant. The architect does not regard this as a negative aspect, but rather a liberating path.

The stronger the identity, the more it imprisons, the more it resists expansion, interpretation, renewal,

contradiction. Identity becomes like a lighthouse – fixed, overdetermined: it can change its position or the pattern it emits only at the cost of destabilizing navigation (Koolhaas & Mau, 1995, p. 1248).

The author claims that the concept of identity centralizes identity highlights a point, the epicenter from which the city's expansion takes place. However, as the distance from the center increases, the sphere of influence and authority of the core becomes weaker. That process leads to the breaking point and Koolhaas argues that Architecture should focus on that opportunity: "... without center, no periphery..." (Koolhaas & Mau, 1995, p. 1249).

That sort of ideas led him to the concept of *Generic City*: a city that does not depend on the center. The *Generic City* stops the "... destructive cycle of dependency" (Koolhaas & Mau, 1995, p. 1249). It expresses the present and depends only on the present. It does not need maintenance or special care. In a sense, the *Generic City* is a process that regenerates itself, with no need for safeguarding or preservation: only the present counts. Realism shapes its character: it accepts whatever may happen. "It is superficial," so it can produce a new identity every Monday morning (Koolhaas & Mau, 1995, p. 1249).

The radicality of his own words takes the author significantly far. "The *Generic City* is the post-city being prepared on the site of the ex-city" (Koolhaas & Mau, 1995, p. 1252). If there is no preexisting city in a given place, a completely new city may be set up there. That new city can even replace a former one. This is the expression of a convenient and desirable process, as opposed to the historic city. Most of all, it is a mutant form of urbanism made up of new Architecture scenarios (Koolhaas apud Colomina, 2007, p. 354). Accordingly, the only acceptable style for the *Generic City* is the "free style" (Koolhaas & Mau, 1995, p. 1254). One may say that tradition and identity cannot be the instruments of a city that wants to be free, as the expression of the present and the result of its own internal energy and self-regulation. As such, the *Generic City* will determine the end of planning: cause and effect will no longer be a concern while dealing with the city (Koolhaas & Mau, 1995, p. 1255). To sum up, in the *Generic City*, nothing will be predetermined. In addition, no specificity will define the city because it will not define architecture and its relationship with urban space either.

In *The Tabula Rasa Revisited* the author expresses one more important argument (Koolhaas & Mau, 1995). For him, the European city has a problem with time. Time should not mean value, but the continent's long history has led to a perverse understanding. For the architect, not everything that has been built shows sufficient relevance to ensure its own preservation. A clear look into this way of perceiving history may be given by the competition for La Défense, Paris, in 1991. In that context, the architect asked himself:

“How many of these buildings deserve eternal life?” (Koolhaas & Mau, 1995, p. 1099).

This question is essentially forbidden in Europe, where urban context is assumed to be something that should be preserved and respected, not destroyed (Koolhaas & Mau, 1995, p. 1099).

Koolhaas believes this is a completely legitimate purpose in many cases, but not all of them. Within the scope of the competition, he states that all La Défense buildings over 25 years old can be declared “... worthless, null and void...” (Koolhaas & Mau, 1995, p. 1105). As a result of 5-year increments, the area would become progressively “clean,” according to “... a very strong urge to make a new beginning” (Koolhaas & Mau, 1995, p. 1101).

The paradox of the competition was that the extension of La Défense was already there – the area was full (Koolhaas & Mau, 1995, p. 1101).

The words acquire a more precise meaning if we consider that the competition can be read as a kind of manifesto. In Paris, but transcending its scope, history seems to repeat itself, as a reverberation of modernity. Even without Koolhaas’s own words (Koolhaas and Mau, 1995, p. 1103), it would be possible to notice the similarity with Le Corbusier’s *Plan Voisin* (1925).<sup>4</sup> The Swiss architect proposed to keep only few significant Parisian buildings, freeing up most of the city’s space for setting up the *spirit of the time*. Likewise, the Dutch architect proposes to “... preserve buildings of merit, or buildings of sentimental value ...”, namely the Grande Arche, The CNIT, and the Tour Fiat (Koolhaas & Mau, 1995, p. 1105).

As it can be observed, Koolhaas’ perception is very different from Siza’s ideas. However, is the difference between both absolute and insurmountable? Le Corbusier’s work provides the proper framework to answer this question, which will lead us to further conclusions. Extending the scope of this analysis, we must focus on some of OMA/Rem Koolhaas’ exemplary works: Villa Dall’ava (1985-1991), in Saint Cloud, Paris; Kunsthall (1987-1992), Rotterdam; the Netherlands Embassy (1997-2003), Berlin, and Casa da Música (1999-2005), Porto.

At Villa Dall’ava, an extensive ramp leads from the entrance to the upper floor, where the house daytime spaces – living room and kitchen – are located. The ramp is complemented by a set of two stairs that connect the entrance floor with the bedroom level, located on the west and east tops of the building and served by independent accesses. When crossed, the living room links the ramp to both stairs. From an exterior gallery that connects the two volumes that host the bedrooms, a third staircase leads to the roof, where the swimming

pool is found. The gallery is also accessed by another staircase starting in the garden, at the living room level.

If we remember the circulation scheme of Villa Savoye, it is possible to draw a comparison, and not only due to the horizontal windows and the pilotis that support the bedroom volumes at Villa Dall’ava. Villa Dall’ava is a true *Promenade Architectural*,<sup>5</sup> paying tribute to Le Corbusier’s ideas.

In Kunsthall, which is also a paradigmatic example concerning the same type of solutions, walking along the building is a permanent experience for those who discover the spaces. Kunsthall is a gallery for temporary exhibitions located between a park and an avenue: the building is highly interconnected with the urban context and provides great functional flexibility, ensured both by the way the entrances are located (individual for the gallery, the auditorium, and the restaurant), and the interior circulation scheme. That effective scheme allows the building parts to work separately or together: starting from the park, there is a walkway that goes up to the building entrance; from that point, it crosses one of the exhibition rooms, accesses the auditorium at the same level, descends along this space to the other exhibition room on the lower level, and then goes up once again to the entrance, defining a fluid and continuous movement.

The Netherlands Embassy (1997-2003) explores a complementary way of conceiving the walkways inside the building, according to similar principles. The ramps and stairs are alternately located between the center of the building and its facade, extending even beyond the limits of the built volume with formal autonomy. As such, they are defined as devices that characterize the image of architecture, and furthermore, contribute to providing changing perspectives of the building and the city. In short, an active role is given to movement throughout the building as a fundamental feature to shape the architectural space.

Inside the cube, the sense of security and stability required for an embassy co-exists with the free circulation provided by a 200m path that zig-zags up through the eight stories, determining the arrangement of the building’s spaces.

From the entrance, the trajectory of the path leads to the library, on to the meeting rooms, skirting the offices, leading up to the fitness area and finally the restaurant on the roof terrace. This trajectory also distributes fresh air drawn from the double plenum façade to the workspaces (the areas that the path has carved out of the cube). At one point the path escapes the constraints of the cube and cantilevers

4. The Plan Voisin by Le Corbusier set out to raze to the ground the central area of Paris, on the right bank of the Seine. It intended to build another city, doing so in accordance with modern ideas and architecture.

5. Le Corbusier’s expression that refers to the special way he thought and designed movement in architecture, making the space reveal itself in a complex and surprising manner. As such, *Promenade Architectural* was a fundamental concept to characterize his own works, according to a set of sequential spaces organized under a particular order and framed views.

over the courtyard. The regularity of the cube's glass and steel facade is disturbed again at moments where the path grazes the exterior, making itself visible from the outside and providing strategic views of the Spree, and the television tower (OMA, n.d. c).

This is not so different from what can be experienced at Casa da Música (1999-2005). In its complex scheme of walkways, the north and south stairs are extremely expressive. They connect the public spaces around the concert hall from both its inside space – on several levels - and the outside, according to a lively sequence. The set of pathways and visual framing allows a permanent discovery of the building and its exterior, through carefully located glazed plans. The highest level of Sala Suggia (Suggia room) is linked to the foyer through the south staircase, and, on the opposite side, it is accessed from the entire north wing of the building.

There is deliberately no large central foyer; instead, a continuous public route connects the spaces around the Grand Auditorium by means of stairs, platforms and escalators. The building becomes an architectural adventure (OMA, s.n. a).

### 3 SIZA ONCE AGAIN

We shall now return to Siza and think about the ritualization of movement and time as a material. Siza does not hide his admiration for Le Corbusier. Siza often refers to him in interviews and lectures expressing the importance he gives to movement in architecture in general and in his own work.

In one of his first works, *Casa de Chá da Boa Nova* (1958-1961), Siza took advantage of a magnificent location on the Atlantic front, in Leça da Palmeira. The approach to the building takes place while looking south, from east to west. An inflection towards north, to take the stairs that lead to the entrance, prevents the visitor from looking into the sea for a short moment. After crossing a wall and leaving that moment behind, the Atlantic is visible once again. A freer look to the south or west occurs as one goes up. Before entering, a covered space defines the limits of a space that does not face the ocean. The Atlantic is seen after entering the building: first, one sees the horizon, and then, when going down the internal stairs, the eyes meet the waves hitting the rocks. After reaching the restaurant and tearoom level, the visitor has the whole Atlantic Ocean before him, framed by the wide windows: it is the corollary of a process that begins outside, with several inflections that sometimes show the ocean, and sometimes hide it.

It is not very different from Siza's proposal to *Piscina de Marés* (1961-1966). The approach, which starts at street level where the view has no limits, is enriched by the complex role played by light and shadows. The interior is all black, contrasting with the exterior courtyard, opened towards the sky. Afterwards, the eyes

look horizontally in a spatial sequence that leads to the outside. Finally, the ocean is the highlight of a journey through the Architecture. The eyes must conquer the Atlantic, while the body moves throughout the space.

In those early works, some themes that are still present in the author's work were tried out. In the Faculty of Architecture of the University of Porto (FAUP, 1987-1994), a long but intense walkway separates the different towers of classrooms and the library. The always diverse views to the outside one can observe while going down the stairs are enriched by the ground floor gallery closing and opening to the outside. The light coming either from above or the windows sets the tone along the ramps. Before reaching the library, a spatial constraint (in height and width) precedes a new view into the outside, in a space with a lower ceiling. The library at the end of the route is a complex space: the skylight provides light to the space while "moving" down to the interior of the room – as a result, one has to move inside the space to completely see and understand it.

Going back to the Dutch Embassy in Berlin, OMA/Koolhaas show how the building is organized through movement in a linear and sequential plan, by putting all the spaces at the same level: stairs, corridors, ramps and rooms with different uses. The graphic representation features a building organized along several architectural events, shown on the same floor plan. It is possible to draw a similar plan of the Faculty of Architecture of Porto representing the spatial sequence that FAUP is in itself and showing how the walkways structure the project. In short, it is a strong way of understanding time in Architecture.

Koolhaas' Embassy also provides the opportunity for a comparison with another important proposal by Siza: Iberê Camargo Museum (1998-2008), Porto Alegre, Brazil. The building is traversed with the help of several ramps that are occasionally inserted into the interior of the plan, sometimes hovering in the air. In this project, the walkways also shape the architectural image of the building. Once more, it is a *Promenade Architectural* that moves around the central void of the museum and looks outside over the Lake Guaíba. So, the Architecture experience results from the experience in motion. Considering the role of the building as a "machine" for sensorial and temporal human experience, this museum is not so different from other projects that Siza has been designing for Asia in recent years. In Moae – Huamao Museum of Art Education (2014-2020), Ningbo, China (with Carlos Castanheira), the walkways crossing the building's vertical void cannot be seen from the entrance: one must cross a wall to enter that vertical space. That sort of mystery invites people to walk through the building. After the double-height gap that leaves the museum entrance behind, the ramps offer a spectacle for the enjoyment of Architecture. The bottom-up and top-down views, as well as the other visual angles from inside the exhibition spaces over the central void,

are spatial devices for surprising those who are invited to discover the building. Time and movement are resources to permanently show diversity with respect to space perception.

The approach to Asia leads us to Siza's most exemplary work in the context of this paper. At Saya Park Art Pavilion (2015-2018), Gyeongsangbuk-do, South Korea (with Carlos Castanheira), space discovering starts with mystery. Outside, the supporting walls widen and narrow the space, preparing for the sinuous movement inside the pavilion.

The entrance is preceded by a pathway built under the ground, which has a low ceiling. The natural light is left behind, enhancing the openings that let in the light coming from a patio. The tunnel, like a cleft, separates from the outside, and, in the hall, one may choose between two sections: one of them curved with a descending roof; the other straight and linear having a roof rising to its highest point in the opposite side of the building. At that point, a balcony overlooks the landscape. Both sections are shaped to emphasize the two rooms located at their tops: it is not possible to enter the exhibition rooms without leaving the building and re-entering it through a zigzag that takes place with the help of two smaller volumes with low ceilings: once there, it is possible to look outside in a reverse angle. After that, the light coming from a skylight, in both exhibition rooms, provides a sense of verticality. Between them, a covered pathway, also with a low ceiling, shapes a patio: a kind of shortcut closes the building in a ring, adding complexity to the spatial experience. At the end of the linear section, there is a new exit to a smaller room and another zigzag: those who move along the building can look out towards the north. After that, the ceiling rises in a room that ends up in the aforementioned balcony opening to the south and a landscape over the forest. The light is different there. Light and shadow are permanent resources for characterizing the Architecture in Saya Park.<sup>6</sup>

Referring to Siza's own words, it seems that this building originates from a traveling shot by a camera: time and space are in permanent dialogue. Nevertheless, it raises a disturbing question. The project is the adaptation of another one, carried out in 1992 for Madrid European Capital of Culture: a Gallery for Two Picassos - the linear section was made for Guernica; the curved one for *La Femme Enceinte*. Siza resized the project (it is smaller than the previous version) and set it in another continent, country and plot. Bearing in mind Siza's ideas about specificity, space, and time, one may wonder how he conceived this project, which apparently seems to be a generic solution, independent from the circumstances.

At first glance, the pavilion is disturbingly close to a work by OMA/Rem Koolhaas, Casa da Música,

which was also originated from a different project: the Y2K House, to be built in the Rotterdam suburbs.

In response to the client's particular demands and possibilities, we produced a house where everything that is necessary in a house (kitchen, bathroom, etc.) surrounded a single space, resulting in a tunnel-like design with a central space where the family could get together if and when they wanted to. Everything other than the central space became an external element or a body where all the organs were on the outside and where the skin is used on the inside (OMA, n.d. b).

When in 1999 OMA was invited to participate in the competition to design Casa da Música, Koolhaas decided to adapt the Y2K House to a new use, for it had never been built. By stretching it, its tunnel-like design having a central space, the living room was turned into the concert hall, surrounded by all the complementary rooms, like organs on the outside. Thus, we can say that Casa da Música is a bigger Y2K House. In that sense, it is inversely proportional to the Saya Park Art Pavilion, which is a scale to a lower size of the Gallery for Two Picassos.

How can it be explained that Siza's designing attitude brings him so unexpectedly close to Koolhaas' options? The answer is given by Siza, when reflecting on the Casa da Música project. Siza's words probably emphasize the transparencies at the top of the concert hall, as well as the precise location of the volume (coordinated with the window transparencies), and the way the entrances face and relate to the urban context, considering notable points of the city.

The Casa da Música project shows Rem Koolhaas' reflection on the contemporary city and his convictions about the impossibility of globally controlling its evolution...

However, it seems to me that Casa da Música represents something new in the author's work. Its autonomy, as an architectural object, accepts and includes a precise environment. What had been presented as a translation of an unbuilt project found a way of contextualizing itself, even if this may reveal a contradiction (Siza, 2009, p. 326).<sup>7</sup>

It is also possible to notice that the internal spatial sequence – the “architectural adventure”, as Koolhaas calls it (OMA, n.d. a) – matches the design options concerning urban context. As such, it gives a broader meaning to the contextualizing process that Siza references.

6. Cf. Álvaro Siza & Carlos Castanheira, *Art pavilion and chapel in Saya Park* (South Korea). (2019). *Arquitectura Viva*, (212), 16-23.

7. “O projecto da Casa da Música traduz a reflexão sobre a cidade contemporânea e as convicções de Rem Koolhaas em torno aos sinais de impossibilidade de controlar globalmente o seu evoluir...”

Parece-me, contudo, que a Casa da Música representa algo de novo na obra do autor. A sua autonomia, enquanto objecto arquitectónico, aceita e inclui o encontro com um ambiente preciso. O que fora apresentado como translação de projecto não realizado contextualizou-se, com o que isso posso revelar de contradição” (Siza, 2009, p. 326).



That sort of paradox is also the key for understanding the project for Saya Park. It intends to take advantage of its location and orography, and to do so it is located in the limit of the slope, ensuring the space needed to include a patio between the two sections. In addition, it submerges underneath the ground on the entrance side, at the highest level of the site; in contrast, it emerges on the opposite side, launching the balcony towards south over the landscape. The internal spatial sequence takes advantage of the circumstances and all the possibilities it provides: the contrast between the free look into the horizon – the ultimate point to get to- and the Architecture that one may discover while moving inside the space. Hereby, the pavilion recreates the former project, which proposed a contrast between the city and nature (Siza, 1998, p. 21), with a tunnel between them; at the end of the building, the balcony, “... looking towards the mountains north of the city, one of the most characteristic panoramas of Madrid” (Cariño & Cohn, 1993, p. 120).

Referring to Siza’s ideas, it is possible to say that the Saya Park project also found a way of contextualizing itself.

#### 4 CONCLUSION

To sum up, it is possible to conclude that, like Koolhaas, Siza found freedom beyond the “constraints” of the context. Nevertheless, the context was a significant stimulus for the project to achieve that sort of freedom. In both works – Casa da Música and Saya Park - the spaces take place in a temporal sequence that considers the context without submitting to it. The lesson by Siza and Koolhaas reinforces the disciplinary scope. There is always a certain degree of autonomy in Architecture. The typology of the courtyard house, as well as the high-rise building, does not depend on the circumstances in order to exist. It exists beyond all external factors. Likewise, a square or circular plan does not depend on the context.

Architects invent nothing... they work continually with models which they transform in response to the problems they encounter (Siza apud Curtis, 1999b, p.39).

This quote has a deeper meaning when we look at both Saya Park and Casa da Música. While inventing virtually nothing, architects build important works for the architectural culture. We can therefore ask: which part of an architectural idea does exist in a specific place? The answer to that question cannot be direct nor simple. Moreover, both works rely on a rational decision that took into account the limits of Architecture in their specific context: the architects knew in advance that they would succeed. In fact, the adaptation of former projects for a different reality may always be the exception rather than the rule. Regardless,

Siza and Koolhaas reinforce a significant idea. Given the radicalism of their proposals, which were moved from other contexts, they probably do it in much more specific and clear terms than other projects. Disciplinary autonomy should always be a key factor within architectural culture, even to establish a dialogue with the place: Architecture relies on the space-time binomial that it shapes.

One looks at the aspects of a context in order to be freed from the context (Siza apud Curtis, 1999b, p. 15).

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# The contemporary architectural concept of the coherence of space and time in Andreas Meck's projects

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**ABSTRACT:** One of the keys to understanding contemporary architecture is the interaction between time and space. A phenomenological solution can be distinguished among the various approaches to this issue. The research subject is two selected completed projects by Andreas Meck (1959-2019) in Munich (Germany). The works of the architect deserve attention not only because of their special artistic qualities but also because of their unique symbolic meaning and timeless character. Meck implemented phenomenology in architectural design in the early stages when Peter Zumthor promoted this trend. Meck's designs correspond to Zumthor's writings. His funeral center in the Riem district, designed in collaboration with Stephan Köppel, was created according to the phenomenological concept 'motion, weight, and substance'. This triad was popularized in the theory of architecture by Thomas Thiis-Evensen in the 1980s. A second later work by Andreas Meck was designed together with Wolfgang Amann, Susanne Frank, Peter Fretschner, Wolfgang Kusterer, and Werner Schad. The cultural and spiritual center at the Nordheide estate presents an even more advanced implementation of phenomenological rules. At first glance, all the buildings are examples of contemporary minimalist architecture, but a more detailed study shows that designs are, in fact, a more advanced and subtle play of the senses. These issues are especially relevant from the point of view of the parallel form development toward virtual reality and haptic architecture.

**Keywords:** Architecture, Minimalism, Phenomenology, Andreas Meck

## 1 INTRODUCTION

Sigfried Giedion's "Time, Space and Architecture" can be considered a book that significantly contributed to the development of the theory of architecture. The author disseminated the modernist aesthetic doctrine in the professional community, but he also drew attention to the fact that architects began to consider the phenomenon of space-time from the moment cubism appeared in art. It was a derivative of a new geometry that enriched the Euclidean standard of comprehending space with a fourth dimension. Giedion's concept increased interest in these two issues.

These two issues, i.e., time and space, are key to understanding contemporary architecture. Time is considered from two perspectives. The first approach focuses on experiencing architecture as a result of freezing reality, which is to reduce the rush of today's world. The second attitude means the concept of time in terms of the aging of the building. Noble, natural materials do not lose their aesthetic value after years of use. They support humanity in finding itself in the matter of transience.

The question of space is the second determinant. Design is commonly understood as conscious space management. Aware approach, however, is not limited only to functional development. On the one hand, the built environment should make it easier for people to perceive change and help them understand the dialectics of duration. On the other hand, architecture should place society spatially in the world and place it in the cultural continuum.

The research subject is two selected completed projects by German architect Andreas Meck (1959-2019). The works of this architect deserve attention not only because of their special artistic qualities but also because of their unique symbolic meaning and timeless character. These buildings are a humanistic testimony of their time, despite not being part of the mainstream design.

## 2 THE PHENOMENOLOGICAL TREND

The need to go beyond the limitations of functionalism was noted, among others, by Umberto Eco. At the end of the 20th century, the author wrote:

A phenomenological consideration of our relationship with architectural objects tells us that we commonly do experience architecture as communication, even while recognizing its functionality (Eco, 1997, p. 174).

Phenomenology is a response to the lack of specificity in architecture. Indeterminacy is primarily the result of two approaches. The first is the previously mentioned functionalism that supports the aesthetic sterility of forms. The second is conceptual art, for which the creative process itself has the same value as the final material work that is perceived. This is how the weakness of contemporary architecture development is identified. It is the lack of carnality. There is a noticeable deficit in the tangible multidimensionality of contemporary spaces. The problems become apparent in the haptic and tactile spheres. This impoverishes the feeling of the world's reality and prevents a deeper understanding of it.

From this point of view, the consequences of the activities of the European Phenomenological School seem interesting. This movement was established by German philosophers Edmund Husserl and Martin Heidegger and developed especially by Norwegian architects. Beata Sirowy explains the meaning of this trend:

Phenomenological approach to urban space assumes that there is an indispensable relation between the structure of the physical space and widely understood human well-being (Sirowy, p. 62).

Peter Zumthor, the winner of the 2009 Pritzker Prize, is considered to be the continuator of the phenomenological trend in contemporary architecture. The Swiss designer directly invokes phenomenological philosophy, claiming that Martin Heidegger's concept of "dwelling" is based on the reality of particular building materials (Zumthor, 2010, p. 34). Zumthor focuses on non-visual aspects. This can be seen in the direct experience of his buildings but also in the author's declaration:

The sense that I try to install into materials is beyond all rules of composition, and their tangibility, smell and acoustic qualities are merely elements of the language that we are obliged to use. Sense emerges when I succeed in bringing out the specific meanings of certain materials in my buildings, meanings that can only be perceived in just this way in this one building (Zumthor, 2010, p. 11).

The direct relationship of the observer with the building is conditioned by the openness of architecture. To clarify this issue, it is necessary to refer to the theory of the archetype. Thomas Thiis-Evensen comprehensively developed this concept in 1987. He derived his theory from the issue of perception. In this case, the division into closed and open spaces was important. Based on this assumption, Thiis-Evensen wrote:

There are three qualitative concepts which are essential to the description of how the three delimiting elements close or open between inside and

outside. These concepts are motion, weight, and substance. They are necessarily utilized in any architectural description which attempts to suggest a building's reality. Motion describes the dynamic nature of the elements, whether they expand, contract or are in balance. Weight describes the heaviness of the elements and is related to gravity. It describes whether they stand, fall, weigh down or lighten up. Substance is related to the materiality of the elements, whether they are soft, hard, coarse, fine, warm or cold (Thiis-Evensen, 1991, p. 21).

It should be noted that behind specific building materials usage, there is a specific perception of them. However, movement, weight, and substance factors underlie this relationship. It influences the openness that allows for building human relations with architecture.

### 3 THE SPECIFICITY OF ANDREAS MECK'S PROJECTS

The case study of individual Meck buildings may allow noting different levels of communication between an architectural work and its recipient.

#### 3.1 *The funeral hall in Riem*

Nowadays, it is noticeable that South German architecture has a strong focus on technology. Despite the innovative character of the contemporary designs, one important topic has so far been neglected: the preservation of the increasingly endangered environment outside the cities (Feldmeyer, 1993, p. 52). A project that has faced such a challenge is a funeral facility in the suburbs of Munich. Andreas Meck and Stephan Köppel are the authors of this building complex in the Riem district (Figure 1).



Figure 1. Andreas Meck, Stephan Köppel, funeral hall, Munich (Riem), Germany, 2001 (general view) Photo by author.

Wolfgang Pehnt points out that raw building materials are exposed to weather conditions, which

symbolizes the passing of time in this building (Pehnt, 2005, p. 477). Raw reinforced concrete without plaster and painting was used here. Moreover, the metal parts are covered with rust. The natural stone testifies to the connection between the building and the landscape. It is not only specific building materials that make the Riem example a testimony to the direct relationship between architecture and its 'receiver.' The proportions, thickness, and massiveness of individual elements make the building engage not only with the sight but also with various other senses of the visitor. An example is massive gates that require extraordinary involvement in handling due to their weight (Figure 2). This element stimulates a haptic interaction.

These aspects of architecture were already mentioned in Zumthor's writing:

What I'm talking about is the size and mass and gravity of things. The thick door and the thin one. The thin wall and the thick. You know the kind of buildings I mean? I'm fascinated by that sort of thing. And I always try to create buildings where interior form, or the empty interior, is not the same as outdoor form. In other words, where you don't just take a ground plan and draw lines and say these are the walls, twelve centimetres thick, and that division means inside and outside, but where you have this feeling of the interior as a hidden mass you don't recognize (Zumthor, 2006, p. 51).

Zumthor's aspirations turned out to be the same as Meck's and Köppel's approach. It is not a conceptual work but a real architecture building an actual relationship with humanity.



Figure 2. Andreas Meck, Stephan Köppel, funeral hall, Munich (Riem), Germany, 2001 (detail). Photo by author.

#### 4 CULTURAL AND SPIRITUAL CENTER IN NORDHEIDE

The second project that fully enhances the values of minimalist aesthetics while implementing the phenomenological postulate is the Dominikuszentrum (Figure 3). This building was built in 2008 in the

Nordheide estate in Munich. It is an area dominated by housing blocks of flats. Such reminiscences of the functionalist city model are difficult to adapt and develop.

The authors of the project are Andreas Meck with a team: Wolfgang Amann, Susanne Frank, Peter Fretschner, Wolfgang Kusterer, Werner Schad. The architects proposed a functional program oriented around a square courtyard (Figure 4). A small group of trees marks its center. The spatial arrangement may suggest the form of a medieval cloister. However, what distinguishes it from the contemplative monastery courtyard is its openness to the neighborhood through several passages. The authors thus declared that the center of this assumption is public space (Friedrich, p. 16). The egalitarian nature is the important distinguishing feature of this architecture. The problem of elitism is related to the issue of 'star architecture.' An extensive literature review is given in Andrzej Basista (Basista, 2009, p. 393). However, further ethical considerations are omitted for the purposes of this study. This is not to lose the main thread of the coherence of space and time in phenomenological terms.

A balance of the three factors Thiis-Evensen wrote about is visible here: substance, weight, movement. The substance defining this building is irregularly baked clinker brick. It refers to the primeval peat soil. On the one hand, its tactile quality represents a sustainable building culture. On the other hand, it ensures that the building is adapted to the human scale. According to Basista, today ceramic brick is still an important material for construction. Thanks to its unique texture, it stimulates the imagination and suggests traces of the mysterious history of the place (Basista, 2006, p. 219). In the Munich case, the material is used in such a way as to emphasize the idea of a structure cut from the volume of the abstract shape of one brick. In this way, the architects manifested the massiveness of this work, thus enhancing the attribute of durability. In this case, weight is the second phenomenological parameter. Weight, in this case, is the second phenomenological parameter. However, what particularly defines this case is the tectonics that opens this object to multi-directional communication. Various walkways invite you to enter or pass. The vital system completes the phenomenological triad that Thiis-Evensen wrote about. This principle, however, perfectly expresses the contemporary concept of the unity of space and time.

Thomas Sieverts, writing on contemporary German architecture and urban planning, emphasizes that it must free itself from the rigidity of reinforced concrete. Instead, it should be exposed to normal development again, understood as juxtaposing the old and the new. In this sense, Sieverts argues, a building can develop a patina and age with dignity. In this way, however, the syndrome of 'ahistorical' attitude should be resolved, and cultural values



Figure 3. Andreas Meck, cultural and spiritual center, Munich (Nordheide), Germany, 2008 (general view). Photo by author.

should be taken care of (Sieverts, 2000, p. 16). Dominikuszentrum is a new building located among the new urban tissue. It remains properly settled in its localization due to a well-kept balance of three factors: substance - weight - movement. In this way, the relationship between architecture and society is ensured, creating a sustainable built environment. According to Christian Norberg-Schulz, the levels of architectural space form a structured totality that corresponds to the structure of existential space (Norberg-Schulz, 1974, p. 96). In this example, the spatial aspects were transferred to the existential ones by balancing the three mentioned factors.



Figure 4. Andreas Meck, cultural and spiritual center, Munich (Nordheide), Germany, 2008 (courtyard). Photo by author.

## 5 SUMMARY

There are two types of civilization acceleration in architecture - Modernism and the Second Modern. The first revolution was based on the machine and communication era, and the second one was based on computer technology and telecommunications. As Juhani Pallasmaa claims, the technological culture has ordered and separated the senses distinctly

(Pallasmaa, 2007, p. 16). The development of virtual reality most strongly prompts reflection on the future of architecture. The transfer of the built environment to the digital dimension involves changes in the perception of architecture.

Implementing the phenomenological method in architecture under this research motivates us to abandon the focus on functional and conceptual values. Instead, it leads to the conclusion that in the context of maintaining a balanced perception of space and time, a phenomenological approach should be developed. A case study of selected buildings by Andreas Meck shows a practical approach to design that goes beyond the oculo-centric culture.

Norberg-Schulz claims that architecture has an instrumental and artistic purpose (Norberg-Schulz, 1966, p. 188). It should be made clear that the research skipped some important aspects of architecture. For example, Umberto Eco pays special attention to the symbolic dimension:

Much of the discussion of architecture as communication has centered on typological codes, especially semantic typological codes, those concerning functional and sociological types; it has been pointed out that there are in architecture configurations clearly indicating 'church', 'railroad station', 'palace' etc. (Eco, 1997, p. 183).

Semantic factors are included in the cluster of artistic purposes. Here, however, they are omitted to emphasize the significance and readability of the phenomenological factors. The approach presented in this paper could be applied to architectural practice. The design approach will allow both to use the multi-value potential of the available building materials and avoid sterilization of the space.

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# Narratives on the city; an exploratory journey through time

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**ABSTRACT:** This chapter consists of a reflection on previous works and new readings that put time, in its relationship with the contemporary city, as a fundamental argument of the human being's experience. Narrative as a practice, method, and outcome of research on Urbanism is seen as the vessel that brings together time, space, and events, giving evidence to purpose and causality. Leading authors in the renewal of contemporary thinking in the Social Sciences, Humanities, and Arts (SSHA) are considered and revisited, seeking to establish a theoretical core for future operationalization in the field of Urbanism. From this exploratory standpoint, three personal, historical, and fictional narratives explore and illustrate approaches to the contemporary city.

*Keywords:* Narrative, Time, Place, Events, Contemporary city

## 1 AN INTRUSIVE THOUGHT

This journey starts with a philosophical-cultural questioning about Time (C. S. A. P. Morgado, 1998) as (1) an individual phenomenological perception (Husserl & Alves, 2001), (2) the imprint of time in the material existence of architectural realities, as the urban realm (Kubler, 1990), as a means of tales told and engraved in the material body of the cities (Aravot, 1995).

Time is omnipresent. Thus, it is always extant, even when seemingly relegated to a secondary role. It is like saying how a particular territory, Lisbon, evolved into a mature metropolis, using its representation on maps. Like still images at given moments in time. In this case, time is operative as chronological support. However, in the conjunctural and contextual spheres, layers of interpretation about the transformations of spaces associated with land, water, and artificial creation have transformed the result into a narrative of territorial becoming of the metropolitan Lisbon (S. Morgado, 2018).

Time is thought-provocative. Although elusive, it stands out in the face of other topics of reflection or investigation. The narrative is considered a privileged form of interrelation in the present context. Hence this exploratory effort.

## 2 OVERVIEW

The study takes up previous concerns about the interrelationship between time, space, and culture (S. Morgado, 2021), advancing theoretical arguments in order to highlight the role of time in narratives about the contemporary city.

To this end, it is organized into five sections. The first introduces the topic, sustaining an interest that has been built on various research angles. The second section seeks to dissociate between understandings of "narrative," its definition, distinct roles in the scientific literature in Social Sciences, Humanities and Arts (SSHA), and main approaches in the contemporary city. The third section deals with time within a narrative context applied to the contemporary city, highlighting the need for its integration with space and the transposed consequence of events. Three examples of narration are presented by way of illustration. The fourth section discusses the evolution of the perception of time, and the dematerialization of the city, accentuated by digitalization. The fifth and last section concludes by raising a follow-up question about this exploratory work and possible operationalization in terms of intervention in the city.

### 2.1 *On narratives*

1. As a noun, narrative is  
a: something that is narrated: STORY, ACCOUNT [...] b: a way of presenting or understanding a situation or series of events that reflects and promotes a particular point of view or set of values (Merriam-Webster, n.d.).

While as an adjective is:

1: having the form of a story or representing a story. // a narrative poem; narrative paintings // 2: of or relating to the process of telling a story // the author's narrative style // the novel's narrative structure (Merriam-Webster, n.d.).



On the one hand, it is not surprising that the word ‘narrative’ appears as a metaphor (or another stylistic resource) or even devoid of concrete meaning or misused. It is not uncommon to find research narratives that demonstrate poetics in addition to knowledge (Christou, 2021; Pearce, 2021). In Urbanism, metaphors are recurrent (Seitanidis & Gritzias, 2022) to communicate - in a word or expression - a synthetic view of the phenomena under study. These metaphors, e.g., Splintering Urbanism (Graham & Marvin, 2001) and various other authors, also mesh with the realm of narrative.

On the other hand, and more recently, it has acquired a sense of ‘storytelling,’ especially with the potential offered by the management of big data, Artificial Intelligence (Riche et al., 2018); in GIS (geographic information systems), the interweaving of databases allows spatializing and chronologically sequencing from risks (pandemics, floods, fires), to statistics (population, election results), land use planning, among others (Budowle et al., 2022; Park et al., 2020; Roth, 2021). Although narratives involve telling a story, to some extent, «storytelling is the activity of telling or writing stories» (Collins Dictionary, n.d.), the first is expected to be more complex than the latter.

2. Narratives can use different forms of communication: written, sketched, filmed, photographed, digitized, or hybrid. Written narratives can take the form of novels, short stories, fables, chronicles, biographies, reports, also scripts for movies and video games. A written narrative is different from a dissertation. It involves characters and events on a specific topic unraveling in a particular space and time setting. In the 1980s, Ricoeur (Řídký, 2017) adopted similar elements of the written narrative in *Temps et récit*; however, with a broader concern, which would transform historical writing. Perkins’ (2017) study of discursive narratives in different cultures classifies four primary elements considered in this exploratory reflection: causality, character, time, and space. Although the author refers to discursive narratives, each of these can assume a predominant position within the narrative or storytelling in a precise cultural scope. They help simplify the usual five to seven narrative elements.

In scientific literature involving SSHA research, the author’s unique experience and those involved in the study may be in place using narration. A narrative could be the threshold that unfolds onto an array of possibilities within the SSHA, encompassing: (1) Narrative in itself, as a narration practice through different media. (2) A knowledge field, like Narrative Theory (Ivic, 2018; Kivak, 2021). (3) Methodologies and investigation techniques in Narrative Research (Kim, 2016).

3. Narratives on the city play the active role of communicating, portraying, analyzing, and reporting events in a given urban environment, drawing on

storytelling characteristics - they must capture their audience’s attention. In this sense, storytelling is closer to literature in its aesthetic dimensions than a research narrative. In the latter, poetics may also occur, but it aims to provide knowledge through a research design.

Bourdieu would reveal new routes to sociology, bridging the gap between philosophy and sociology, introducing new focuses on multidisciplinary, heterodoxy and subjectivities, thus empowering actors and collectives. According to Fowler (2020), although rooted in Marx and Durkheim, his notion of time goes back to the phenomenological perspective Husserl introduced, «Stating explicitly that sociology and history should be united, Bourdieu holds it essential to account both for structuration and for innovation or change (Bourdieu 1995, pp. 108, 122; 2015, p. 574)» (Fowler, 2020, p. 444). Bourdieu values the dimension of empirical support in life histories, highlighting the importance of conceptual interpretation over simple data collection, processing, and analysis (Barrett, 2015).

Coetaneous, Ricoeur becomes one of the protagonists of historical theory (new history), now within the narrative theory. According to Leclerc-Olive (2019), Ricoeur, working on different translations of Aristotle’s *Poetics*, developed a multilingual approach in *Temps et récit* (1984-1986, *Time and Narrative*). First, an English translation of Aristotle and then a French one would lead him to refine the language in subsequent versions (e.g., “mise en intrigue” and “emplot”). In this groundbreaking three-volume work, by introducing the idea of “context” in close connection with the “text” itself (Erll, 2010), Ricoeur advances on the earlier positivist concept in which history was presented as a chronological sequence of specific data.

Erll (2010) argues that For the cultural and literary historian, the context is thus not a ‘datum’ but another ‘interpretandum’, just like the literary text itself. [...] A narrative text is (1) prefigured by its cultural context with its specific symbolic order. It (2) configures (or: emplots) extra-literary elements (the ‘real’ and the ‘imaginary’) into an exemplary temporal and causal order [...]. In the act of reading, finally, the narrative composition is actualized. It becomes part of the symbolic order of a cultural formation, which is thereby (3) refigured [...].

While maintaining their individuality, it can be argued that Bourdieu and Ricoeur followed parallel paths. Thus, the simple “storytelling” based on the chronological sequence of data lacks the fundamental cultural, i.e., contextual, dimension that a narrative should have. Although different in purpose and form, Perkins’ study (2017) highlights the same concerns.

## 2.2 Time and Narratives on the Contemporary City

Time has always been a central theme in philosophical debate and literature in its different forms. Albeit in an

abridged form, and through the lens of an architect and urbanist, in this exploration, one must mention approaches that introduce multidisciplinary and interest in contemporary society - (1) Phenomenology (Husserl, Merleau-Ponty, Heidegger, among others; since 1890; Gadamer and Ricoeur in hermeneutic phenomenology) (Embree, 2005); (2) Critical theory (The Frankfurt School; Horkheimer, Adorno, Marcuse; 1930-the 1970s) (Geuss, 2005); (3) Post-structuralism (Derrida, Foucault, Rorty), deconstructing as a reaction to the 1950s structuralism (Lévi-Strauss, Lacan, Barthes) since the late 20th-century (Gutting, 2005).

Human beings experience time, space, and events through their perceptions in a given context - individual cognitive characteristics and setting conditions contribute to shaping that perception.

Authors who devote their efforts to exploring the nature and dimensions of time and space in SSHA fields attempt to realize the exploratory side through embodied material expression. In Urbanism, the different characters in a narrative perceive time and space through the materialization of a setting – the urban place and a given moment. This experiencing and exchange adds new dimensions of exchange and experience, extending this reality into the cultural and civic dimension of the city.

One could say that the realms of the urban inhabited embrace (1) Time, while reified by the experience of events in a given space and duration, in its temporal dimension. (2) Space materialized with aesthetic and cultural values and experienced by people in a place. (3) Events that occur in a setting (Time and space), which people experience, remember, represent, and vocalize become narratives.

An event is a change of state; moreover, «Events, conceived as time- and place-specific transitions from some source state S (pond unfrozen) to a target state S' (pond frozen), are thus a prerequisite for narrative.» (Herman, 2010).

The following subsections seek to illustrate how time can reveal itself in narratives of different natures, with a focus on the contemporary (1) personal, in a context marked by a city that has the peculiarity of having its historiography; (2) historical in itself and in its content, in which long and short time playing the leading role in a plot of particular historical relevance; (3) fictional, in three cities, marked by sudden events in different eras, traversed, pierced by the timelessness of a classical document.

### 3 SERENDIPITY AND NOSTALGIA

1. In the mid-1980s, a young professor of history, newly arrived at Lisbon School of Architecture, would sow confusion with her methodological and conceptual questions. The student body adjusted, and some would even dare to follow her advice.

A very young student would start walking through the streets of Lisbon, admiring the picturesque old neighborhoods and wondering where, in the school's neo-rationalist vision of architecture, such realities could fit in. Atmospheres, imperfections, the unfinished, a collage of spaces of such unknown origin finds the first answers in the old Palácio da Rosa in Mouraria. She proudly recalls that she had reader's card number 12 of the GEO (Gabinete de Estudos Olisiponenses/ Olisipography Studies Office). Patiently, in large, floor-lined rooms, methodical librarians sat down and asked what she needed. They withdrew monastically and returned in silence with the selection of those who know their collection very well.

That is how the world of Olisipography, and the chroniclers of Lisbon were revealed to her.

NB: The GEO was created in the 1930s by the Lisbon Municipality and was located in several notable buildings, such as Palácio Galveias and Palácio da Rosa, finally settling in 1992 in Palácio Beau Sejour (GEO/CML/ Lisbon City Council, n.d.). The GEO is a treasure chest intertwined with the history of Olisipografia and its mentors, the city of Lisbon, and hosts multiple studies on this city. However, this and other treasure chests about the city are memory. The documents consulted then are now available online. It is memory and experience that contextualize them. From the touch remains a reminiscence.

2. Following the European interests of the time, there was a growing interest and practice of archaeological activity, mainly oriented toward the finds of the Roman period at the end of the 19th century. It was in this context that a movement emerged in Portuguese historiography that would come to be called Olisipografia (Ulyssipona [said after Ulysses] and Olisipona, Olisipo Felicitas Julia (Alarcão, 1976)). In his search for testimonies of the city of his father, the well-known poet viscount António Feliciano de Castilho, Júlio de Castilho inaugurated a narrative movement, one could say, about the oldest riverside nucleus of Lisbon. The series *Lisboa Antiga* (Old Lisbon, approximate translation) would offer several volumes, being the first “Lisboa Antiga-Bairro Alto” (Castilho, 1879), which would be followed by other volumes (Castilho, 1893, 1934). The public welcomes with interest these studies, extending this movement to the 20th century by authors such as Gomes de Brito, Luís Pastor de Macedo, Gustavo Matos de Sequeira, or Norberto de Araújo. Beyond the historiographical dimension, often of a Romanesque, descriptive nature and without critical methodologies, these documents are testimonies of a particular time and look at places in the city. Despite the interest and the many attempts to define this unique contribution to the knowledge of Lisbon, Castelo Branco is still the most complete source (1979).

3. Until the mid-twentieth century, this movement acquires an operational facet. This is the case of (1) Gustavo Matos de Sequeira, as a councilman, contributed to avoiding the demolition of Bairro Alto, as planned by the Lisbon City Council and led by Architect Cristino da Silva, in the context of the hygienist intervention that would lead to the demolition of much of Mouraria and various interventions in Alfama. (2) Augusto Vieira da Silva, a military engineer, with a deep knowledge of the urban establishment of the city, with outstanding technical accuracy, bequeathed us a valuable cartographic collection, along with a work of critical and morphological interpretation, specifically about the castle and the transformation of the urban walls (Vieira da Silva, 1950).

#### 4 TIME REVISITED

The late 18th century sees the advent of the Contemporary Age in multiple ways. The complexity of events depends on the lens through which it is observed. The independence of the United States of America and the French Revolution are events consensually accepted as having launched the new era. Charles Dickens's *A Tale of Two Cities* (1859) is a narrative about the painful birth of the contemporary era. In the title, the author specifies that it is a Tale (Dickens, 1859), possibly emphasizing that it is about a short period. It is not a historical document, as it lacks that purpose, nor is it coetaneous with the writer's life, as it deals with a period in the late 18th century. It can be called a historical novel, as it is acknowledged to have support in the actual historical work *The French Revolution* (1837), as well as the friendship between its author, Thomas Carlyle, and Dickens (Introduction, Paulo Faria, 2014; Dickens, 1859, p. 7).

Although Dickens brings together Paris (and other French cities) and London as crucial settings, the reader comes to the novel's end knowing very little about either city. While centered in London and France, in different places, and finally in Paris, the places are unclear and sparse in the description. They are symbols of a specific historical moment.

One would think that time, in several layers, plays the leading role, living through the various characters. Although the narrative occurs reasonably linearly, some flashbacks are introduced to explain the past, current mindsets, and an open ending. The main characters are archetypes (e.g., the suffering old father and the good daughter, respectively, Dr. Manette and Lucy) or a collective persona through the revolutionary French mob. Memory registers itself in Madame Defarge's knitting and the female collective.

The knitting represents the record of past misdeeds that tragically mark the end of the unworthy, i.e., guillotine. It transports us to Greek mythology,

to a renewed personification of the Moirai, who manage the duration of life and determine the fate of human beings.

Dickens' writings are part of the romantic literature of the Victorian era and usually address his time and its problems. No such thing occurs in *The Tale of Two Cities*, which reflects on events 70 years before the life of its author.

#### 5 OVER TIME

Sometimes, objects, such as manuscripts and books, are the vessels that allow ideas to cross significant periods. Such is the case in Doerr's novel, *Cloud Cuckoo Land* (2021), in which (1) a classical document that survives the conquest of Constantinople by the hands of the young Anna, (2) comes into the hands of the Greek Zeno Ninis in Portland, USA, to be translated and staged, although his antagonist storms in and perpetrates a terrorist attack and (3) is discovered by Konstantine, a young woman isolated by a pandemic on the spaceship Argus in a defined future.

These three narratives are parallel. Although depicting three visions of the cities and society in different historical periods (the beginning of the Modern Age, our extended present, and the future), each narrative unravels simultaneously with the other two. However, they are independent in the plot while presenting a sequence of individual events in different places. The timeless classical manuscript itself crisscrosses the three.

Together, they convey a relevant purpose: the passing on of cultural testimony, which survives even in unexpected conflict; the communication of content despite the transfer of its medium - from parchment to paper to digital. Space is vivid and exquisitely described in Doerr's other novels, notably *All the Light We Cannot See* (2015).

##### 5.1 *With awe*

Places, like physical objects, endure longer than human beings. They mold themselves to new ways of life and adapt to crises. However, a knowledgeable look at the urban can decode these layers in situ, using cartographic or written and iconographic sources. Places exist in time and a given context. Even if materialized in a specific moment, they are present in every fraction of a second. Bergson (1922) called this quality *durée* different from the temporal nature of people, uses, and events (Madanipour, 2017, 2018).

Nevertheless, today, we deal with predominantly mediated, virtual, and augmented experiences accelerated by digitization and the critical events of the 21st century so far.

In this sense, we may be facing an illusion of the disappearance of the embodiment of the city, whose

forms of territorialization may be changing in a determinate way as industrial cycles pass.

Thus, it is not surprising that some authors reclaim post-phenomenological approaches amid digitalization, Artificial Intelligence, and virtual realities (Roberts, 2019; Romele, 2021).

Digital tools allow for simultaneous discourse and networks of individual narratives (see social media), exponentially increasing the interventions of those who want to enter the debate - those who intervene are both narrators and protagonists.

Perhaps we are moving towards collectively produced narratives, supported by big data and sophisticated software with capacities like artificial intelligence.

Human perception changes in a hyper-mediated world, moving us away from the direct experience of space and time. In the 1980s-90s, visions about the impact of augmented reality were already being debated. Nevertheless, we are losing touch with the shared reality of the embodied city.

Consider the pandemic of COVID-19. The world has not stopped, but our experiences have shifted even more to realities mediated by the digital (Buhayar, 2021), multiplying places and times. Sometimes, making the most varied time zones of the globe simultaneous.

Batty (2021) offers one of the first essays, possible only to those who have visited many times places and events - a poetic and theoretical narrative about the condition of the city surrounded by covid-19 and a reminiscence of earlier futuristic visions of the city. Like in the novels of Margaret Atwood (e.g., 2003), we live through almost dystopian experiences.

As often in dystopias, our ways of life present themselves caricatured.

## 5.2 A Look Forward

While exploratory, this short work brings together too many questions that have not yet been systematized. It is thus worthwhile to work more consistently toward defining a specific concept for the contemporary city. This definition should include a different research design than the typical qualitative research in social science.

One possible clue could be - how to capture cultural contexts in time and make them available for urban design and planning. Nevertheless, that is another story.

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# Enlightenment practice and city design

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**ABSTRACT:** Architecture and city design have been the object of significant changes since the second half of the 18<sup>th</sup> century, under Enlightenment influence, showing a shift in the perception of the relationships between time and space. Such changes foresee, in part, a nostalgia for the medieval city, or even for ancient times, that will later stress the progress of the industrial revolution.

This chapter, which encompasses our work, requires a methodical approach supported by case studies that further evaluate the sense of ongoing mutations. After the 1755 Lisbon earthquake, the urbanization processes are particularly significant in this scope, as they reflect a catastrophic circumstance that spread beyond the Baixa Pombalina zone.

On the western side of the city, in Lapa's neighborhood, we highlight the analysis of a block of buildings that grew parallel to the reconstruction process of Baixa Pombalina, being evidence of Enlightenment practice, which has been secondary to the restoration of the city's downtown area. This sample block reveals a tendency to standardize architectural elements, contributing to the urban image integration as an essential factor of its identity when considering ongoing renovations.

*Keywords:* Heritage and rehabilitation, Enlightenment, Urban morphology, Lapa's neighborhood, Lisbon

## 1 UTOPIA AND ENLIGHTENMENT PRACTICE

Between the expansion of the baroque city and the beginning of the industrial city, certain methods of architectural production were established. Such would allude to a unified urban image of better quality that would alternate between a scenographic inspiration and a rational expression spreading through Lisbon.

This image is evident by the contrast between the previous medieval city's legacies or some renaissance ways of merging with new proportions and tendencies of the 18<sup>th</sup> century. The urbanization of the mid-18<sup>th</sup> century occurred in various focuses throughout the city, beyond the central area of Baixa, varying their surroundings but brought together by an idea of serial architecture. In other words, a higher control or repetition of its elements, especially in residential buildings, where the similarities in the openings' ratios are recognizable and higher refinement in the facades' composition and standardization of materials and techniques.

The focus of 18<sup>th</sup>-century urbanization, visible in multiple European capitals, reflects the Enlightenment identity. These were associated with a rational conception of architecture or a visual enhancement. The significance of land ownership and changes in the territory in Lisbon are brought to the foreground.

If, on the one hand, the spread of a specific urban image can contribute to the city's coherence, the process of transforming the urban fabric ends up being essential to justify most of the ongoing changes. Therefore, the previously mentioned value must be recognized for the city's comprehension.

The changes that occurred in exceptional situations, such as in post-earthquake Lisbon's case, can exhibit this newfound rationality that connects baroque's imagery to the pragmatism of landownership transformation. While acknowledging the worth of this legacy, it matters to notice its reactions beyond the central zone known as Baixa-Pombalina.

The research around an Enlightenment-inspired reconstruction and expansion process in Lisbon has produced several results worthy of note, with emphasis on the work of Augusto França (1987), Walter Rossa (1998), and Raquel H. da Silva (2005),

among others. Of these investigations, it is particularly interesting to us the clues to areas outside of Baixa, where Walter Rosa explores new dimensions of França's work in more depth while addressing the significance of the focus of urbanization in the surroundings of Baixa, being able to notice an eventual correlation to a new Enlightenment rationality.

Lisbon gains visibility for a practice far beyond Baixa in the European Enlightenment context. Considering multiple surveys about the pre-Pombaline influences that surpass the scope of this paper, the role of the Portuguese military engineers in architectural and urban production throughout the 1700s had already been identified, revealing an attitude of great refinement. This expression gained more traction in the mid-18<sup>th</sup> century through intense production of residential rental buildings, marked by the particular Pombaline reconstruction process. As outcomes of previous thoughts, such developments gain meaning in the changes happening in the city's central area and multiple focuses of expansion in its surroundings.

In one of these areas outside of Baixa, we find a space of significant research for acknowledging a certain Enlightenment practice and reflecting on its value in the scope of heritage and urban rehabilitation while considering the new grounds of time and space. The understating of these requires a critical and dynamic approach to different city scales and mechanisms of construction, where memory architecture emerged (Ferreira, 2016).

## 2 LAPA BETWEEN TRADITION AND NEW RATIONALITY

In the means of urban growth in Lisbon, the post-earthquake Enlightenment period, of greater or lesser erudite reference, reveals itself to generate new focuses of urbanization, where scales and urban-architectural commitments are as specific as ambitious.

Admitting that the reconstructive process of the Baixa Pombalina – the downtown district of Lisbon – did not emerge from anything but arose as the product of an innovation that stemmed from previous experiences, this doesn't cease to have an exceptional role in the international context. Its particular development and serial elements, introduced with a certain standardized degree in an emergency, ended up having a contagious effect in other areas, with a special focus on the district known as Lapa.

The different focuses of urbanization from the second half of the 18<sup>th</sup> century aren't presented in an area recognizable by its continuity but in a complex network of interrelations in the urban structure that unites them by their scales and grid geometries—establishing architecture marked by greater rationality with a repetition of elements, techniques, and materials.

Analyzing the urban morphology of the city's central area and its current surroundings allows us to distinguish the different urban fabric formation periods (Figure 1). It is also possible to recognize some regularity or proximity in the composition of residential buildings due to an Enlightenment practice where the facade becomes autonomous with its own time and space correlation.

The morphologies reveal a strong articulation between precedencies and new grid traces that generates new identities relative to their surroundings. The time exhibits new rationality where geometric abstraction is evident, which integrates and subjugates more deeply rooted symbolic values.

Lapa reflects a growth around a strategic axis between downtown and the western zone of Lisbon, where a few religious buildings were located in the Renaissance city's urban expansion limits. This model of enlargement was supported in the subdivision of clergy and aristocracy properties (Casa do Infantado). Lapa and Santos' areas, which have a strong relationship with maritime activity, are defined by steep slopes even more accentuated by the river. This proximity to the water is hard to be perceived in current times due to the distancing of the riverfront caused by the landfill operations carried out in the middle of the 19<sup>th</sup> century. Despite these changes, even at present, Lapa's slope can reveal the variety of urban fabrics and 16<sup>th</sup> and 17<sup>th</sup>-century constructions, confronted by the rational exploration of the second half of the 18<sup>th</sup> century, mainly in a set of blocks that were established between the space of Buenos Aires and the riverside limits, or the historical axis of Esperança-Janelas Verdes.



Figure 1. City of different morphologies – urban fabrics from the eighteenth century. Lapa area (double circle) (LXLAB21).

Lisbon embraces a great diversity of urban and architectural expressions that incorporate medieval, renaissance, and baroque narratives. With an emphasis on Madragoa and Pampulha's urban fabrics, we focus on the development of regular blocks around Remédios

Street (Rua dos Remédios). This set of grids stated in the limits of the urbanization contemplate a strategy that isn't alien to the integration of key buildings in the new Enlightenment practice, where religious architecture or the nobles' houses fit in a strategic position in the new rationality. Some of the 18<sup>th</sup>-century expansion focus, as is the case of Lapa, still assumes a very special relationship with water, where, beyond their riverside positioning, exhibits networks of supply and sanitation, with a specific focus on the aqueduct and its fountains.

The transformation in Lapa starting from the mid-18<sup>th</sup> century is very representative of the paradigm changes of city-making, and it left its records through river views or cartographic surveys from different time periods. For this acknowledgment, the significance of representation in tiles is highlighted, which allows us to imagine the livelihood of the place and its changes in the second half of the 18<sup>th</sup> century. It is possible to have an idea of this area from around 1740, before the earthquake, through its representation in a tile panel, where the Janelas Verdes axis, the palaces, and surrounding convents, the Santos beach, and the striking position of the Santos-o-Velho Church stands out. The zone corresponding to Lapa's regular blocks is presented without construction, and the surrounding property boundary walls are well visible (Figure 2 (a)).

Another representation of the area, as a water-colored drawing from around 1767-69, reveals more details, showing already some constructions due to the ongoing allotment proposals. In this drawing, the urban fabrics aligned with the riverfront are noticed, just as the expansion of constructions around Trinas and south of Buenos Aires (Figure 2 (b)).

Within the surveys and studies on the transformation of Lapa, it is emphasized the work of José Sarmiento de Matos, launched around "a house in Lapa," where it challenges us to accompany the changes of a house and its location (Matos 1994).

Therefore, the election of the Lapa region emerges by its significance as a process that develops an alternative to the reconstruction plan of the Baixa-Pombalina. This parallel development doesn't go against the Baixa's proposals contagious effects, marked by a mix of continuity of some of the architectural heritage that survived the earthquake, the extension of urbanization models of 16<sup>th</sup>-century influence in the surroundings of Madragoa and the innovation in a scale and regularity in the new blocks south of Buenos Aires. An area also fueled by glamour, where a large palace and a view of the new court palace of the Joanino period were projected.

Lapa's area stands out as a place of research interest, identified in the scope of the works of the Urban Laboratory of Lisbon (Laboratório Urbano de Lisboa – LXLAB XXI), particularly inside the limits of the 17<sup>th</sup>-century city's defensive line, where other essential examples were already referenced in the matters that involve rehabilitation and heritage (Ferreira, 2018).



Figure 2. Changes in Lapa in the mid-eighteenth century. (a) Detailed ceramic tile panel with a view of Lapa area in Lisbon, 1740s. Lisbon Tile Museum (b) View of Lisboa focus in Lapa 1767-69 water colored drawing. National Academy of Fine Arts.

It also stands out the importance of multidisciplinary methods where the matters of planning and preservation of the old cores are approached (Carvalho, 1997), as well as the sense of the places' evolution of the identity under the effects of tourism, where the economy and culture are confronted, with very particular dynamics in the relationship between architecture and tourism (Ferreira, 2019).

Between the diversity and the complexity of the approaches considered by several authors regarding places such as Lapa, we elected as the central point an idea of Enlightenment practice deepened by the value of the regular block as a generator of determined methods of urban and architectural production. In this regard, a space of exploration emerges of an urban structure that develops itself between a lesser formal rigidity regarding the master plan for Baixa and the exercise of regulation and union of fabrics that redefine themselves in the limits of the 16<sup>th</sup> and 17<sup>th</sup>-century urbanization.



### 3 THE UNLIKELY REGULARITY AND ITS ARCHITECTURAL EXPRESSIONS

In Lapa, the definition of a regular block is stated as an unlikely conquest, where it matters to recognize its structure and role in the urban and architectural culture. Therefore, the main focus of this paper is a block of buildings in Lapa as a statement of a desire for regularity and promoting a greater urban identity. This process is essential for comprehending the new ratios and developments promoted by building methods from the second half of the 18<sup>th</sup> century, framed by a new rationality's influence. Beyond an unquestionable historical value, this acknowledgment has a higher significant role. Especially in a period when the urban rehabilitation in both Lapa and Lisbon emerged rapidly and often without critical contemplation on the meaning of the changes in the urban fabrics and architectural heritage.

In Nossa Senhora da Lapa, we highlight a set of building blocks between Buenos Aires and Janelas Verdes, where a new scale of block and the rental building is an alternative to the Renaissance legacies of Bairro Alto or even Baixa itself.

The new type of block consists of more generous backyard spaces, setting the alignments with the new streets, located in an area characterized by the religious properties' traditions and the proximity of more compact renaissance urban-architectural structures.

In these observations, we find the 18<sup>th</sup>-century representation through precise alignments foreseen for the area in Nossa Senhora da Lapa neighborhood's cartography, with illustration by Monteiro de Carvalho around 1770 (it is worth noting that the representation of filled spaced in the cartography of this period does not necessarily correspond to the reality of the implantation). In a more detailed later study, done between 1775-1779, we identify a more precise relationship between the existing fabric and the proposals for the buildings in Lapa. In both representations, the religious buildings are highlighted. In the latter representation, the juxtaposition of a new street for the Buenos Aires zone being evident, proposing new connections, redefining the southern blocks, and aligning the northern blocks. This way, managing to extend the idea of regularity in a new city region that decades before had a bucolic character, fragmented and dispersed.

In successive representations done from mid-19<sup>th</sup> century surveys, such as Filipe Folque's, we can verify with more accuracy the relationship between the lot division drawing with the building proposals. Here it can be confirmed a significant occupation of the lots. Fifty years later, in Silva Pinto's cartography (1904-1911), a structure close to the present time can be found. Although those differences are

predominant in the continuity of the buildings' alignments related to the streets, contributing to making an urban image, keeping higher flexibility of backyard design with multiple levels of privacy and ways of appropriation.

In a comparative analysis of these transformations, we elaborate a summary confronting the research found and intentions from the second half of the 1700s, the middle of the 1800s, and the present (Figure 3).

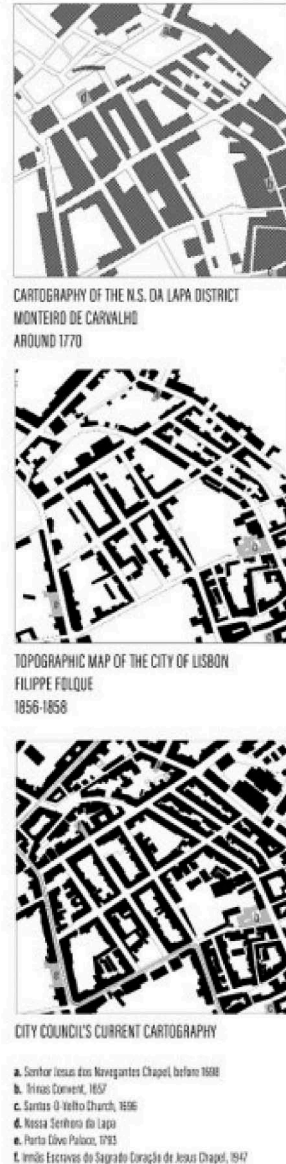


Figure 3. Comparative analysis of blocks in Lapa over time (LXLAB21).

In such changes, it matters to consider the present concerns in the Pombaline reconstruction architect's documents. Focusing on Manuel da Maia's general indications, when by the analysis of the western zone, where references to the parameters and street dimensions are presented.

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In such changes, it matters to consider the present concerns in the Pombaline reconstruction architect's documents. Focusing on Manuel da Maia's general indications, when by the analysis of the western zone, where references to the parameters and street dimensions are presented. The streets, squares, and markets, that in the terrain can, in a good way, be distributed, so to good use and public commodity as well as the city's enriching with this argument of a better solution [...] to adjust itself to the Lisbon's ruined Baixa renovation, engaging in the main streets, and in the longer length of 40 palms and the smaller lanes of 30 [...] drawing also prospects of two-story houses on top of a commercial story, the first with extended openings, the second with window sills, or [...] diversifying itself with the streets by the colors that the doors and windows will be painted. For the noble houses, prospects of multiple shutters will be formed, with a higher number of windows but not higher heights, not to change the main regularity. (Free translation from Carvalho, mid-1700's).

Such examples and documents refer us to changes indicating modernity beyond Baixa. With emphasis on Lapa's case, a place pronounced in the western limits of the renaissance city and the riverfront refinement before the landfills. These intentions and changes in the building's scale do not occur immediately but over a century, being outcomes of the Pombaline reconstruction in the mid-18<sup>th</sup> century, extending to the mid-19<sup>th</sup> century. Then the effects of the synthetization of an architectural and urban image of great regularity are visible, close to an Enlightenment utopia in an area of evident slope.

These are the expressions that define the blocks design and their allotment process that matters to investigate, be it in a diachronic or synchronic

perspective, underlining its emergence facing an elaboration of plans, especially of multiple ongoing rehabilitation operations.

#### 4 THE (IM)PERFECT COMMITMENT OF A SAMPLE BLOCK IN LAPA

For this analysis, a specific block of buildings was selected as a sample amongst the most regular blocks in Lapa's territory. This being the block delimited by São João da Mata Street, Remédios à Lapa Street, Praças' Street and Garcia de Orta Street (Figure 4).

The grounds for this decision were the regularity of the lots, the evolution of the buildings over time, and the noticeable cohesiveness of the facades, where though the general commitment is imperfect, relevant pre-modern evidence is found. The selected block, where renovations have been happening at present, is a valuable sample of Enlightenment Lapa in terms of research. For that reason, it can serve as a basis for determining strategic stands of patrimonial and design nature in historic areas.

Significant architectural traditions from the mid-18<sup>th</sup> and 19<sup>th</sup> centuries are evident. It stands between the rationality of post-earthquake Enlightenment architecture and exhibits a foundation for pre-modernism that later followed the use of concrete and steel. Such rapid transition led to an industrial culture often less inclusive in materiality, techniques, and historical construction processes.

The most notable constructions of the period include the rising middle-class' urban building, which was made purposely to be rented, thus being known as "for income" buildings. Such properties were committed to a uniform urban image, where the construction would be situated by the street, allowing for the backyards as a private outdoor space in the city that would be attractive to the tenants.

Taking as a reference Mandragoa's Detail Plan (Plano de Pormenor), though with critical inspection, it is possible to study the lots dimensioning, street front, depth of construction, facade proportions, the composition of the windows and doors, accesses, illumination, and ventilation. All while interpreting the application of those characteristics when considering modern requirements.

Moreover, for adequate comparison, both the international metric system and the units used for construction at the time are used. These being meters and palms equivalent to 219,60 mm. The understanding of the palms is recommended, as the proportions are an important aspect for the recognition of the Pombaline style, be it in the original designs, clandestine versions, or later constructions influenced by the initial projects.

All things considered, the total area of the block is 6.563,00 m<sup>2</sup>, with a length of around 130,00 m and a width of around 50,00 m, containing 28 buildings.

Their facades vary between 31,74 m (144,53 palms) in an exception, with the second-longest being 20,29 m (92,39 palms) and 2,67 m (12,16 palms) once again in an exception, whereas the following has 6,07 m (27,64 palms). The average of the street fronts is 11,33 m (51,60 palms). Such measurements show a lack of great inconsistencies.

Additionally, on the depths of the buildings, this regularity is even more perceptible, with variations between 28,19 m (128,37 palms), the second largest being 19,43 m (88,48 palms) and 7,71 m (35,11 palms). The average is 13,82 m (62,92 palms).

Regarding the lots, their lengths tend to be the same as the ones of the facade, though the depths vary. The highest and lowest are 35,38 m (161,11 palms) and 7,71 m (35,11 palms), respectively. Both are exceptions, the smallest being a corner lot where the depth has the same dimensions as the second facade, corresponding to the dimensions of a typical Pombaline front. That being said, the second biggest and smallest depths are 28,19 m (128,37 palms) and 11,90 m (54,19 palms), showing great consistency. The average is 21,29 m (96,91 palms), and the most frequent depth found is around 25,20 m (114,75 palms).

Furthermore, there is 1.234,00 m<sup>2</sup> of permeable green area that must be preserved (according to the Master Plan) in the backyards of the lots. The value of such areas, while a modern concern, must be taken into account when considering both the current ecological concerns and the improvement that these places provide to the block and the quality of life of its residents.

This analysis serves as a basis for further studies and interventions concerning the significance of landownership divisions. Mainly of the lots' street-front dimensions, especially when they are related to the facade composition. We also consider the different roof layout's value as part of the relationship between architecture and city design.

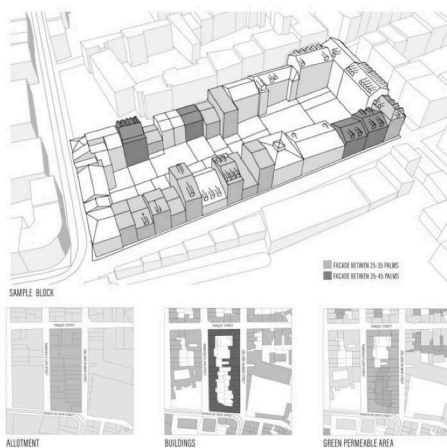


Figure 4. Analysis of a sample block in Lapa (LXLAB21).

## 5 CONCLUSION

The ongoing investigation is a support and discussion basis for future intervention proposals, highlighting conservation or transformation models that occur presently in the region.

A work of this nature, contemplating a theoretical approach to altering a time-space paradigm due to an Enlightenment influence, does not boil down to urban analysis, even at the block's scale, but develops around its relationship with architecture. Being relatively complex, the theoretical reflection around Enlightenment and the difficulty of summarizing it, we turn to the analysis of an allotment and, more specifically, an 18<sup>th</sup>-century block, underlining its eventual place as a generator of determined architectural typologies.

Even though its general regularity and lot division diversity, the sample block is still evidence of the launch of premises of order and urban control from the mid-1700s. Having been through alterations, possibilities to consider are found when transforming the backyards, more generous, as well as strategies of reflection about the value of the composition of the facades and their relationship with the front of the lots, with emphasis on the older examples where the dimensions are close to 30,00 palms.

As well as those references, are worthy of noting the significance of the roof layouts and the lot depths, constituting the subject of discussion at present or orientation of urban rehabilitation processes. We leave, however, for another time and space the concerns about the articulation with techniques, materials, and construction systems.

This example constitutes a reference to consider on ongoing studies, being in course the further investigation through our laboratory (LXLAB21) about the processes of intervention and rehabilitation in Lisbon.

## ACKNOWLEDGMENT

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# Cities are spaces made out of time

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**ABSTRACT:** The simplest way to approach a theme as vast and complex as space and time would be to use Nadir Afonso's (1920-2013) manifesto and exclude one of the arms from the equation because, in his words, time does not exist. The space would then be the one to remain. It would seem perfect to us to subtract time in this binomial. We would have the most physical part, space, capable of being understood by us corporeal beings. Time is the abstract relationship of this polarity. We could associate the direct connection of space with the human body. Time is only perceptible to us by the repetition or the permanence of the body in space. However, time is undoubtedly the determining factor for understanding space, even its construction. This article aims to understand this close and sovereign relationship between space and time. Understand that time is fundamental to the creative process and the concept of space. The city's historical time, which transforms it and precipitates ruin, is measurable. Starting from this concept of time cadence, we want to discuss another idea of time, the design time. A time that is not measurable, but rather mental, fertile ground of creation and design, this rather revealing of space. Through a methodology based on the literary review, we want to bring to dialogue the close relationship between space, time, and project.

**Keywords:** Project, Time, Space, City, Memory

## Time present and time past

Are both perhaps present in time future  
All time future contained in time past.  
If all time is eternally present  
All time is unredeemable.  
[...]  
Go, go, go, said the bird: human kind  
Cannot bear very much reality.  
Time past and time future  
What might have been and what has been  
Point to one end, which is always present.  
(Eliot, 1944/2004, pp. 25–26)

Before we begin the theme, it is essential to note that the concepts of space and time, as we understand them today, are immutable and inseparable binomial. They were not always understood. All the fundamental concepts of modern science are predicated upon Enlightenment ideals, particularly the Kantian building, on which virtually all contemporary science is founded. Worldview and scientific foundations changed radically after 1905, i.e., the Newtonian view of the world underwent a revolution with Albert Einstein's (1879-1955) theory of relativity (Eilenberger, 2022, p. 31). Space and time have never been perceived as mutually independent factors of apprehension a priori human experience. Space and time are thus chained together. This contemporary view of

the world contains a problem arising from this factor. With the constant acceleration of the world through technology, both concepts grow exponentially in speed, which affects the design of cities' architecture and their perception. Starting from this complexity of fleeting interactions between space and time in today's world, and due to the intrinsic relationship between both, we believe it is necessary to reevaluate these concepts. In its different scales, today's architecture practice requires more excellent articulation with time. The immediacy of personal and social relationships accentuates this need to slow down time so that space is embedded in the historical concept we have of it. This slowing down of the time we propose is no more than the reassessment of this concept, if not of another, at least of the design time. This reassessment presupposes the hypothesis that time may be more important than space in the preposition of contemporary architecture practice (Bogoni & Moura, 2020, p. 29).

The city, which is the subject of this book, is to be understood here as architecture. By architecture I mean not only the visible image of the city and the sum of its different architectures, but architecture as construction, the construction of the city over time. (Rossi, 1982, p. 21)

The text mentioned above is the opening sentence of the introduction to the book *L'architettura della*

*città* (1966) by the Italian architect Aldo Rossi (1931-1990). We call this phrase dialogue because space and time meet indirectly in it. The city represents space, space as a metric entity and as a space of human experience. As the text indicates, time is our relationship with space, a physical or an affective construction of a relationship with the place. Time is thus the non-tactile part of the most common binomial of human experience, space, and time. This quasi-sensory relationship has another dimension, fundamental to the discipline of design and the construction of the concept of ruin, an essential part of the architecture of cities.

Nevertheless, the paradigm can also be the displaced ruin, as Yehuda Safran (b.1944) says, referring to Pedro Cabrita Reis (b.1956) works. Frames, doors, walls, and parts of buildings are detached and reassembled. Vertical positions are inverted with horizontal orientation, and colors and tones of great purity contribute to our delight in the subverted subject (Safran, 2019, p. 125). The ruin thus becomes not in the absence of utility, in a lack of function, but possibly in the most consolidated part of the architectural project, its essence. If we want to look deeper at the effect of space and time on buildings or the city as a *tabula plenum*, it is in ruin, over time in space, which becomes more apparent.

In this exercise of architecture as a discipline, what interests to point out is relative to the balance and importance of memory as determining factors of the city's construction in time. Memory, as one of the most prominent features in human beings, should take the lead in the act of designing, of creating. The city must be inhabited; that is the top designation. Since its origin, it has fulfilled this camping function for human beings. Imbued or not, with scientific and technological advances, it will be difficult for the city to foresee changes in its role in the distant future of what we can imagine as human beings. Buildings are assigned a function that temporally exceeds their shape. The same structure can change function in time, but its shape remains or does not change radically in the common imaginary. At the beginning of the book, we mentioned above, Aldo Rossi attaches great importance to this issue. Through the example of the *Palazzo della Ragione* in Padua, we understand how this type of building is associated with the plurality of functions in time, which are independent of their form. Mas esta, a sua forma, é a marca que o edifício deixa em nós, a qual nos é possível percorrer e que no limite estrutura a cidade (Rossi, 1966/2020, p. 39). The individuality of such a building is rooted in time, as Rossi tells us, and is not a recent construction where we could point out its stylistic value. Its value then lies in the time and historical design that it prints in the city, that is, in time. It allows it to transform it into a product of the collective, and that same collectivity also feels modified by it. From what we can deduce from Rossi's proposal,

when it is not ideological, the form is the result of time and memory in the collective of people. Because it allows them to appropriate the function, not as derived from the form, but as their own need for a function, it is of greater importance that we understand Rossi's proposal to describe the city's architecture as comprehensible in two different respects. The first is a tremendous human artifact characterized as a whole; the second understands the parts as a part of that whole. Rossi's importance to architecture is vital in our view. Not only to understand our contemporaneity but also to understand modernity in the light of our day. The value of memory finds the value of a past and the protection of a future. The object as a memory reference is not only conserving memory per se but also safeguarding the memory and the relations between people and places. The city, or the objects of the city, are in Rossi as a collective effort to perpetuate the plural feeling of its inhabitants (Betsky, 2016, pp. 266–267).

The precise definition of the importance is that cities are like spaces made of time. In its genesis of the city's meaning, ruin is a mark in the city's landscape. The remember and forget, what we want to preserve, or not, for ourselves or future generations, are fundamentally constituted not only as an act of design but also as the action of memory in the act of design. We understand the world as the basis of what others before us considered worthy of preserving. This memory that others built in us links past and future, just as we depart from our present to build the future. This temporal link is not essentially made of space, as a city construct, but of time, from the time of the cities, marked by layers that go from ruin to novelty. These layers make up the city, physically and relationally, between Man and landscape. It results in a system of complex relationships arising from the passage of time in space, characteristics typical of the construction of collective memory of a city or community. Nevertheless, time is closely associated with the perception of space and our relationship with objects on various scales; what is the analogy between the city and landscape?

We do not experience time the way we experience space. It is possible to understand space as episodes that are not relatable to each other. For example, our dwelling space is different from the workspace, and both are different from the city's joint space. There are no direct or symbiotic relationships between the first and the second, and it physically does not depend on each other. There are, so to speak, isolated without direct or evident relation. Each one sustains different experiences categorized as differentiated episodes. At the same time, it is impossible to experience or categorize it similarly because it is a continuous stream and not separable as episodes. Time consolidates the passage from the past to the present and usually happens in the immediate future.

The past conditions our present and determines our future. It would not be unusual to state categorically that time naturally associates with space and even serves as a measure for time. The notion of going through a space serves the purpose of compassing time, an absolute awareness of change (PROAP (Firm), 2016, p. 34). Ruin is this final mark of change, not only of change in the landscape but in the city as a living organism in time and constituted by space.

We somehow characterize the close connection between time and space, but we are also interested in the characterization of time. We know beforehand that time is essentially linear. At least, that is the time that most of our lives happen. In time, we are guided episodically by the choreography of our clocks, the concept of time associated with the Greek god Cronos. However, this is only the quantifiable aspect of time. Nothing tells us about our perception of this, or so little of its dynamic relationship that we have all experienced, its apparent compression or expansion, which we generally do not know how to explain. This most reflective aspect of time, not as a measure but as an experience, is of paramount importance for the understanding and enjoyment of architecture and the design process, the concept of kairotic time. We commented previously on the need to slow down time to understand space better or adapt to contemporary life's vicissitudes. Such a need to recognize the possible cathartic effect through the associated experience of the space that architecture represents has its primary root in this characteristic of time as an experience. If we want, it is the difference between an inner time and an outside time ourselves. This inner time is a time associated with our subconscious, which carries non-immediate relationships much deeper than immediate memory. These relationships do not depend on the linearity of time. They can start without being interconnected with a chain of events in chronological sequence, which does not rely on that logic. By experiencing architecture as a physical experience of the body in space, we quickly achieve the connection to this inner time, which can even not only obsequious us with a new idea or relationship, but the possibility of reactivating long-forgotten memories (Hermsen, 2022, pp. 72–74).

The city gathers in its boundaries these two dimensions of time. The time of Kairós can be described as a moment of pause, relaxation, or concentration, a non-quantitative interval, not measurable. The time of Cronos represents the quantitative, linear time that unites the birth of something to his death, a transforming time of the physical world of the city. The two parts constitute it as fragments of a whole, although with opposed dynamics. The physical time of the city, which initially suggests its modification, is where the change slightest happens. Of this are the signs of ruin. The urban centers of

our cities, inland or coastal, are given these examples. The peripheries of cities, or where urban areas confront the landscape, which seems at first the most stagnant regions of change, is where it operates most. Not because transformation is physical, but because in these limits of Man's interaction with nature, the potentialities of project time, not measurable time, remain. This limit tends to create affective relationships between people and these spaces. This is the city, more made of time than space. Time plays a crucial role in the physical development of cities. Space is what results from this intersection, between the human will to organize itself in society and the territory where this interaction takes place.

The complexity of relations is more comprehensive than just the roads' horizontal dimension or the buildings' vertical dimension, and the city also grows as a boundary. The physical limit of the city is as periphery with the natural territory, but also as an interpersonal boundary. Cities are built around the premise that their inhabitants desire relationships with their fellow human beings, essentially relationships of encounter. This central idea entertains the notion of the city, the meeting of Man with his equals. However, these encounters also raise questions of uniqueness in urban diversity, which are quite pertinent today. These topics bring an increasingly technological and separate garb from the physical strangeness of the singular man vis-à-vis the contemporary city, its physical space or place, and the old notion of belonging to a place. Today, these questions involve the disappearance of the physical body, not the body with the city, but the body concerning the project. The loss of these physical relationships carries the melancholy of feeling distanced and increasingly disconnected from the environment. We have gone from a physical connection to a relationship mediated by abstract and ethereal interlocutors such as technology.

However, encounters remain the fundamental basis of the modern city — encounters, and mismatches between people, in time through space. Cities are highly complex dynamic entities because their internal structures originate from people without whom the city cannot exist or even persist. The city without its inhabitants is just a ruin, even if this definition does not fit its genesis. There is a straightforward relationship between the city and the gaze. The time of the gaze, in dimension, duration, and persistence. Once again, these are characteristics of measurable time and another non-measurable time.

Cities are born, grow, mature, age, rejuvenate, diminish, and restructure themselves (PROAP (Firm), 2016, p. 72), writes landscape architect João Nunes (b. 1960) in the text that the title of the present article takes as its motto. As if they were citizens, this personification of cities is an essential point in the interchangeability that such spaces



represent. They do not represent the rigidity we sometimes give them, perhaps because of their scale and complexity, but they are spaces of change for those reasons. They are accidents and multiplicities of people's gestures, some deliberate or meticulously thought out, others negligent, but all based on the cumulative premise of time. The territory is a natural space, where the time dimension is so extensive that human life cannot comprehend it. As a human construction, this thin layer between the territory and the city is the basis of the project. It is challenging to understand the city as a layer floating on a terrain, perched on it, levitating over the territory almost without touching it. In this time, which we can call project time, the imagined floatability of the city at a few yoctometers (minimum unit of the metric system) of the territory allows us to imagine its change. With no roots or foundations to tie it down, this is the mental image we must pursue, an idea of change and possibilities. The historical time of the city and the transformations in its buildings live in this project time, a mental time that seeks real answers to the city and the population's life (Purini, 1984, p. 55).

Although inseparable, time is undoubtedly more important than space. The subject is too extensive and ramified to be appointed in just one article's theme, discipline, or even less. However, we want to leave a final note that fixes our thought on the action as potency, becoming, and a project. If we take a closer look at the arts field, we can also define the precedence of time over space. We summon to dialogue a piece by Michelangelo Pistoletto (b. 1933) entitled *Due Ragazzi alla Fonte*, dated between 1962 and 1975. What seems vital to retain are its characteristics relating to space and time. The silkscreen of the two boys on the polished steel plate crystallizes the time of the action. Through them, the figure's surrounding area emerges as a reflection of the

present time. Through representation, the space-time of the figures never corresponds to the space-time of the physical and visible thought, which, if we stand in front of it, is ourselves, as Pistoletto soon realized. So, the final point we wish to make is of this persistence of time and the alterability of space, both in us, objects, and the world. The responsibility of the project itself is precisely to identify action between this binomial and our body as a whole experience of space through time.

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# Juxtaposition and layering; the construction of the Moroccan postcolonial urban identity

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**ABSTRACT:** Cities develop through the layering of spatial expressions of successive temporalities. Colonial cities, however, are first constructed through the juxtaposition of different social orders. Then, the tangential development of the two orders leads to the layering of distinct spatial expressions of different, but not necessarily successive, temporalities. This essay explores the case of Moroccan cities where the juxtaposition of Moroccan and European social orders has led to the layering of a complex postcolonial urban identity. Furthermore, it investigates how the relational development of cities over time blurs the lines between different spatial expressions, despite clear physical and cultural distinctions. Ultimately, this essay aims to reconsider the role of spatial-temporal layering in the creation of the urban identity of Moroccan postcolonial cities.

*Keywords:* Colonialism, Identity layering, Morocco, Postcolonial cities, Urban identity

## 1 INTRODUCTION

Cities develop through a chronology of different, sometimes evolving, spatial expressions. Over time, new understandings of space emerge, and new ways of organizing space are enacted. However, the evolution of space does not imply that its past expressions are removed or lost; rather, the dynamic development of cities results in the layering of different spatial temporalities. This, in turn, results in the emergence of new expressions of space next to older ones, and with them, the emergence of new spatial subjectivities, or what Phillips and James (2001) referred to as “ways of being-in-the-world.” As time cannot be bent, divided, or stopped (see Orren and Skowronek, 1996), space does not develop in confined places representing distinguishable periods of time. Urban expressions tend to layer and construct not only complex urban fabrics but also rich arrays of socio-spatial relations that continuously produce and reproduce individual and collective “ways of being-in-the-world.”

For this reason, the history of space can benefit from a renewed focus on the processes of “the production of space” (Lefebvre, 1991) instead of the analysis of physical outcomes. Accordingly, it is particularly helpful to evaluate the history of space in terms of the dynamics between what Lefebvre termed “spaces of representation” referring to the lived experience of the people who produce space, “representations of space”

referring to the way space is imagined and conceived by planners, and “spatial practices” referring to the way space is perceived (Lefebvre, 1991:42). Accordingly, the “production” of colonial cities provides an interesting dynamic because the layering of spatial expressions is imbued with the previous juxtaposition of different socio-spatial cultures.

First, the colonial context entails a conception of space in which the coexistence of two or more inherently different social realities is translated into the juxtaposition of distinct urban orders. The juxtaposition of these social orders then initiates the process of an unavoidable relational development of the two cultures. Because the experience of lived space differs greatly from how it was initially conceived, the tangential development of spatial cultures results in particular spatial practices in which different identities come together in one shared space. Additionally, the implication of a hierarchy between the two sides (colonists on a mission to civilize indigenous populations) gives certain spatial practices an upper hand, forcing the “inferior” culture to adapt socially to the new urban order. This is when the layering begins. New opportunities emerge for both cultures to find ways to appropriate each other’s practices and integrate them into their own “spaces of representation”. To illustrate the sequence of events that leads to the emergence of spatial layering in colonial contexts, this essay follows the process of “production” of the postcolonial Moroccan city.

Moroccan cities developed through the juxtaposition of Moroccan and European social orders. On the one hand, Morocco was home to over 12 centuries of urban history translated into the Medinas, known in the literature as “Arab” or “Islamic” cities. On the other hand, the institution of the French protectorate from 1912 to 1956 has greatly contributed to Moroccan urban history through the creation of so-called European cities. The relational development of the two orders is what created the different layers of the modern-day Moroccan cities. This essay highlights two elements of this relational development that allowed for the layering of the two urban identities. First, it discusses how the introduction of a new conception of socio-spatial ordering contributed to *changes in people’s perception* of the urban phenomenon. Second, it explores how *human mobility* concretized these new perceptions through the physical translocation of people’s “spaces of representation.” To do so, this essay starts by tracing the differentiated urban histories of Morocco before explaining how they merged into one urban order. It then explores the potential of reconciling the Moroccan different and contested pasts into a layered post-colonial urban identity.

## 2 JUXTAPOSING MEDINAS AND EUROPEAN CITIES: SPATIAL EXPRESSIONS OF CONTRASTING TEMPORALITIES

Like most colonial experiences worldwide, French colonialism in Morocco had a deeply rooted civilizing vision. Earlier colonial writings (see Du Vivier, 1932; Laprade, 1932) expressed the idea of exporting a new civilization that would be envied and imitated by local populations (see Bidwell, 2012:7). The most physically tangible expression of this civilizing vision was the creation of new cities to exemplify a “modern, healthy, green, and spacious” urban order (see Gillot, 2014). Accordingly, the institution of the protectorate was the beginning of the development of a new spatial direction and the introduction of a new temporality developing in juxtaposition with the original cities.

The original cities, or Medinas, of Morocco are urban expressions of the evolution of the pre-colonial urban order. Although Medina literally means “city” in Arabic, the protectorate’s planners used the transliterated term of *Médina* to designate the specific areas where Moroccans lived. The urban fabric of Medinas reflected the community’s “mode of being,” wherein each physical element (architectural properties, water supply systems, neighborhood organization, etc.) represented a social meaning for the community that both asserted its respective culture and helped organize its urban experience (Radoine, 2011). Social values around privacy, neighbors’ relations, daily necessities, and so forth

shaped construction norms into a framework of specific urban rules and customs. Consequently, the urban culture of Moroccans was constructed based on the stable expectations of behavior that the physical city enforces. However, in earlier Western literature, Medinas were largely considered as a chaotic form of human settlement (see Eickelman, 1974; Zubaida, 2006). They were perceived by Europeans solely in terms of their material form as a space for indigenous “spatial practices”. Hence, In the eyes of colonizers, such an incomprehensible urban structure could only be acknowledged by the uniqueness of its “traditional” architectural features. Consequently, new development inside the Medina was prohibited to preserve its architectural elements and transform it into a touristic destination (Wright, 1987).

By assigning a new name and a new role to the Moroccan city, the colonial administration embodied Rancière’s (1999:29) definition of “police.” According to Rancière, “policing” is the spatial distribution of people, names, and roles that implicitly defines the occupation and the extent of the influence of each space. This “policing” was possible through first, a legislative framework designed to segregate the two cultures (See Abu-lughod, 2014:174); and second, through the creation of an administrative structure that insured the prohibition of any new development inside Medinas, including one that could be deemed beneficial. It is important to note that this preservation policy was merely concerned with facades and architectural forms and paid little attention to the deteriorating structures of the city (Arrif, 1994). Ultimately, Medinas were locked in time and quickly transformed from vibrant living centers to giant museums.

Next to this traditional order, a new urban order was conceived. The expression of colonial planning was represented in what were then-called European cities. The creation of these cities went through two phases, which Gillot has termed “colonial urbanism” and “urbanism inside colonies” (Gillot, 2014). The first phase was directed by Lyautey, the first resident general in Morocco. His overarching urban policy was based on creating a modern extension of the existing order. Accordingly, indigenous architecture was used as an inspiration to create “*Arabisation*,” a style using the distinct architectural features of Medinas in the facades of “modern” buildings that were created following Western-inspired models of interior design (see Essebbbar, 2020). During this time, European migration was more controlled (Arrif, 1994), which offered ample time to carefully craft new buildings and search for an architectural parallel between Moroccan and Western architecture. While this approach seems like a genuine colonial attempt to consider and build upon the pre-existing cultural context, it is important to highlight that architectural expression is seldom isolated from people’s cultural background. Hence, the Western

appropriation of aesthetic elements of Moroccan culture emptied them of all cultural connotations. Accordingly, what constituted a meaningful production of space in the past was transformed into conceived images and simulations (See Lefebvre, 1991:338). Furthermore, by attributing them to the order of the “modern,” indigenous culture was implicitly divided into what could be useful to “modernity” and what could not. This ultimately supported the new perception that indigenous urban planning systems are incompatible with modern lifestyles.

The “urbanism inside colonies” phase started with the increasing number of migrants (Gillot, 2014). After Medinas were locked out of development, a significant number of Moroccans migrated to the new “modern” cities seeking better economic opportunities. Additionally, many European migrants who fled the war also settled in colonies. Consequently, large-scale rapid construction projects have been enforced to accommodate the increasing number of migrants. During this period, French architects focused on creating large-capacity housing models that could be replicated in all Moroccan cities to accommodate newcomers. During this period, little attention has been paid to the Moroccan urban context. French planners sought to create what Lefebvre termed an “abstract homogenous space” that would *contain* the masses of migrants; however, such spaces are fundamentally conceived through a logic of inclusion and exclusion (Lefebvre, 1991:342). Indeed, in this new “homogenous” setting, Moroccan migrants were placed in settlements created especially for them on the outskirts of cities and were seldom allowed to live with Europeans. Consequently, through the fragmentation of space into two containers of two cultures, the new European city transformed into a means of classification where the center and periphery were not only spatial designations, but also conferred social and economic benefits.

### 3 TANGENTIAL DEVELOPMENT OF THE TWO URBAN ORDERS

Postcolonial cities are proof that the “museumification” of the Medinas did not trap original lifestyles inside its walls any more than building new European cities away from the indigenous cities made them invulnerable to the indigenous culture. The tangential coexistence of the two orders affected their development and, eventually, how they were perceived. From the perspective of Moroccans, the new European settlements were closely linked to better job opportunities and quality of life. Gradually, the new urban order was introduced to Moroccans as a new and better alternative to the pre-existing way of life:

Les milieux Marocains s'imprègnèrent chaque jour davantage de nos idées, de nos exigences sociales et intellectuelles et s'inspirent de plus en

plus de nos techniques [...] Le déséquilibre qui en résulte pour la société Marocaine nous impose l'impérieux devoir de veiller sans relâche à la sauvegarde politique, économique et sociale de nos protégés [...] Il ne s'agit pas pour la France de vouloir en quelque sorte synchroniser brusquement deux civilisations qui ne battent pas au même rythme. Sa mission consiste au contraire à procéder par étapes, à agir avec méthode et prudence et à continuer, dans l'ordre et la paix, et sans renoncer à aucune de ses prérogatives essentielles la grande œuvre franco-Marocaine [...] <sup>1</sup> (Goulven, 1937, as cited in Bidwell, 2012, p. 7)

In an article written in 1963, a few years after independence, Selosse studied how Moroccans living in new cities and Medinas reacted to the “modern” cities. He found that both communities strongly supported the benefits of modernity, including the residents of Medinas, despite the price they had to pay for it (Selosse, 1963, p. 157). This was referred to by Selosse, in the same article, as a process of acculturation, whereby indigenous populations neglect their way of being and venture into an uncertain mix of striving towards the imported culture while despising it at the same time.

Consequently, despite their hostility toward the colonists, Moroccans gradually changed their perspective towards the colonial benefits. They acknowledged the imperative of financial stability and accepted the new European cities as livable cities aligned with their new economic needs. Conversely, Medinas were shackled to the idea of an urban idyll that was no longer functional, but still painted the image of a fantasized space, invoking feelings of yearning and nostalgia. In other words, Moroccans gradually adopted the colonial “representations of space” at the expense of their own “spaces of representation.”

Human mobility is also an important element in the tangential development of these two spatial orders because it allowed aspects of both cultures to interpenetrate the two urban expressions. In their study of the layered identities of populations of Central Asia, Philips and James (2001) alluded to the idea of “psychological space,” and argued that people

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1. The Moroccan milieu become every day increasingly infused with our ideas, our social and intellectual requirements and are more and more inspired by our techniques. [...] The resulting imbalance for Moroccan society imposes on us the imperative duty of tirelessly ensuring the political, economic, and social protection of our proteges. [...] It is not for France to somehow want to suddenly synchronize two civilizations that do not beat at the same rhythm. Its mission, on the contrary, consists in proceeding in stages, acting with method and prudence and continuing, in order and peace, and without renouncing any of its essential prerogatives; the great Franco-Moroccan oeuvre [...] (translation by authors).

are willing to travel long physical distances to protect their psychological spaces. This is also true in the case of Morocco, where people transported their psychological space and adapted it to the physical European space. A concrete example of the adaptation of the colonial space is the Semiramis buildings in the Moroccan city of Casablanca (Figure 1).

These buildings were built between 1951 and 1954, and they represented an attempt made by the architects from ATBAT Afrique, a multidisciplinary construction research center, to create “modern” buildings to house the largest number of Moroccan migrants possible. The design of the buildings itself was an attempt to adapt the residential units to indigenous culture by introducing the patio, a central element of housing in Medinas (see Sedreddine & Kharmich, 2020). However, patios were far from being the only element of people’s psychological space. Consequently, through years of living inside these buildings, the residents added missing layers to their identities.

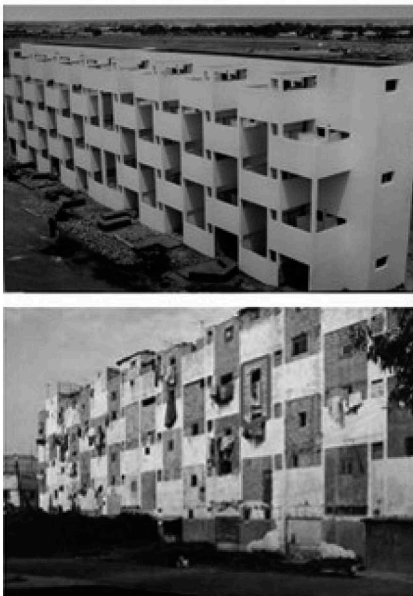


Figure 1. A Semiramis building after it was constructed (top) and after it was appropriated by the population (bottom). Sources: top picture (Association de sauvegarde du patrimoine architectural du XXe siècle au Maroc, 2010); bottom picture (Sedreddine & Kharmich, 2020).

By constructing or removing walls wherever needed, they recreated their psychological space within the limits of the physical space given to them. Consequently, the people were unconsciously transforming the building into a stage of resistance through the production and reproduction of their

own lived space. The different layers of Semiramis buildings, visible through patches of different colors and materials, stand today to represent the merging of the different spatial expressions of different temporalities, peoples, and cultures.

Over time, the traditional perceptions of space and how it should be appropriated have been impacted by the development of a new order that seemingly yielded more benefits. Accordingly, existing social and cultural constraints were weakened, creating an opportunity for a new way of perceiving colonial phenomena as a potentially lucrative urban alternative. This opportunity grew as more Moroccans migrated to European cities. However, economic benefits can hardly help overcome hostile feelings toward colonial rule. Reconciling the different layers of the Moroccan urban identity requires a re-evaluation of the postcolonial path of development.

#### 4 POSTCOLONIAL ORDER: LAYERING OF SPATIAL CULTURES

Literature on colonial contexts seldom dwells on the chosen path of development after independence. As colonial institutions can offer a “better” and “modern” alternative for progress, the colonial path of development in general, and urban development in particular, seems to be the obvious choice. In the case of Morocco, Medinas were seen as aesthetic relics, and “modern” cities seemed to be the only way forward. However, it is important to examine what makes this choice so obvious, considering that, after independence, most former colonies have very limited resources to uphold the Western ideal of state-building.

The creation of new European cities and the redefinition of urban reality in the eyes of Moroccan populations can be considered—to use historical institutionalist vocabulary—a critical juncture which induced a chain of events that redefined the urban order. Critical junctures are events (relatively short in time) that weaken the previous institutional order and create the opportunity for the creation of a new system (Thelen, 1999). According to Soifer (2012), when talking about critical junctures, it is important to distinguish between what he termed “permissive” and “productive” conditions. Permissive conditions refer to the aspects of critical junctures that spark change, whereas productive conditions create the necessary setting for the reproduction of the new status quo (Soifer, 2012). Furthermore, Soifer (2012) argues that the identification of the productive conditions of critical junctures helps to understand how new institutions of meaning persist even after the critical juncture comes to an end.

In Morocco, the productive conditions of colonialism have contributed to maintaining the relevance of the colonial path of urban development after independence. For instance, presenting the “modern” city as a way to economic security favored the colonial urban path over any other. Additionally, reducing Medinas to what they offered in terms of aesthetics eliminated the potential for any revival of the original urban order. Ultimately, the postcolonial Moroccan urban identity was imbued with nostalgic images of a glorious Medina; however, concerns about functionality and economic stability were still acknowledged. Therefore, the balance that allowed both the images to layer was found through the appropriation of European urban expressions as a physical frame for a social order that is more in line with their traditional culture. This resulted in the new cities ceasing to be European and gradually becoming simply cities.

The layering of the two orders was concretized in how Moroccans appropriated urban spaces. Many authors have approached this topic from various perspectives. For instance, Abouhane (2009) explored how people’s spontaneous urban practices are contrary to the standardizing character of the colonial legacies in Moroccan urban regulations. Chafai (2017) explained how the perceptions of women in traditional rural areas travelled from those areas and were translated into different practices within the city. Hassa (2012) approached cities from a linguistic perspective by analyzing planning language in Moroccan cities to unpack the linguistic aspect of postcolonial urban space appropriation by Moroccans. Additionally, for city-specific examples, Wagner and Minca (2012) focused on the Moroccan city of Marrakesh to unravel how different European and Moroccan subjectivities have been negotiated and expressed through mobility and tourism. Similarly, Findlay, Findlay, and Paddison (1984) used Rabat’s example to bring out the aspects of the colonial urban and social orders that outlived the end of the protectorate.

Through these aspects and others, the European-inspired physical frame of space was filled with practices that reflected local cultures. The result was the layering of different spatial subjectivities that continue to animate the production and reproduction of Moroccan postcolonial space.

## 5 CONCLUSION: TOWARDS EMBRACING A LAYERED URBAN IDENTITY

To unravel the complexity of postcolonial urban contexts, more academic attention must be given to the processes of the production of space during colonial times. While colonists, at least in the case of Morocco, considered space to be passive vis-à-vis their interventions, it is important to reevaluate the

role of the active production of space in creating the different layers of the postcolonial urban identity. Accordingly, an attempt to recreate a postcolonial urban identity with which Moroccans can identify must be supported by an effort to unravel the different layers of the postcolonial urban order.

Throughout the colonial experience, Moroccan cities were the stage of contrasting spatial practices designed to develop in isolation from one another. However, as time passed, the active production of space allowed the inherently different spatial identities to layer and converge into one urban culture. Moroccan cities continue to navigate through their differentiated pasts by adding missing spaces and creating new layers of identity. However, even after decades of independence, Moroccan society seems far from appropriating and embracing the European layers of its urban identity. Ultimately, claiming certain spatial expressions should follow a reclamation of the time to which they belong. Hence, claiming Moroccan cities with their rich array of different identities must start with reclaiming the time during which they were European.

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# Investigating the formation of inner-city complexes and identity of urban space; Kerman Bazaar case study

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**ABSTRACT:** As bodies of historical districts of Iranian cities became coordinated through historical, cultural, economic, social, and environmental continuum, they gathered a special character and identity. Those features diminished at some point in time due to various changes and because of thoughtless imitations of Western manifestations in urban planning patterns, in most cases are incompatible with the original Iranian identity. Cultural continuity is possible by recognizing the concepts and principles of organizing urban spaces in the historical cities of Iran and applying them in the design of new urban spaces, to bring identity and originality back to the local society. Kerman historical bazaar, originating about 6 centuries ago, is the longest historical bazaar in Iran. This study analyzes the historical district of Kerman Bazaar by recognizing the nature of its identity through phenomenological approach, examining the initial nucleus of the formation and its changes in time. The results indicate that the formation nucleus of the bazaar was north-south Kerman and the importance of the east-west sections of the bazaar were increasing over time because of the erection of the Grand Mosque and the Rayen Citadel. The spatial identity in the urban space of the bazaar evolved. Over time, the concepts about its form, function, and semantics, led to functional continuation of the bazaar spaces network, so that now it witnesses everyday presence of different social groups and continues its vivid economic life.

**Keywords:** Historical bazaars, Organic growth, Morphology, Heritage of Iran

## 1 INTRODUCTION

Urban identity is a collective identity manifested in the body and meaning of the city and it evokes a sense of belonging to the place through association of collective memories. Undoubtedly, the important reasons for ineffective identity creation and safeguarding in historical cities of Iran can be missing sources for theoretical discussions about identity of the chosen city and lack of urban space organization principles (Pardakhti and Mehari 2019). Bazaar, as one of the most important elements of historical cities of Iran, is a fruitful term that contains many meanings in Persian language. The bazaar involved not only economic activities, but also social, cultural, educational, religious, political, service and entertainment functions throughout history (Tournois and Rollero 2020); it also evokes lifestyle, class, and is a symbol of community in the city (Staggered, Cross-border, and Sharifinejad 1392).

History shows that commercial centers have undergone changes throughout time in their function and physical appearance (Meloni, Fornara, and Carrus 2019). Kerman urban complexes from the

Safavid era (early 16th century) onwards have all been built in connection with the bazaar, which clearly indicates the value of this urban element. Each of the neighboring complexes: Qalae-Mahmud Bazaar (1100 AD), Ganj Ali Khan (1629 to 1651 AD), Ibrahim Khan (1840 to 1862 AD), Vakil (1904 AD) and Haj Agha Ali (late 20th century AD) have their own unique personalities and spatial features (Yaldız, Aydın, and Sıramkaya 2014). The existence of those, each of which was built in a different period, has turned Kerman Bazaar into a museum of history, displaying the architectural changes of the city in different post-Islamic periods (Torabi and Sima 2015).

## 2 EVOLUTION OF IDENTITY THROUGH TIME

According to Adler, Horney, and Murphy, individual identity is formed through interaction with others during the child's mental development (Velashani et al. 2015). Individual features of a person and features of their community and living environment are also involved in formation of identity (Alaa Marandi



and Ali Ferdowsi 2010). However, as Jung puts it, the self is a central point of a personality around which all the other systems orbit like moons, and it is self that brings the personality to balance and stability. In response to a set of human biological needs, a suitable and favorable environment can support development of skills. Urban spaces are places that belong to the general public, are not limited to physical aspect, and find meaning with presence of people and their activity (Torabi and Sima 2015). Koolhoven defines the term urban space in two ways: social and constructed space (artefact). This way the tangible and intangible factors coexist in the human built environment, creating unique identities mirroring personalities of users (Yaldız et al. 2014).

### 3 EMERGENCE OF THE BAZAAR CONCEPT

The bazaar can be seen as a meeting spot for buyers and sellers, a space of direct and indirect relationship between supply and demand (Velashani et al. 2015). It is based on the principle of exchanging goods and meeting needs of people. When humans, following the evolution of agricultural production methods and handicrafts, succeeded in producing more product than they needed, they thought of exchanging generated products (Arslan 2015). It was from this time that the need for exchange arose in societies, and accordingly, a special place was created to conduct and maintain those actions. The concept of bazaar at this time was similar to the concept of fair. Most of bazaars were temporary stalls, set up in outdoors near villages or in areas that were local gathering centers. From this time, the bazaar phenomenon has been formed in societies (Pan et al. 2019). These service centers were built in the form of simple squares near the main roads (Haghighparast, Asefi, and Abizadeh 2019).

### 4 FORMATION AND DEVELOPMENT OF KERMAN BAZAAR

The Kerman Bazaar formed on the north-south road of Khorasan, which passed through the west part of the city (Alvarez et al. 2021). Until XIV AD new neighborhoods were developed next to the bazaar facing north. In XV AD., as the city expanded, the bazaar shifted eastwards, and its east-west section began to grow. The Ganj Ali Khan complex was built in the center of the city in the XVIII century AD., coinciding with the Safavid rule and economic prosperity of Kerman (due to the existing peace and security). It was placed at the intersection of the old bazaar axis and the new east-west axis. The location of this complex next to the old bazaar indicates the gradual importance of the east-west bazaar (Gilandeh 2020). However, it is not correct to think that the formation

of the east-west part coincided with the construction of the Ganj Ali Khan complex, because when referring to the purchase of houses for constructing this complex, the Ektara Bazaar is mentioned, which is part of the east-west bazaar. In other words, it is almost certain that the east-west bazaar was built before this period, but until then it has been less important than the north-south one. From this period onwards, the role of both of them gradually switched and the importance of the east-west bazaar increased (Pardakhti and Mejeri 2019). This can be seen in its emphasized enclosings: Ganj Ali Khan complex in the west and the Mozaffari Grand Mosque in the east (Ali Sharqi 2018).



Figure 1. Location of Kerman province on The Map of Iran, Source: Iran National Cartographic Centre.

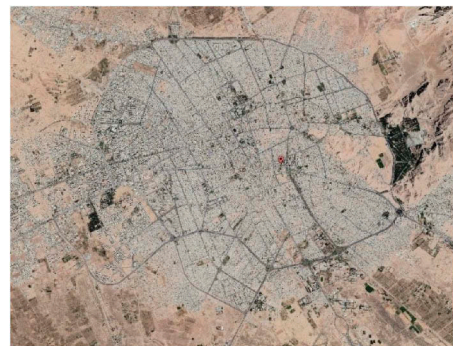


Figure 2. Kerman Aerial Photo, Source: Iran National Cartographic Centre.

### 5 THE PRIMARY NUCLEUS OF KERMAN BAZAAR FORMATION: NORTH-SOUTH BAZAAR AND ITS ELEMENTS

#### 5.1 North-south bazaar

Primary bazaar of Kerman located along the trade roads of silk and spices, today has largely lost its integrity, continuity and prosperity with the transfer

of most of its role to the east-west section. The southern part of the Kerman Bazaar starts from the southern gate of the city, Rig Abad Gate, and extends to Char Souq at the center of the bazaar. This bazaar is in the oldest neighborhood of Kerman: Shah Adel neighborhood. In some parts, it dates back to about 1000 years ago. About 30 years ago, with the construction of Malek Street, the section was divided into two halves and gradually lost its former prosperity. These two halves of the bazaar from the Char Souq to the gate include:

A. Meydan-Qala Bazaar;

B. Ghale Mahmoud Bazaar: the first part of the north-south bazaars. The first part of this bazaar is known as Rig Abad Gate. Northern direction of this section is along the road that starts from the northern gate of the city (Khorasan Gate) and ends at Char-souq, and from there extends to the southern section (Alaa Marandi and Ali Ferdowsi 2010).

The Aziz Bazaar starts from the north gate of Kerman (Khorasan Gate). The remnants of more than 30 abandoned shops with mostly collapsed roofs reminiscent a thriving exchange spot that has existed here in the past. One of the main reasons for decline of this bazaar has been the construction of Shariati Street that cut off the Aziz Bazaar like a branch of a tree (Changizi and Ahmadian 2019).

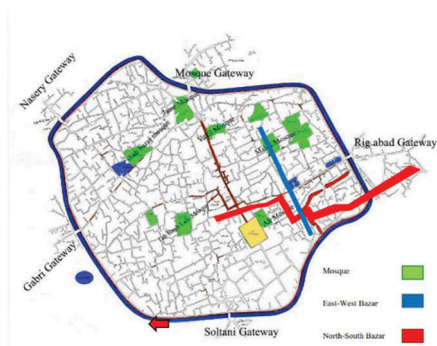


Figure 3. Location of North-South and East-West bazaars and mosques on the historical map of Kerman, Source: authors.

## 5.2 East-west bazaar

Enclosed by Arg Gate and the Grand Mosque, with a length of about one kilometer, the bazaar divided the city into two parts: northern and southern. Its oldest part, which starts in front of the Grand Mosque, is known as Mozaffari Bazaar. It used to be a square for greengrocers and villagers who brought their goods and sold them on Saturdays. Most of these bazaars have been built in different historical periods from the Safavid period onwards, along the east-west axis between two gates and two important nuclei of the city, that is Grand Mosque and the

Rayen Citadel (Gilandeh 2020). With the emphasis on regional and urban role of Kerman Bazaar in contrast to its commercial role, the old bazaar has gradually transferred its role through time (Changizi and Ahmadian 2019). The parts of the Bazaar on East-West axis are:

A. Mozaffari Bazaar Complex – located next to the Grand Mosque. This complex, consisting of an ab anbar, a mosque, a school, a tekye and a bazaar. Built by Mubarak al-Din Mohammad Muzaffar in 1372 AD. on remains of old ruins in the old city center. Elements of the complex include:

- Mozaffari Bazaar – leading from west to east after Vakil Bazaar. It has both indoor and outdoor areas and is about 500 meters long. Most of its chambers on the south side are endowments of the Grand Mosque. It used to be a greengrocer market and, later in the late Zandieh period, buildings were built on both sides of it, all of which are endowed. Mozaffari Bazaar extends to the outdoor part and from this part onwards, Meidan Mozaffari Bazaar begins.

Meidan Mozaffari Bazaar – called Meidan because it functioned as a grocery market. Located next to Mozaffari Gate it is a place for caravans and goods entering the city, being the last part of the bazaar. Ghadmagah Bazaar, Attari Bazaar, Grand Mosque and Gharakhaneh Tekyeh are located there.

B. Ekhtiari Bazaar – narrow space which can be considered one of the oldest parts of the bazaar. Ganj Ali Khan Bazaar existed before its construction and Ekhtiari Bazaar was also mentioned in Ganj Ali Khan's endowment letter. The importance of this market is in its position between the two bazaars and the Ganj Ali Khan and Vakil complexes, making it the transit and connection space. The most important parts of the Ekhtiari Bazaar are Shafieh Theological School, Saraye Golshan, Saraye Sardar and its bazaar attributed to Sardar Nosrat, and Mahmoudieh Timcheh.

C. Ganj Ali Khan Bazaar Complex – constructed from 1627 to 1656 AD and named after the ruler of Kerman. By the order of Shah Abbas, Ganj Ali Khan built an excellent bazaar, along with an elevated Charsouq and a large bath, with a square, a school, a mint and several mosques, along with a very large ab anbar designed by architects Yazdi and Isfahani. There are a total of 75 shops on both sides of Ganj Ali Khan Bazaar, all of which were funded by Astan Quds Razavi. There is also an aqueduct.

D. Vakil Complex and Bazaar – including a mosque, a bazaar, a bath, and a caravanserai (place where merchants stayed). Named after its founders, Mohammad Ismail Khan and Morteza Qoli Khan – both nicknamed Vakil al-Mulk. The construction finished in 1909 AD. Kerman Vakil Bazaar has a strong importance due to its greatness and longevity, therefore some people refer to the whole historical bazaar of Kerman as “Vakil”. The most important elements

of this bazaar are the Vakil Bath, the Vakil Caravanserai, the Vakil Mosque, the Ab Anbar and two Qeisariehs.

E. The Ibrahim Khan Complex and Bazaar – Ibrahim Khan (Zahir al-Dawla) became the ruler of Kerman in 1903 AD. during the reign of Fath Ali Shah Qajar. Ibrahim Khan Complex includes the bazaar (Qeisarieh), a school, a caravanserai, a bath and an ab anbar and was built around 1862 AD. Ait is the most prestigious part of the northern part of the analyzed urban plan(Alaa Marandi and Ali Ferdowsi 2010).

F. Haj Agha Ali Complex and Bazaar – part of the bazaar once known as Ahangari Bazaar because of blacksmiths residing there. Nowadays, since this activity died out in the analyzed area, most of its shops are closed or turned into haberdashers' stores. This complex was built by Haj Agha Ali, the great merchant of Rafsanjan, during the reign of Nasser al-Din Shah Qajar, and contains: the bazaar, the caravanserai, the Chehelston Mosque, the Ab Anbar, the Masoumiyah and Salehi Theological Schools and the small mosque of Hazrat Ayatollah Salehi (Kafashan).

G. Sardar Saray and Bazaar – part with a caravanserai and three parallel interconnected bazaar sections that have branched off from the Ekhtiari Bazaar and is attributed to Sardar Nusrat (ruler of the city around XIII century). Its urban plan and architecture are related to the late Qajar period. Sardar Caravanserai is nowadays used as a warehouse, although the bazaars are still open and relatively prosperous. In this complex decorative application of tiles and bricks along can be observed. Various combinations of finishes, even on roof surfaces, accents the authenticity of forms even though their use changed with time passing by Iran.

H. Hayati School – one of the valuable buildings of the Qajar period which used to be a bank and later on a school. Nowadays is used as a museum.

I. Naqarkhaneh Bazaar – space originating in late Qajar period with length of about 52 meters, decorated with tiled roof and headboard.

J. Seraji Bazaar – connecting Naqarkhaneh Bazaar to Charsouq. Approximately 250 meters long, it used to be a place for saddlers and suitcase makers. Nowadays place of copper industry.

K. Mirza Alinaghi Caravanserai – small two floors building, which is also called Mirza Alinaghi Timcheh. Built in the south side of Vakil Bazaar, it is more than 100 years old and has approximately 35 chambers. Today its unused and in bad condition.

L. Agha Gholam-Ali Bazaar and Mosque – small square and a mosque funded by Agha Gholam-Ali, being the oldest element in the bazaar and the Vakil complex with construction dating back to early XII century.

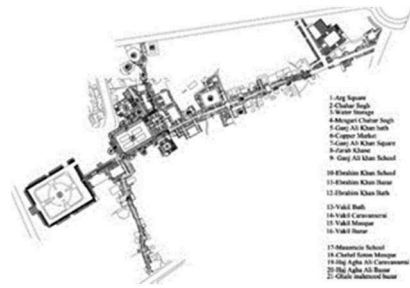


Figure 4. Detail location of Kerman market complexes, Source: authors.

## 6 SHAPING FACTORS OF PLACE IDENTITY IN KERMAN BAZAAR

### 6.1 Characteristics of the form

Urban space is composed of various components coming from broad timeline and expressing changing needs of its users. What makes the space perceived as a coherent whole in the audience's mind is the regulatory system(Meloni et al. 2019). By this common regulatory system, the spatial relationship between individual components with each other and with their surroundings is determined. As Grutter says, there is always a minimum of correlation between the components, that is, a certain level of unity(Alvarez et al. 2021)(Salameh et al. 2022). If not, what emerges is no longer whole, but only chaos.

Features of the place in the context of the historical bazaar of Kerman that led the audience of the urban space towards the perception of spatial order are: readable symmetry, balance of proportions, simplicity of forms, consistency of rhythms and color compositions.

Kerman Bazaar because of its features can be seen as continuity of traditional Iranian urban spaces. The formal coordination along the bazaar is quite evident(Yaldiz et al. 2014). The reason for using the arch form in the desert cities of Iran is the lack of construction materials like wood that could withstand the tensile load. Although the reason for using this form was structural, its softness and beauty have turned the arch into a functional and at the same time decorative form, distinctive for the analyzed region. Repetition of arched form in several small and large modules throughout the bazaar has helped to create a space regulatory system and led to a greater understanding and transparency of its spatial order. Another factor emphasizing continuity of these spaces is predominance of the soil and thatch colors, as well as bricks, which combined with blue glaze of the tiles has created landmark urban spaces. Maintaining symmetry and balance of the wall's proportions in Iranian urban spaces and using regular and continuous rhythm are other important factors evoking the unity of the space.

## 6.2 Spatial diversity

The quality of spatial diversity comes into play in traditional Iranian urban spaces generating balance between closed and open spaces, creating gradation of public and private areas. Spatial diversity reduces the uniformity of urban space, forms mental images with new meanings and awakens conscious perception of the surroundings. On the other hand, the traditional Iranian regulatory system preserves both unity and plurality, and thus the space finds its unique identity (Lin et al. 2022).

The spatial diversity features in the context of Kerman historical bazaar are: contrast of enclosed and open areas, spatial hierarchy, gradation of decorations and variety of materials placing emphasis on chosen spots.

The contrasting spaces of Kerman Bazaar reduce the uniformity of the connecting zones. The widening and narrowing of the indoor and outdoor areas are a special feature in desert cities because of the need of shadow provision. Moreover, the difference in confining in terms of scale and proportion of the details intensified the contrast in some spaces (Alaa Marandi and Ali Ferdowsi 2010). Also, the spatial hierarchy is well evident in complexes of Kerman Bazaar. It can be seen on the one hand in definition of moving, stopping and resting spaces and on the other hand in defining outdoor spaces such as squares and Qeisariehs, semi-outdoor spaces such as porticos and indoor spaces as the covered bazaar sections. Decoration and engraving have played a vital role in the creativity of the Iranian architecture. Through history Iranian architects seriously focused on pattern and paid attention to details, which can be seen at the Kerman Bazaar. In the design of this urban space, decorations have been used in functional way as landmarks and as purely aesthetic forms of expression.



Figure 5. Spatial diversity in Kerman Bazar spaces, Source: Authors.

Geometric designs, calligraphic compositions, tiled walls are also a representation of historical, traditional and visual symbols, and an invitation to travel freely through time. In the design of Kerman Bazaar, bricks, tiles and plaster have been used in addition to that. The wide specter of brick use, such as various types of brickwork, decorative knots, contrasting textures, hollow and embossed

designs have been used throughout the bazaar space. Bright tones, vivid turquoise backgrounds, arabesques, ivy and flower patterns and calligraphic combinations have given a special beauty to the area. In addition, the innovative stucco used in entrances of public buildings has had a unifying effect on the bazaar complex and shows the impeccable skills of its builders. Optimal harmony, created by proportions and colors is pleasing to human eye and blends into the environment (Changizi and Ahmadian 2019).

## 6.3 Symbol definition

In the appearance of Kerman Bazaar complex, symbolic elements have an important role in authenticating the historical urban spaces. Symbols widely used in Iranian architecture of the region such as wind catchers, minarets, clocks, domes, etc. help to form mental map of the surroundings and increase their legibility (Changizi and Ahmadian 2019).



Figure 6. Overview of Kerman Bazar spaces, Source: Authors.

## 6.4 Human scale

Appropriate for human proportions of the space create a feeling of peace in the observer's mind. If the size of a space is proportional to the human body, the space can be described as having a human scale (Lak and Hakimian 2019). Although the ratio of the enclosing wall of the bazaar to the width of the space is approximately two to one, the audience does not feel the narrowness of the area, because average width of the pedestrian area is five meters. Secondly, the bazaar is a sequence of wide spaces such as squares, Charsouqs and Qeisariehs connected by narrow passages. On the other hand, as Tavassoli pointed out, the Iranian observer is more accustomed to the enclosed space than the Western observer due to climatic and cultural conditions (Torabi and Sima 2015). Narrow space in sunny weather of Iran is shadier and on the other hand more secure, creating less aristocratic, intimate atmosphere.

### 6.5 Semantic dimensions of the space

A vital urban space is rich in connotations and meanings, generating atmosphere of belonging, which distinguishes it from other zones. According to Lynch, a meaning is a feature of environment that can facilitate connections in life (Riza, Doratli, and Fasli 2012). The historical background of Kerman Bazaar, its spatial order and diversity, the unique Iranian architecture, have made the properties of the space compatible with the intangible values of Iranian people rooted in their culture and tradition. Therefore, local people identify with this urban area. Also the sensory richness leads to more advanced perception of the environment (dabiri and zare 2021). Smell of products, variety of surfaces to touch, acoustics of enclosed and open spaces, shadow play on forms and materials provide diverse experiences to the visitors.

The Kerman Bazaar through its continuous economic life is a form of tangible space fitting elusive collective memories that are valuable assets of culture and boost the feeling of belonging and identification with the local society and culture (Lak and Hakimian 2019).



Figure 7. Dimensions and accenting function and rank of the space, Source: Authors.

### 6.6 Social dimensions

Understanding the relationship between community and the environment is key in urban design (Bibri and Krogstie 2017). Kerman Bazaar is a multi-purpose space that hosts variety of daily life activities (Lin et al. 2022). Due to its climatic conditions, the bazaar space allows long stays, keeping it vigorous during hot summer days and cold winter nights. Since this urban area is in harmony with individual and group behavioral patterns, it creates a sense of attachment (Lewicka 2008) encouraging social relations and activities. The bazaar is a zone of public life (Heidary and Minoe 2020): conversations, gatherings, demonstrations, national and religious celebrations. Climate comfort, spaces for sitting and social interactions, activity during day and night hours have turned the bazaar to common ground allowing interaction between individuals and larger community (Casakin, Hernández, and Ruiz 2015).

## 7 CONCLUSIONS

Identity of a place is perceived through relationship between human subjectivity, influenced by characteristics and needs on an individual, and objectivity of the urban space, made of three dimensions: form, semantics and society. According to theories of environmental psychology, just as the human subjectivity affects how one perceives place, so does human behavior and emotions are affected by physical environment. Therefore, the connection between human and place identities is a two-way relation, fluctuating in time. This is where the importance of local identity comes into play. Although the identity of the city itself is a result of the culture of its citizens, it also affects the process of creating robust bonds with the society and identification with the environment.

In principle, given the multifaceted dimensions of the Iranian city's identity, it is necessary to implement a comprehensive systematic approach, in which all dimensions are considered together. Therefore, place features that lead us to understand the identity of the Kerman bazaar were studied in three dimensions: form, semantics and society, with the emphasis on their overlapping qualities.

The clearer the connection between these principles, the greater the observer's intuition of the place, and thus better the possibility of explaining the meaning of the place to him. The formation of a significant relationship between the person and the urban zone, as observed in historical part of Kerman bazaar, can lead to strengthening the bonds with local identity and maintenance of spatial authenticity fitting the needs of communities.

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# The “Integral Design” as a tool for the development of internal areas; a comparison with the fascist “agricultural colonization”

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**ABSTRACT:** The abandonment of internal areas is a relevant issue for the Italian national system because of the vastness of the areas involved and the many economic and environmental implications. With the pandemic crisis and the subsequent economic crisis of recent years, the repopulation of small villages has emerged as an alternative model to that of large cities. This process, almost only connected to a residential repopulation, is, in reality, a transitory phenomenon and, above all, deleterious to the reactivation of these territories. The recent update of the National Strategy for Inner Areas has, in fact, highlighted the need for a ‘place-based approach’ aimed at the activation of new economic processes to accompany the housing ones. The war crisis between Russia and Ukraine, on the other hand, has brought to the forefront the issue of Europe’s and Italy’s lack of energy and food self-sufficiency, reminding us that these territories are wasting resources that are fundamental for the growth of our countries. All this leads to affirming the need for an “integral design” of the entire national territory that leads to rebuilding the links between cities and peripheral territories. This reflection, already activated in the past with the policy of the “integral reclamation” and the “agricultural colonization” of the fascist period can become, today, fundamental for the start of a design of the physical and not only economic space of the country and for the activation of new processes of integrated design of the inner territories.

**Keywords:** Integral design, Internal areas, Energy and food crisis, Integral reclamation, Agricultural colonization

## 1 INTRODUCTION: THE CRISIS OF INTERNAL AREAS IN THE ITALIAN NATIONAL CONTEXT

In the last twenty years, the phenomenon of depopulation, abandonment, and decline of small towns in internal European and Italian areas, in particular, has taken on considerable dimensions, with a significant impact on the communities involved in terms of isolation and lack of services (including primary), on the management and preservation of their significant historical - architectural, landscape and cultural heritage, on the management of environmental risk related to the lack of maintenance of the landscape and, not least, on the loss of productivity and economic sustainability of the areas involved. (De Rossi, 2018; DPS, 2013: 14-16). In the national framework, we understand internal areas to be those portions of the Italian territory characterized by a significant distance from the centers offering essential services (ACT, 2022a; DPC, 2020a:3-20). These are, today, 3,834 municipalities, almost half of all Italian municipalities (7,903), of which 1,906

belong to the “peripheral” or “ultra-peripheral” typology (DPC, 2020a: 16), and a population of 13.5 million inhabitants (22.7% of the Italian population) who live in about 60% of the national territory.

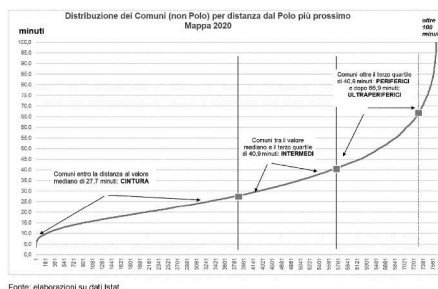


Figure 1. Classification of the Italian belt, intermediate, peripheral, and ultra-peripheral centers based on the discomfort in using services determined by the distances from the urban polarities of reference and related to the travel time to reach them. (DPC, 2020a: 20).



The negative consequences of this decline go far beyond the equilibrium of the specific territories affected by this diaspora. The abandonment and progressive reduction of the agricultural, forestry, and pastoral production capacity of these territories significantly increases the demographic emptying and the dependence on the importation of food and raw materials. This causes an increase in transport, traffic, pollution, and food costs for citizens but also a progressive increase in demographic pressure on urban macro-agglomerations and a further increase in their crisis from hypertrophy (congestion, pollution, reduction of quality of life and services, ...). Not least is the risk of hydrogeological and environmental disruption of the landscape due to lack of maintenance, with considerable environmental effects also on the plains and urban areas (floods, landslides, loss of biodiversity, ...).

### 1.1 The altering effects of the pandemic

A comparison between the 2014 surveys and the latest 2020 updates reported by the Department for Cohesion Policies (DPC, 2020a) shows an emerging trend toward urban depolarization of some territories. In fact, there has been a shift from 339 municipalities classified as Poles and Intermunicipal Poles in 2014 to 241 in 2020 and from a total population resident here of about 24.3 million in 2014 to one of 22 million in 2020 (DPC, 2020a: 6; 10-11).

In reality, this phenomenon does not seem to produce a real advantage for the internal areas. The contraction in the number of Poles and inter-municipal Poles is offset by an increase in the number of belt municipalities (+9.1%), which rose from 3,509 to 3,828, and an important reduction (-16%) in the number of intermediate municipalities, which fall from 2,288 to 1,928. However, there is also an overall increase in peripheral and ultra-peripheral municipalities (+7.9%), which move from 1,767 to 1,906.

The increase in peripheralization conditions involving new territories highlights their substantial lack of infrastructural and socio-economic growth. At the same time, the increase in the population surveyed in these areas (which goes from 4,2 million in 2014 to 5,4 in 2020) (DPC, 2020a: 7,15), while justified by the increase in territorial extension, when compared to the decline in the Italian population in the same reference period (which goes from 60,345,917 inhabitants in 2014 to 59,236,213 in 2020) (DPC, 2020a: 7), leads us to justify, in small part, the change in living patterns imposed by the health crisis that began in 2019 (Marson & Tarpino, 2020) and the partial abandonment, especially for those who owned second homes of the most densely populated urban areas.

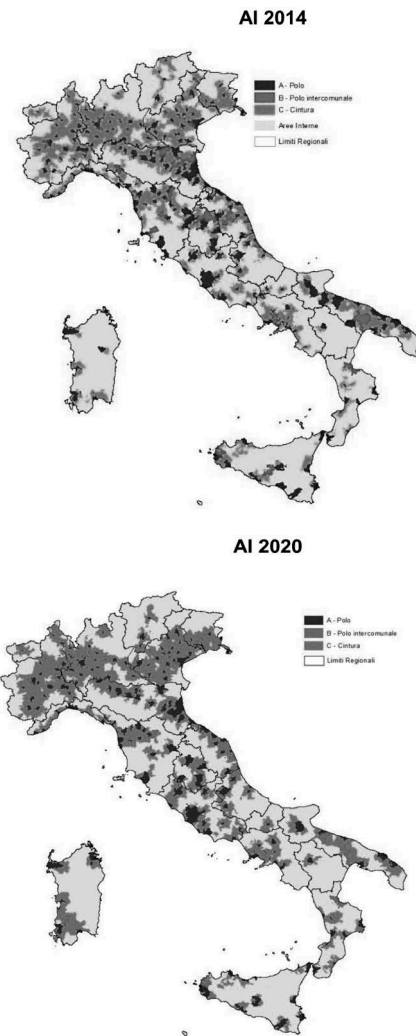


Figure 2. Distribution of poles, inter-municipal poles, and urban belt areas from 2014 to 2020. (DPC, 2020a: 23 e 27).

The phenomenon of partial repopulation of villages, often linked to processes of temporary transfer (of 2-3 years) of residence at second homes, also highlights a trend that has little to do with the real problem of repopulation of internal areas (De Rossi, 2018) and risks increasing the phenomena of consumption of places worsening the conditions of peripheralization of these territories. Compared to these transitional processes, it is necessary instead to affirm, as Marrocco argues (Marrocco, 2020), a real project of (re)-construction of the habitability of peripheral places. Therefore, it is a mistake to address this issue as a problem of loss of identity and historical heritage only. The restoration of the identity of places does not promise habitability but inevitably leads to a very costly and often socially unsustainable musealization

and Disneyfication of territories that certainly does not resolve their condition of peripheralization and, over time, risks erasing them permanently.

### 1.2 *The national strategy for internal areas and the limits of local development*

To address the issue of structural (economic and together social) recovery of the country’s internal areas in the 2014-2020 programming period, Italy implemented an integrated policy called the National Strategy for Internal Areas (SNAI) (DPS, 2013). The aim was to create jobs, strengthen territorial infrastructure (especially health) and promote social inclusion to encourage national demographic rebalancing and reverse the processes of population aging and demographic depopulation of internal areas.

The SNAI 2021-2027, after having proceeded to the identification, at the national level, of 72 pilot sites (DPC, 2020b), now aims at the activation of experimental projects that, using a ‘place-based approach,’ can lead to a reactivation of local processes to be replicated methodologically in other territorial contexts according to a scalar logic.



Figure 3. The 72 project areas selected under the SNAI pilot interventions. Source: Comitato Tecnico Aree Interne, 2019.

This approach, based on the European experiences of Local Action Plans (LAPs) (Coronato, 2016), starts from the identification of specific “context scenarios” to reach the definition of a “Territorial Vision” of the identified homogeneous area (ACT, 2022b; DPS, 2013: 16-19). This vision is subsequently pursued through the tool of Community Led Local Development (CLLD) (Coronato, 2016), which involves:

- ❖ A Multilevel Governance made up of different institutional actors working in a network with local, regional, and national stakeholders.
- ❖ A local partnership of mayors who share and apply in a uniform and consistent manner a single local strategy, with the support of national taskforces of experts.
- ❖ A multi-fund approach in which the overall territorial vision is broken down and oriented towards dedicated and sectoral financial flows and where projects for services (schools, mobility, health) can be covered by the national funds of the “stability law” and local development projects by EU structural funds (ESF, ERDF, EARF).
- ❖ A participatory approach to territorial planning and consultation: with the search for projects and the involvement of innovative players to avoid phenomena of “path dependence” and the consequent blocking of territorial transformation processes.

This approach, widely tested at the European level and effective in reactivating local processes, can hardly produce a systemic effect at the national level. Although the need to accompany local development through a national sector strategy has been voiced many times (DPS, 2013: 18-20), what really seems to miss in this vision is precisely the location of the internal areas within a broader vision, both physical and structural, that does not concern only the internal areas but the entire balance of the country’s resources.

## 2 HISTORICAL CONJUNCTURES AND THE NEED FOR AN INTEGRAL DESIGN OF THE NATIONAL TERRITORY

The pandemic of 2019, the global economic crisis that began in 2020, and especially the most recent energy and food crisis resulting from the war between Russia and Ukraine in March 2022 have plunged the European and especially national territory to the need to rethink their models of socio-economic development and energy and food self-sufficiency. In this context, the role of internal areas and the management of their vast resources cannot be further neglected. In line with the National Energy Strategy (SEN), the potential use of modern energy conversion technologies shows great opportunities for these territories to cover a large part of the national renewable energy needs (especially in the solar and biomass of agricultural and forestry origin). Likewise, the strong development within “smart grids” of “decentralized energy storage” can ensure the energy autonomy of the hamlets and the various business and transportation activities in these areas (DPS, 2013: 49-51).

The Internal Areas also hold over 80% of the national forest resources, which represent the production base of the wood supply chain (construction, crafts, energy, ...) (DPS, 2013: 29), and the potential of the agri-food and livestock systems are equally relevant. The strong reduction in the 30-year period 1980-2010, on a national scale, of the Used Agricultural Area (UAA) (CIA, 2020) was mainly related to the abandonment of agricultural land in the internal areas and in share to the compression of the agricultural areas of the belt and urbanization (Pagnotta et al., 2014). The partial recovery of this last decade has mainly focused on the belt and intermediate areas but has shown that the recovery of agricultural productivity of internal areas, although economically difficult to compete with the intensive crops of the flat belt and intermediate areas (Marongiu & Cesaro, 2016), can lead to a significant increase in production and especially in the national agri-food quality. Through a massive use of new technologies and big data, these areas can also promote an extraordinary growth potential of Organic and Made in Italy (CIA, 2020). The agroforestry and livestock sector can return to be, so, for these territories, a new driver of development (De Toni et al., 2021) and an opportunity to experiment with a new revolution connected, after the phase of mechanization, to the computerization of agriculture and its transformation into a multifunctional sector, capable of making the farmer an entrepreneur of complex supply chains (of food production and processing, trade, tourism, processing, and environmental maintenance, ...) and to produce a renewed and deep relationship with urban polarities (Meloni, 2016).

All this brings back strongly to the need for an “integral planning” of the entire national territory, which can reason on the settlement and productive rebalancing and the management of resources neglected until now because only apparently marginal compared to the great national and international economic and productive routes. Today, these resources become decisive in sustaining the rebalancing of the entire national system through a multi-target and trans-sector strategy that transforms the question of internal areas from “part of the problem” to “part of the solution” for the country. It is, therefore, necessary to integrate the “concerted policies” developed within the framework of the SNAI into an operational, planning, and programmatic supra-territorial framework within which to univocally direct the transformations of territories and settlements and economic, social, educational, and cultural processes.

### 3 RESTARTING FROM THE CITIES TO ADDRESS INTERNAL AREAS

It is necessary to recover a complex and multi-relational vision of extended territories. A vision/project capable of building and/or strengthening, rather

than dissolving, the physical links between the different dimensions of being a city, countryside, and natural system, as well as between coastal and internal areas and, again, between plain, hilly and mountainous areas. We cannot cancel the inescapable strength of the cities of plains and coasts. On the contrary, the cities will have to be transformed more and more into terminals of a complex economic and settlement infrastructure, polycentric and poly-areal, which must penetrate in a capillary way towards the intermediate and peripheral territories, finding in them subsidiary and alternative economies that are not substitutive of their own roles and that can decompress and depolarize them. For these reasons, it is improper to speak of internal areas and hamlets without talking about the role of the cities and urban crowns that come close to them and without considering the networks of connections that address functions, activities, and services to the cities.

#### 3.1 *The experiment of the fascist integral re-foundation and the breaking of the link between urban poles and internal areas*

Fundamental in this sense was not so much for the effects as for the design logic adopted, the Italian experience of “integral planning” wanted, in the late ‘20s of last century, by the fascist regime. Although with absolutist attitudes and markedly populist and nationalist, the latter was particularly attentive to the issues of redistribution of settlements, territorial control of inland areas, processes of reclamation and cultivation of unproductive areas, and self-supporting food of the Italian territories. It was a radical economic, social and productive transformation of the national territory and an attempt to build a unified vision of settlements and infrastructures of the country, which would put into system territorial and urban policies until then highly diversified and fragmented.

It is fundamental to observe how, in this circumstance, the phenomenon of urbanization driven by the economy of large urban industries was faced without fighting against the cities. The European industrial city of the nineteenth century had already taught how uncontrolled migration towards the cities could risk breaking the equilibrium of entire nations. They operated as true independent city-states. Here, the mirage of a new way of life swelled “mass unemployment” and lowered the labor cost, favoring the government of small local lordships of industrial capitalism. The absence of services and decent housing, as well as the increase in sanitation problems and the very low quality of life, fed a growing popular discontent that made them uncontrollable.

Although this process appeared unstoppable, the attempt introduced by the Fascist regime from the 1920s onwards was to downsize the urban-centric development model by integrating the urban

economy through the planning of a new agricultural economy. From a physical point of view, this led to the construction of a dense network of interconnections with old and new settlement outposts, which would be delegated to the management of the vast territory in a new vision of the rural world. During the twenty years of fascism, 139 new settlements were founded in Italy, divided into small towns, villages, and hamlets, and almost all the country’s rural centers were reorganized. Located almost exclusively in flat and hilly areas, abandoned or uncultivated, the new centers, according to their size, role, and distance from the main urban centers, were assigned to manage more or less extensive agricultural territories (Culotta et al., 2007, 290-291).<sup>1</sup> For their realization was put in place a complex political-administrative, planning, and executive machine that, through the support of the Ministry of Agriculture (thanks to the establishment of the General Directorate of colonization and agrarian credit), the offices of Civil Engineering, and the national associations (including the Opera Nazionale Combattenti founded in 1919), had the task of expropriating funds from public and private entities to start the reclamation works (Novello, 2003: 215-218), agricultural reallocation and colonization, and construction of rural settlements (Di Trapani & De Marco, 2020). The vast plan of the “foundation cities” highlights the exceptional scope of the intervention programs. From the great work of infrastructuring and transforming land and settlements in the Agro Pontino (where an extraordinary network of new foundation centers was planted, among which, just to name the main ones, we have Sabaudia, Aprilia, Pomezia, and Littoria) to the systems of rural villages and hamlets conceived for the rural areas of Sicily, Puglia, Sardinia, the Maremma and, the Po Valley, these interventions present, case by case and region by region, very different characteristics but also an extraordinary overall vision (Lozano-Bartolozzi & Barbera, 2020, p. 7). There was, therefore, a single structural vision in which the process of land reclamation, restructuring, and re-farming was aimed at food autonomy and maintaining control of the national territory. Alongside this renewal and improvement of the rural economy, however, it was essential to give birth to a new type of community. The reunion

with the Church was decisive in this. Thanks to the Lateran Pacts of 1929, the Church intervened massively in the re-foundation policies, assuming the central role of aggregator and social educator of the new rural communities (Culotta et al., 2007).

The strategy of “colonization” of the new lands was carried out following a polycentric-hierarchical settlement pattern. This approach, as clearly evidenced in the interventions of the Pontine area, relied on the creation of settlements of 3-5,000 inhabitants on which depended many villages that populated the territory and to which were linked the many farms and rural residences scattered throughout the agricultural landscape (Cabecera, 2020; Martinelli & Nuti, 1977: 271-293). In this territorial settlement network, the centers of higher hierarchical order were delegated to dialogue with the cities and feed, through the large road infrastructures, their agri-food market.

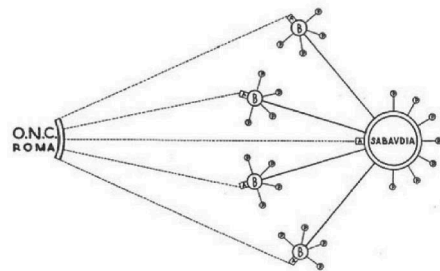


Figure 4. Hierarchical polycentric scheme of the urban nuclei of Agro Pontino (Martinelli & Nuti, 1977).

Therefore, the villages and rural centers that arose through this “Plantatio ecclesiae” (Culotta et al., 2007) were the structural ganglia of a systemic and integral vision of the national territory and the city-countryside relationship. They pursued the goal of the formation of new self-sufficient communities strongly anchored to the territory and endowed with a strong social identity (Gresleri, 2007, p. 44). In this sense, from a figurative point of view, the language chosen for this new settlement and community dimension is not accidental. Unlike what will occur in the architecture of large urban centers, rural centers, while wanting to be a prelude to a new society resulting from a revolutionary political system (Barbera, 2007), deliberately preserved a deep relationship with the Italian architectural tradition. They were inspired, not accidentally, by the urban and architectural idea of the medieval rural villages that dotted the internal Italian areas and that were well present in the reflections of Camillo Sitte (Sitte, 1981) and Gustavo Giovannoni (Giovannoni, 1931), although appropriately declined according to the principles of new urban functionalism. It was

1. This experimentation also intensely affected Spain. During the long years of Franco’s regime, between the fifties and the seventies of the twentieth century, starting from the same conditions and ideas of development, through the creation in 1939 of the National Institute of Colonization, about 300 settlements are realized, including small towns, villages, and hamlets, which group services and houses and that arise in the function of a new vision of the rural world and agricultural productivity. (Lozano-Bartolozzi & Barbera, 2020, p. 7)

precisely from these centers that most of the war veterans came, to whose families the “regime” wished to offer “as a reward,” a new opportunity for life and social affirmation. At the same time, it was precisely the families in the internal areas, which were poorer and more depressed but also firmly anchored to agricultural tradition, that were the most easily involved in the policies of “internal colonization” (referring to the colonization of the new agricultural centers of the country) and “demographic colonization” (referring to the colonization of the agricultural centers of the African colonial possessions) (Protasi & Sonnino, 2003). Through the process of “integral reclamation,” an intricate system of hierarchical structuring of the coastal and flat territories was created, and the migratory flows out of the internal and depressed areas were strategically encouraged, preventing them from flowing into the urban areas and directing them towards a more familiar settlement model, in which a better quality of life and the assurance of stable employment would have done the rest.

All this made it possible to maximize the productivity of a sector that was still the prevailing sector of the national economy, both in terms of GDP (in 1921, it contributed 37% to the formation of the national wealth) and in terms of the number of employees (it occupied 58% of the active population) (Farolfi & Fornasari, 2011: 34; D’Antone, 1979).

Investing strongly in the vision of a new model of agricultural development, intended as an engine of national economic and social rebirth (Serpieri, 1948), was favored an intervention of radical re-design of the entire national territory that, even in the unity of the overall strategy and ideology, was declined locally according to the environmental, morphological, and cultural specificities of local contexts (Culotta et al., 2007, Di Trapani & De Marco, 2020). Thus, an extraordinary phase of research and settlement transformation was nourished, but also a violent change in the ultra-millennial structural order of the natural and anthropic Italian landscape. Precisely this vision, contributing to the development of a polycentric settlement policy based on the strengthening and creation “ex-novo” of those intermediate and belt areas that today we recognize in our analysis, has paved the way for a territorial infrastructure centered on the speed of connections and transport and has decreed, at the same time, the depowering and definitive abandonment of the inaccessible and poorly productive reality of the internal areas and hamlets of the country.

In order to imagine re-founding abandoned hamlets and villages or those in a strong condition of depopulation, it is necessary, at this point, to start from this very point: from the construction of the physical and economic link of the internal areas with the inter-municipal and urban belt poles and, through them, with the urban polarities. The true potential of the internal areas does not lie in their being alternatives to the consolidated settlement models but in

their being physically integrated into a systemic territorial model, highly osmotic, which specializes and gives them a structural role in the complex over-territorial, national and European, hierarchical network.

#### 4 PROSPECTS FOR THE DEVELOPMENT OF INTERNAL AREAS

Today, the achievement of such objectives of settlement, territorial and social reorganization requires the intersection between a strong national (and in some ways European) and a local systemic vision. The projects of the local areas cannot be called in this sense to assume autonomous dimensions and decontextualized from the national and macro-territorial system of reference, but they must be able to provide detailed projects capable of integrating and implementing the general structural vision.

In the recent history of the country, the constitution of a territorial network has been favored whose urban poles, surrounded by a polycentric network of crowns, have been able to build strong but circumscribed economies. This has made it possible to contain the tendency of the contemporary Italian city to expand like wildfire while guaranteeing wide functional multidimensionality. This condition now becomes a new resource to continue to contain the growth of urban centers by encouraging the strengthening of ecosystem networks of the belt and the reorganization of the polycentric settlement system of the crown. At the same time, the intermediate and internal territorial enclaves, strongly different from the urban and belt ones, for this very reason can integrate, strengthen, differentiate, and extend this initial polycentric system, increasing its productive, energetic, environmental, and socio-cultural efficiency. It is thus possible to re-design the urbanized territories of the new millennium, conveying them to a new territorial dimension and a new idea of the ecosystem that makes them more stable and resilient.

This concept, as obvious as it may be, raises, on the other hand, the question of a reversal of the localist and conservative paradigm currently linked to the recovery of internal areas. It is defined in these terms the framework of a design paradigm that needs to operate on multiple paths:

1. *Pathway 1:* Provide an answer as to how the internal areas can assist the beltway areas they address and what their added value is. Hence the need for landscape and infrastructural planning of the internal areas system. At this level, it is necessary to be able to define the risks, potential, and advantages of the interventions to be proposed for the homogeneous areas of the internal territories. It is important to compare at this stage the values of uniqueness (resources) of the individual internal

areas with the needs/unexpressed or not fully satisfied necessities (environmental, economic, energy, cultural, ...) of the urban polarities and belt territories that surround them. At the same time, in order to maximize the effectiveness/efficiency of project interventions, it is necessary to correlate the relevance (value) and diffusion (quantity) of these resources to the type of interventions (projects) that these areas need.

2. *Pathway 2*: Allow all internal areas to integrate homogeneously and stably, each with its own specificity, into the “framework” of the national territorial system of National Resources. This scaffolding (material and immaterial) must therefore be able to connect processes, products, and resources within a single structural apparatus capable of rationalizing and maximizing the management of territorial resources.
3. *Pathway 3*: Refunding places by operating through a specific national policy for settlement. The policies of “internal colonization” have taught us that it is necessary to provide simultaneously, through the involvement (financial and operational support) of extended territorial networks (macro-territorial and national entities, associations, and companies), on at least four factors:
4. Funding programs to produce and access to safe and comfortable housing (including temporary co-housing and community housing), rather than subsidies for the purchase of ruins;
5. Construction and supply, with direct government intermediation, of concrete job opportunities (strengthening and designing new production chains and sales markets already structured or with low startup risk), rather than just financing individual business projects, with long gestation, low employment impact, and reduced attractiveness;
6. Creation of basic services sufficiently structured to generate a “sense of belonging and community”;
7. Creation of services connecting the extended territory that are sufficiently stable and accessible so as not to generate territorial immobilization (in entry and exit) for people and goods.

These policies must be addressed primarily to social categories (young people and young families, the unemployed, and above all, new foreign citizens) who are economically, professionally, and culturally more favorable to a change of perspective of life and therefore more motivated to invest in change.

8. *Pathway 4*: Activate national projects that involve “new and potential citizens” of internal areas in experimental training courses in which advanced digital processes, broadband, 5G communication networks, artificial intelligence, and big-data management, together with the use of next-generation technologies, can overlap with ancient local knowledge to produce a new

generation of “city makers” capable of re-interpreting the conservation, transformation, integration, and regeneration of places, transports, waste cycles, energy production, agricultural management, teaching, medicine, industrial and craft transformation and production.

9. *Pathway 5*: Transforming internal territories into Special Economic Zones (ZES) capable of supporting the development of new partnership models involving hamlets and low-impact enterprises (such as those of the new Industry 4.0) in a single project of settlement, production, and territorial promotion. Therefore, encourage forms of productive decentralization and dissemination, stimulating the entry into these territories of a new generation of industries (especially digital factories and “craft factories”), compatible with the size of small villages and able to generate, in a modern vision of the settlement-enterprise of Olivetti for Ivrea or that of the silk colony of San Leucio, a deep identification with the places and their community.

## 5 CONCLUSIONS

For internal areas, policies are needed that can discourage the proliferation of anachronistic “communities of consumption” of places, resources, and memories and gradually direct, as argued by Viesti (Viesti, 2020: 90) and De Rossi (De Rossi, 2018), flows of “new citizens” in places prepared to welcome them and to allow their integration into new “communities of production,” social entities capable of new forms of economy, sociality, and culture. Certainly, as Viesti points out (Viesti, 2020: 87-88), the theory of an urban space increasingly focused on the mobility of people as a solution to individual problems is producing nothing but an increase in collective problems (congestion, availability, and affordability of housing, land consumption, and resources, ...) and, therefore, a substantial reduction in the quality of life. Cities, however, are only one of the possible places to live and not necessarily the best or the only one to choose to live in the different phases of one’s life. It is, therefore, necessary to build not so much an alternative proposal to the cities as a new type of alliance with them in order to produce a renewed use and sustainable management of resources (material and immaterial) of extraordinary value that have been stratified for millennia and which it is impossible to give up if we want to ensure a resilient growth of our communities and our territories.

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# Learning from Auroville’s seed; in quest for the (unrecognizable) eternal space-time

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**ABSTRACT:** Is there an architecture that can lead us beyond the dimensions of space and time? Could this be called an *eternal space-time*? Imagine a place of unity on a planet wounded by wars. What would be the role of an eternal space-time here? Even if these questions seem to be almost science-fiction, they are being inspired by a true project. In 1968, in South India, the foundation of Auroville, a city that was born of the unusual aspiration to be a place for human elevation, was taking place. In this paper, we will be looking at Auroville’s conception from a “space-time” window and relating the seed of its architecture with the spiritual guidance that the project was receiving. In the conclusion, we will be verifying if what we can learn from this case study can lead us to a deeper understanding of the role of space-time in the building of that which is sacred.

**Keywords:** Space-time, Auroville, Matrimandir, Spirituality and architecture, Sacred space

## 1 OPENING A SMALL WINDOW

A disciple asked Mirra Alfassa:

“Sweet Mother, can we go out of Time and Space?”

Mirra answered:

“If one goes out of the manifestation.”

She added that going out of the spatial and the temporal dimensions – or going out of manifestation – represents a return to the origin. Finally, she said:

There is a feeling or a perception or an experience of eternity and infinity in which one has the impression of going out of time and space... It is only an impression. One must pass beyond all forms, even the most subtle forms of consciousness, far beyond the forms of thought, the forms of consciousness, to be able to have this impression of being outside space and time (1957, January 2) (The Mother, 2004, p.2).

Is there architecture or urban planning that could lead us beyond the dimensions of space and time? Could this be referred to as eternal space-time? Imagine a place of human unity. What would be the role of space-time in the construction of this reality?

This paper is like a small window that is being opened from a broad field of research related to *architecture and spirituality*, towards “Time and Space” – the host theme of PHI 2022. Every

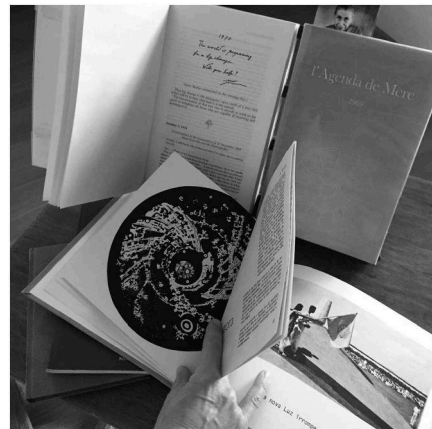


Figure 1. Learning from Auroville’s seed, photo by the author.

opportunity to expand limits brings, in the context of our specialized world, the difficulty of finding the right words – related to the field we are approaching, without distorting the field where we are coming from. This paper will be about the value of *space-time* in the manifestation of Auroville, a city that was born with the aspiration to become a universal town that should express the quality of unity on a planet wounded by successive wars. By “space-time” in architecture we mean: a discipline that deals essentially with space dimension, pushing us to face another time dimension. The city was founded in



1968 in South India by Mirra Alfassa, who designated Roger Anger as the main architect of the project, under her guidance. Mirra became best known as *The Mother*, the one who was giving a concrete form to the vision of her spiritual companion, the Indian sage Sri Aurobindo. In this way, this will not be a classic interpretation of an architectural design project. Auroville presents an opportunity to follow the concept of space-time from a less than usual angle: the rudder of the spirituality that, as a seed, the Mother was bringing – not only to the project but also to the process. To conclude, we will be briefly verifying if what we could learn from this case study might lead us to a deeper understanding of the role of space-time in the building of that which is sacred.

## 2 SPACE-TIME

To ingress into the project of Auroville in the most immediate way, we might start by simply imagining the picture of a huge Galaxy. Since humanity came into contact with Einstein's theory of relativity or Minkowski's space, we know that the relationship between time and space is relative. Even if importing this physics domain into our disciplinary realm might become too much for a non-specialist, all of us at this moment know that if we had the opportunity to see the stars of a galaxy from a big telescope, they would be at that moment at another relative point or maybe they do not even exist, – but perhaps it was just the way they looked like a few light-years ago. A Galaxy drawing might then represent a single instant of space-time, since what is evoked is not simply a three-dimensional space, but one that is also catching the time dimension.

The city of Auroville became best known for the galaxy concept of its master plan, with the so-called 'Lines of Force' that spin out from the central space gold sphere – The Matrimandir. Both seem to represent a new future, the one that the new city was trying to build. This was actually in line with the spirit of that time when humanity was trying to travel to space, or even guessing how to travel in time. In this way, the twentieth century was the century of "Time and Space," but also of the dream to trespass this threshold. More specifically, in the architectural domain, the concept of space-time became best known by the famous *Space, Time and Architecture*, a book written by S. Giedion, which was presented in several editions revised and updated by the author (from 1941 to 1967). There, Giedion synthesized his view about the dimensional concept of art, architecture and urban planning through the *Zeitgeist – the spirit of time* – and articulated three main temporal or historical moments to locate the origin of the space-time concept in this disciplinary realm: 1) the time of two-dimensional art - before Renaissance; 2) the time of three-dimensional art - after Renaissance, appearing with the discovery of perspective; 3) and finally, the time of four-

dimensional art, adding the time dimension to the perception of space – the *modern spirit* that started with the beginning of the twentieth century. This was all being expressed, according to Giedion, through the perception of simultaneity, interpenetration and movement, which the new buildings and cities were revealing – qualities that new technologies, as was the case of glass and iron, and also parkways were allowing. The last revision of *Time, Space and Architecture* was published the year before the foundation of Auroville, and perhaps this is not by chance that the galaxy plan seems to confirm the effort to go beyond what was previously done. Nevertheless, this will not be the anticipated conclusion. The drawings made by the architect of Auroville seem to also be in line with previous teachings of Mirra Alfassa – that of painting a visual picture of the universe to explain a spiritual understanding of Creation: "when one reaches what could be called the (...) center and origin of the universe, everything is instantaneous" (1955, June 25) (*The Mother*, 2004a, p.217). Mirra was trying to give her disciples a visual picture of the cosmos to address a spiritual understanding of Creation – with the consciousness that in the beginning (or at some point of a universal beating or universal respiration) everything was united on the central point of the universe: "the past, present and future are all contained in a total and simultaneous consciousness", she said; and added, "what has always been and what will be are as though united in a single instant, a single beat of the universe." In this way, she was trying to reach the question: "and it is only there that one goes out of Time and Space" (1955, June 25) (*The Mother*, 2004a, p.217).

Mirra enthusiastically accepted the galaxy plan proposed by the architect, even if her first schematic sketch was simply a four-petaled flower. She even perceived that the drawing was not premeditated nor adopted from a galaxy picture, but that somehow the architect reached that form, through the intention to express what Auroville was trying to be. This here will need an extra clarification – even if Mirra was happy about the symbolic plan, Auroville was not exactly rising from the aim to create one more architectonic or space-time dimension plan. The aim of the *City of Dawn* – the nickname that Auroville was receiving – was to reach another dimension of life. Before following our quest for the space-time of the new city, we will now need to rewind to Auroville's seed dream.

## 3 SEED DREAM

"There should be somewhere on Earth a place which no nation could claim as its own" – this was the beginning of an article of the Mother, written 10 years before the foundation of the new city. This writing, published under the title "A Dream" (1958) (*The Mother*, 2002, pp.93-94), will lead to the collective

aim of realizing the new city. In Mirra's vision, this would be a place beyond all creeds, politics, and cultures, an ideal that the Earth would not be ready to embrace, but which was nevertheless a dream to be realized, and the key to removing humanity from the chaos. It would also be a place without money, competition and strife – these relationships “would be replaced by relationships of emulation in doing well, of collaboration and real brotherhood” (The Mother, 2002, p.93). This dream of the Mother had begun about 30 years earlier, in the interwar period; and at the date of the publication of the writing, the *Cold War* was in full swing, and the *Vietnam War* was about to break out. On the other hand, the cultural context of the 1960s seemed to open up an opportunity to everything that was not a stereotype – in that sense, also for the realization of “A Dream,” even if in this case it was not being posed as a counterculture. For Mother Mirra, this meant: a space to sow unity, on a planet divided by wars; a space to sow another dimension of life – that of a unity beyond the human.

Although Auroville is an example that is not always recognized by our western disciplinary world, the foundation of the city had the support of UNESCO, which, in successive official resolutions, invited its member states and NGOs to participate in the construction of a city that had a common objective to its purpose – that of building a culture of peace and cooperation between nations. The trajectory of the experience in multiple cultures of Mirra Alfassa and Sri Aurobindo seemed to justify the interest in this common dream, but the aspiration of Auroville went beyond a cultural unity, anchoring its roots in the very experience of spiritual life and teachings of the Ashram that they had found together 40 years earlier. After writing *A Dream*, Auroville nearly began to become real, as a large number of candidates signed up for the realization. The ceremony foundation, 10 years later, was by itself representing the aspiration physically. On 1968, February 28 the youth of 124 countries from all over the planet gathered in the same physical place located 15km north of Pondicherry, the area where the city was starting to be built by several of its own hands. On that day, everyone brought a handful of earth from the soil of their nations and symbolically unified this earth in a marble urn in the shape of a lotus button, where the *Auroville Chart* was also placed. They were gathered around a soft circular and concave space, and the representatives of each country were approaching the center in a harmonic performance organized by country, almost similar to the geometric configuration of the galaxy layout, on a smaller scale, everything carefully staged by the architect. It was reported that, at that time, some articles identified Auroville as “A utopia on the way to realization.” In the face of any distrust of what was being proposed, Mirra remained firm in the possibility of human transformation. When the project had

begun, she said, “Auroville was a center of force and creation, with... (how can I explain?) a seed of truth.” And she added, “if it could sprout and develop, the very movement of its growth would be a reaction against the catastrophic consequences of the error of armament” (The Mother, 1980a, September 30, 1966).<sup>1</sup>

Architects are usually not invited to participate in the most ideological – or even spiritual – essence of what is being projected and built. Auroville emerges as that “seed” that aspired toward another type of experience – “of truth” in the words of Mother Mirra. In this way, a basic and unusual condition was presented to those who applied themselves to be the pioneers – “To be convinced of the essential unity of mankind and to have the will to collaborate for the material realization of that unity” (1967, June 19) (The Mother, 2004b, p. 192). In other words: I not only believe, think or feel that unity is something desirable, but I also aspire to practice it; an integral action, towards (the space-time of) an *integral yoga* (using Sri Aurobindo expression). The work began, and later on, the architect called to lead the works was confronted with the usual difficulties of any project: “When are we going to create Auroville's atmosphere? Everyone is quarreling!” he said to the Mother. “Yes, that's the difficulty!” she answered (The Mother, 1980c, October 25, 1967). Could architecture contribute to human transformation?

#### 4 INNER SILENCE

A dream is like a seed, and a dream in realization is a seed launched inside humanity. But how can we ensure that the purity of the content of the seed is not lost? How can we guarantee the unity aspired by that *integral yoga* implied in the Auroville Chart? In other words, without true human unity – “*unity out of complexity, without uniformity*,” as Mother specified later (1980c, October 30, 1967) – there would be no way to make harmony sprout from the “seed of truth” of Auroville. Maybe some will perceive this as moral conduct, but, in fact, this was the new dimension that was being brought forward by the project – the spiritual dimension of transcending the human condition.

If we take a look into the history of architecture and planning, following, for example, the same *Space, Time and Architecture*, we would be guided to understand how the planetary condition of a specific time can generate the same trend in architecture – “carried on by men who have grown up together in

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1. Since the e-book publication does not have fixed pagination, we will be referencing all quotes from the Mother's Agenda using the dates (chapter titles) instead of the page numbers.

the same period, exposed to its characteristic influences,” to rescue Giedion’s very words (1959, p.426). If humankind cannot live what a *big plan* like Auroville was trying to express, it could effectively become a utopia on paper, just like other utopias of the same decades. But could the reverse scenario be possible? The reverse here means: under free will, could architecture, *per se*, become an instrument toward human transformation? This question does not elicit a hasty answer. Nevertheless, the difficulties in achieving a united work were seen by the Mother as a sign to recalculate the plan. The moment presented the need, and architecture itself emerged as a part of the response – the most important project that had not yet been prioritized, the construction of the central space. The whole city could be developed with the flexibility of a plan or the way the leading architect himself might be feeling, except for a small space, which should follow the indications that the Mother had envisioned with precision – a room 24 meters wide ( $\cong 40,000$  inches), all white, no windows to the outside, except a single beam of light that would enter straight and vertically in the center of space, over a glass sphere. On an intermediate radial position of the circular plan, there should be twelve columns, without any furniture, “nothing!” she said, and a perimeter with twelve sides, each one representing a month of the year, as if we were entering a timeless place, or beyond the time dimension. This was, in fact, the only space that the Mother gave as a condition, from the beginning. The external form of this space would be a mystery to be discovered by the team of architects, but what she had visualized of this inner space should be achieved. The name that she had initially thought of for that place, she could not say it because she felt it could be incorrectly interpreted (Pavilion of Love). It was then adopted *The Matrimandir*, meaning “Temple of the Mother” – “But not this (Mother points to herself),” (The Mother, 1980a, June 23, 1965) – “Mother,” as the word used by Sri Aurobindo to the “creative principle.” It would be a place without a planned program, and not connoted to a specific religion. It would only be a place of silence and concentration – a place where everyone could try to find their consciousness.

A seed lives a transformation process from within itself – from the apparent nothingness that it keeps inside, it germinates towards a reality that transcends it. When the Matrimandir was rescued as a priority to the new city, the way to ingress the building was also clarified by the architects: the arrival should happen from below as if it were germinating. Rescuing the priority of the project was like rescuing the seed of the whole plan. As if that small space contained within itself exactly what the city needed to manifest; not exactly as a physical form, but as an opportunity to live a different kind of experience. One of the architects participating in the project told her: “The exterior comes from the interior!” (The

Mother, 1981b, January 31, 1970). Yes, that was also true for the Mother, but she put it differently: “For millennia, we have been developing outer means, outer instruments, outer techniques of living”, and she added: “The sign of the new humanity is a reversal (...) inner knowledge and inner technique can change the world and master it without crushing it” (The Mother, 1981a, April 3, 1969).

## 5 SEED SPACE

Let us now update our vision about the concept of the space-time of Auroville, forgetting for a moment about the most immediate picture of a galaxy from where we began, and now bringing this simplicity of a small space, a void. Let us try to enter the space of silence and concentration that The Matrimandir proposes, and even try to see it more abstractly: a circular voided space, each 30° degrees, representing a month, or even an hour, or, instead of time, a specific quality of space related to an aspect of creation. Even if each degree represents time, space or both, if we walk following this circular peripheral path, we will be walking on the line of time. But, if instead of wandering around, do we just silently connect our consciousness to the center and reach to unite the whole universe in the same experience? If this became real for us, it might be described as a transcendental experience, close to the experience of an eternal space-time.

The inner experience of perceiving the unity of the entire universe from an inner space is, in fact, a spiritual or mystical experience, or an experience of the consciousness. We sure cannot affirm that it is dependent on a specific architecture. Either way, this same experience seems to be present – or awakened – by a specific archetype of sacred space. In several iconic and sacred constructions, from all times and geographic places, the essence of this same idea appears under different variations. We might see it, for example, in the ancestral circular sanctuaries linked to the beginnings of agriculture and permanent settlements, as it is the case of Gobekli Tepe, or the more explicit calendar-space of Stonehenge; in a different way, the pyramids of Giza led the neophytes to experiences of transcendence, as if from that closed space they could reach the stars that the pyramids were reflecting; in the Christian tradition, if we remember the typical ambulatory space around the altar – representing all the saints or praying exercises like the *mysteries of the Rosary*, or the *Via Crucis* – defining a peripheral threshold where several specific times are represented on one space and, thus, preparing or even protecting the most sacred central space of the altar as a timeless center; we might even see this in a discreet and simple space, a small hermit’s grotto – even though for us a grotto might represent something inhospitable, for the

hermit, the whole universe is there, gathered on that small point that should lead him through faith, to recognize the whole within himself. One of the most prestigious writings about the "sacred function" refers to this archetype of space as a "ring space" and explains the spiritual meaning of its center: "to enter into the center means to go into the whole, into the undivided, into the unbroken" (Schwarz, n.d., p.53). It follows being more specific about this experience that some achieve when they almost reach the innermost point, that of finding everything united: "creatures, the human beings, the nations, mankind, all habitable land, the depths of the earth and the heights of the heavens, the stones and the stars." In a more hidden way, this same experience is expressed in the Eastern quote selected by the congress: "We put thirty spokes together and call it a wheel, but it is on the space where there is nothing that the usefulness of the wheels depends." (Lao Tsé). Remembering that the *Tao Te king* is a sacred teaching, it is then not just referring to any use, but a sacred usefulness. More concretely, it is said that Mother has referred to only one similar experience in history – the revelation of the "unity of the Divine" in the Temple built to the Light by Akhenaten and Nefertiti in the new *City of the Horizon* (1369 B.C., now Amarna) – at a time when Egypt used to worship many gods, a void temple to worship the sun on a city where this inscription was found: "Here is the place that belongs to no prince, to no god. Nobody owns it. This is everybody's place. The earth will find joy in it. Hearts will be happy in it" (Dyne, 2006).

Similarly, the Matrimandir was presenting the need to create a space to contact the universe within, a lever to reach the aspired unity, and thus, make the new city a "seed of truth" sprout to all humanity: "Auroville belongs to nobody in particular. Auroville belongs to humanity as a whole" (1968, February 28) (The Mother, 2004b, p.193). The small inner room project that has been initially postponed, after the first few experiences, was revealed as the necessary key for a broader realization. In the same faith of the *mustard seed*, for those who recognize the Christian parable: how to make a flower blossom without a seed? Or according to the Vedic tradition: how to create the universe and all his galaxies without *Brahman's egg*? Architecture was then becoming the portal to an eternal space-time – the archetype of a sacred seed space that was guarding the dawn of a larger universe.

## 6 SUPRAMIND

Now we will be starting to touch on the innermost part of the Mother's teaching: the inner silence of this *seed space* somehow prepares the way to reach the *supermind*, a notion that Mother Mirra adopts from

Sri Aurobindo. Before focusing on what can be a new and difficult word to many of us, we will relate a simple illustrative fact – at some moment of the process, the Mother reveals her happiness because the architect called to lead the project had gone to Paris and, without knowing it, he made a drawing there that of which she perceived quite similar to one she had done at the beginning: "the remarkable thing is that I simply told R. the broad outlines, asking him if he was interested." She shared her joy with her closest disciple: "he went back to France, and he received my formation (my old formation, which I myself had left asleep); he received it there" (The Mother, 1980a, April 30, 1966).

For those dedicated to creative activity, this experience of "receiving" might be familiar – when from one second to the next a project idea takes shape. Usually, this happens without an explanation of how and why. For the Mother – as for spirituality, in general – this kind of experience means that what is arising is coming from a higher level of consciousness. In *On Education*, she approaches the subject pedagogically: if we imagine ourselves as beings with physical, emotional, and mental dimensions, the "supermind" refers to an inner dimension far beyond this reality that is most common to us – a reality closer to the divine. Mother Mirra explained this in an accessible way to almost everyone – intuition as the result of supramental impulses (The Mother, 2002). But what does her happiness mean in the context of the story relayed at the beginning of this point? Just because the architect has "received" the same intuition? This kind of satisfaction before the similarity (or unity) is not usual in a competitive world. However, to her, this significant coincidence represented that what they had both received was something real – a *revelation* (to use here the Western expression) of something that was arriving from the same higher source, a source beyond the mind – "The city already exists!", she said (The Mother, 1980b, April 30, 1966). That is: it exists as an archetype, in the supermind, it exists in an eternal space-time. As if the seed consciousness of both had sprouted – and in that sense communed with the same higher reality - the one they were being called to concretize, or to "manifest," to use Mother's terminology. Therefore, what could be seen as a utopia was, for her, something very real – something that from a transcendent dimension was being impelled to materialize. And the way to realize it was to simply become a witness: "As soon as you are in the attitude of the Witness, it becomes very interesting – very interesting – and you smile. That's how it is" (The Mother, 1980c, October 30, 1967). In the initial citation of this topic the Mother explains that the architect had received "her formation," but in reality, the term "her" does not hold a feeling of ownership over the idea, as we would usually use it. In one of the teachings, she said: "It's especially the sense of

the ‘I’ that must be lost – that’s the great art in everything;” and added: “for everything, anything you do: for painting, for... (I did painting, sculpture, architecture even, I did music).” And to assure that this was being understood: “if you are able to lose the sense of the ‘I,’ then you open yourself to... to the knowledge of the thing,” and finally she added: “It’s not necessarily beings, but the spirit of the thing that uses you” (The Mother, 1980c, February 25, 1967). One of the keys is to “Be silent in mind and remain unwavering in the true attitude of constant aspiration” (1953, August) (The Mother, 2002, p.64).

The Matrimandir, crossed vertically in the center by a single sunbeam that should be kept in permanence, could be understood for the same purpose – not only to allow silence, concentration and elevation but also, symbolically, to help bring the project from an eternal space-time to matter. At one specific moment of the project, Mother Mirra realized that one of the architects was taking an approach that was not reaching this – it was simply coming from his mental level. She shared this with her closest disciple, however, she could not share it with everyone, she said – “they wouldn’t believe me” (The Mother, 1981c, January 17, 1970). However, the envisioned inner space was in itself an invitation to an inner revelation. That is, the architecture not only representing what would be the soul of Auroville, but also, in itself, becoming an instrument or vehicle for deepening a sacred unity, the unity present in an eternal space-time, which could be transposed for the daily life of anyone, such as an architect or artist – *like a flower offered to the Divine*. (The Mother, n.d., p.24)

## 7 GALAXY-FLOWER

If we began deepening the research about Auroville’s plan, something might surprise us. The city became known for the great galaxy concept, and although the macrostructure’s ‘Lines of Force’ have not been realized to date, the visual impact of an icon without a direct religious connotation became part of Auroville’s face (even if nowadays the city seems to share an ecological vision). However, while reading Mother’s *Agenda*, something very different is perceived: the plan began simply as a flower, as we have related. Why then this major jump between flower and galaxy? Perhaps no one could be convinced that a flower would be the city of the future? The flower could be confused with some other kind of social movement? We have not found an immediate answer to this, and it would not exactly be the objective here. The question is: what was the Mother’s intention by initially revealing the simplicity of a flower-shaped plan?

This topic needs previous clarification: the manifestation of Auroville was an impulse perceived at different times of the Mother’s life, and this was the

third attempt. At first, she drew a geometry with more petals; then, she started to realize that it should be simplified to become real. When the architect was called to draw the plan, she tried to pass on that experience: “Don’t try to organize, don’t try, you are going to fossilize the whole thing before it’s begun” (The Mother, 1980c, October 30, 1967). She was trying to keep the project alive; that is, not frozen by a mind, the mind of an architect. In any case, she understood that under the law of a country, not everything could be so spontaneous. To reach the necessary harmony from a spontaneous occupation, *it would be necessary for all workers to be yogis*, Mother said (1981b, February 6, 1969). To understand this, it will be important to now bring in one of the most relevant writings of The Mother and Sri Aurobindo – *The Flowers and their Messages* – a book that was organized using an experience lived in the Ashram – the exercise of contemplating the essence that each flower communicates. Some examples: the flower that reveals the quality of *promise*, the one that reveals *continuity*, *patience*, *sincerity*, and *trust in the divine* – endless qualities that (by their guidance) become visible in the physical expression of the different shapes of the flower. The Mother perceived in the very vibration of the flowers, the manifestation of the supramental force on Earth. About the daily experience of choosing flowers to offer in the Ashram, she said: “I arrange all that, and in the vases, some flowers say, ‘Me!’ And indeed, they are just what I need. They call out to me to say, ‘Me!’” (The Mother, 1981a, February 7, 1968). Maybe the first flower-plan of Auroville represents this same spontaneity? It could also be the longed-for result of a cycle – the germination, sprouting and blossoming of the “seed of truth.” Something that could not have been pre-determined, just as a plant cannot be forced to blossom. But that, in coherence with its process, could arise, in spontaneity, from the learning of unity proposed in Auroville. Perhaps for this reason, when the project of the Matrimandir seemed not to find a definitive solution, the Mother did not assume the final shape. She simply invited the architects to work in unity, and she became silent. Could this only be another way of conveying moral conduct? For the Mother that was part of a spiritual science. How could the city that had based the foundations on unity be real without unity?

When we research a specific topic, we start to somehow be permeated by the teachings that it brings. This “Learning from Auroville’s Seed” led the writer not to discuss the question between the galaxy and the flower – but a choice to silence and let some light emerge without thought. At some moment, the intuition of observing the ‘flower of Auroville’ suddenly arose, as if the flower was also calling us. “Me, here!” By obeying this intuition, something unexpected was found – the petals of Auroville’s flower

configure the same spiral shape of the galaxy; the meaning of this *orange-gold Hibiscus – Supramental Beauty in the Physical* (The Mother, n.d., p.81). Would it be that the correspondence between what is above (galaxy) and below (flower), reveals the meaning of that single light beam of the Matrimandir? Why is there no reference to this? No answer seemed definitive, until we found the architect himself saying, "I strongly wish that we would stop referring to the Galaxy Plan as Roger Anger's plan....," and he added, "It is not my vision, but the logical result of the research and the Mother's presence in particular." (Auroville Today, 1988).

## 8 ETERNAL LAW

During Auroville's design process, at some point, the architect unexpectedly said: "I'd like to experience this new consciousness, so what should I do?" He shared this to the disciple closest to the Mother, to whom he kept asking: "What's to be done to experience the new consciousness?" Faced with the insistence, the disciple told him: "It simply demands trust in something else, a sort of childlike trust, and a need of something else." The dialogue is shared with Mother, who becomes radiant. At another moment the Mother shared what she had recognized about the wide question of creation - "You know, the creation is the result of division; but that creation has to become Unity in order to become divine again," and she continues: "(to be more exact, division has become the result of the creation), and so it has to be...." Finally, she stated: "Only Unity can restore – restore how? I don't know" (The Mother, 1981c, March 31, 1970).

When again looking at (google satellite) Auroville's actual configuration, we do not find a precise global form. However, if we approach the central area (named as Peace Area), we can perceive the beauty and subtlety of all the groundwork, the complexity and diversity of its gardens, the golden sphere of the Matrimandir being as if subtly elevated by twelve petals, each one finding its symbolic relationship with an attribute, all the spaces converging to the silent white inner room, all this central area waiting to be completed by a circular ring of water, that would transform it on a more preserved island – everything orchestrated as if we were before an eternal space-time, aiming to express, with diversity, an archetypal unity. A writer who revered the work of the Mother used the metaphor of a river to differentiate the concept of temporality from the concept of eternity: when one observer is on a riverbank he sees the flow of the waters as a succession of events – what has passed (past), what is before him (present), and what will come (future); but if the observer is at a sufficient height, in a single glance he could be seeing all the river – in this case, past, present and future will be included in one same vision. In the

first situation the observer is before the consciousness of temporality, in the second, he is before the consciousness of eternity (Trigueirinho, 1994, p.150). We could be here now trying to interpret what would be the place of Auroville in the chronological time of architecture as if we were on that riverbank; but it seems that this "space-time" subject is leading us to find the position of the second observer, a timeless point of view that great physicists seem also to have experienced: "the distinction between past, present and future is only a stubbornly persistent illusion," said Einstein (Calaprice, 2015, pp.65-66). We may try to follow bridging the concepts of space-time and eternity from the teachings of the Mother or Sri Aurobindo, but we do not need it to simply perceive that a place that was being created to host human unity will be a school for human transformation, and this would be needing another dimension of life to be realized. This word – dimension – will need to be clarified. For an external observation to cross dimensions, is to go from a one or two-dimensional reality into a three or four-dimensional one. For their spiritual teachings, the dimensional cross into space-time is explained more internally – the dimensions of the consciousness: from the physical, passing the emotional and mental, until the intuitive, to start approaching the supramental. In fact, according to their teachings, since what we think links us directly to what we are thinking, in the mental dimension we are almost reaching space-time, the dimension of intuition. For example, we are here writing or reading, maybe so far physically to Auroville, but now very close indeed. If we still reach to cross this limit of the words, we will be on this path, the same way that the best physicists themselves start to cross when they make discoveries.

Just after *Space, Time and Architecture: The Mechanization takes Command*, Giedion focused on *The Eternal Present: The Beginnings of Architecture*. Could Auroville be placed between the concepts of these books – "the bridge between the past and the future" (1968, February 28) (The Mother, 2004b, p.193) that aspired The Mother? In the video that shows the building process of The Matrimandir (Auroville Video Production, 2008), we can see a large group of ages and cultures contributing to the most basic tasks, such as the extraction of large volumes of soil without any use of heavy machinery, or the necessary movement for each new building phase. This building took forty years to be finalized, almost approaching the slow time of the ancient sacred buildings. Perhaps this slow time – that for contemporaneity seems to be too long – is a necessary process to generate the inner fruits of transformation, for those who remain faithful and persistent in the purpose. Might this be one of the lessons from the geographic center of Auroville, chosen by the Mother – a Banyan Tree? That tree was already there, alone in a deserted area when

everyone began to arrive. Perhaps this is no coincidence that it flourished unusually: the flowers are concealed in the fleshy receptacle of their fruits.



Figure 2. Matrimandir and Banyhan Tree. Rajaraman Sundaram, CC BY 3.0 <<https://creativecommons.org/licenses/by/3.0/>>, via Wikimedia Commons.

## 9 CLOSING OUR SMALL WINDOW

Is the longing for sacred buildings perhaps just a longing for architecture, an aesthetic atavism? Will the new church also have a new congregation? Are we perhaps nurturing the seed just for the sake of the skin or do we really want the skin without the seed? Only where a seed is germinating will a skin form organically, only where there is an idea, will a living form arise.

From the other side of our small window let us now finish with this quote from the book *Sacred Buildings – a Manual Design* (Stegers, 2008, p.35), attributed to Otto Bartning. When we read this from the teachings of the Auroville's seed we are again reminded that architecture is not only about reaching a great drawing idea. Could this process of the *eternal space-time of Auroville* be here reflected as a new seed and, in this way, contribute (reversely) to the research field of architecture and spirituality? For Auroville's architect, the project seemed to be an opportunity to be part of the germinating soul of the city and not that of only creating a skin: "It's not about building a new city, it's about building a new man," said Roger Anger (Aurofilm & Thomas, 2019, 5:47 min.). However, for the seed of spirituality (or of that which is sacred) to take its place, we architects might need to be attuned with our transformation, and also to step back when it is necessary. This ceasing to be the protagonist, however, does not take away the value of architecture: the mastery of some project details could become the springboard for an eternal space-time dimension if the user is prepared for that. Where are these insightful intuitions that the architect receives coming from? That is a question not exclusive to architecture. As we have seen, Sri Aurobindo and the Mother called this higher mystery the supermind, and at this point, we do not need to give it another name by adapting it to our own culture, but rather to fly into a great unknown. To say it in a way that everyone can recognize: it may be just what makes the seed grow.

"Each of us has to do his little bit towards transforming this spirit of the times" (Einstein, 1935, p.15).

## ACKNOWLEDGMENTS

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END NOTES

The subtitle of this article was inspired by the subtitle of *The Sacred and the Modern Artist* (Eliade, 1964) – *In Quest of the unrecognizable sacred*. Handwriting inside Figure 1: “The world is preparing for a big change, will you help?” (The Mother, 1970).





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# Design conceiving process *versus* time

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**ABSTRACT:** In Design, the time of conceiving refers to the explicit time of mental creation process of a product or service. Physicists define time as the progression of events from the past to the present into the future. Neurobiologists consider time as a period necessary or available for a given activity. In the activity of designing we can consider, in a broader way, two different phases in terms of the consuming time of each one. The first includes the use of sketches which are rapidly executed freehand drawings. The second includes several actions that consume more time until the final achievement. Designers of experiments and of assembly lines, both of which occur in time, sketch possible sequences of events. Extending sketches from space to time is a natural step, as temporal events are described in part using the drawing language. The concept of sketch focus on a quickly made freehand drawing, being its intention to give a general overview or the guidelines of something, in relation to the intended final form or figure, a rough drawing representing the chief features of an object or idea and often made as a project preliminary study. The main aim of this paper is to investigate the importance of sketches during the conceiving time that designers spend in projects.

**Keywords:** Design, Time, Conceiving process, Sketching

## 1 INTRODUCTION

This paper stems from a current post-doctoral research project motivated for the need to produce more knowledge about the drawing relevance in the conceptual process in design.

The essential question of determining whether sketches will continue to be the key to the design process, constitutes the starting point for this post-doctoral research project on the use of freehand drawing in design practice.

Supported by a bibliographical review we aim to investigate the concepts of time, conceiving process time and sketching. From this theoretical approach we intend to verify, and if possible, to underline the relevance of sketches during the conceiving process time that designers spend in project development.

## 2 TIME RELATED TO DESIGN CONCEIVING PROCESS

According to dictionaries, the noun time defines the measured or measurable period during which an action, process, or condition exists or continues.

Physicists define time as the progression of events from the past to the present into the future. Neurobiologists consider time as a period necessary or available for a given activity.

Time can be considered to be the fourth dimension of reality, used to describe events in three-dimensional space. It is not something we can see, touch, or taste, but we can measure its passage.

Time, which for centuries has intrigued philosophers, physicists, and theologians, is a fundamental component of the human experience. It is intimately related with everything we do, yet it is abstract, in the sense that we do not experience it directly as an isolated thing we can point to.

Many philosophers claim that time passes or flows. This characteristic of time has also been called a flux, a transiency of the present, a moving now, and becoming.

We remember old perceptions, and we make use of our ability to imagine other times when we experience a difference between our present perceptions and our present memories of past perceptions.

Time is familiar to everyone, yet it's hard to define and understand. Science, philosophy, religion, literature and the arts have different definitions of time (Helmenstine, 2021).



Figure 1. Time is a component of human experience. Source: <https://www.livescience.com/how-does-time-work.html>.

Time, which for centuries has intrigued philosophers, physicists, and theologians, is a fundamental component of human experience. It is intimately related with everything we do, yet it is abstract, in the sense that we do not experience it directly as an isolated thing we can point to.

According to Claudia Hammond, the experience of time is actively created by our minds. Various factors are crucial to this construction of the perception of time: memories, feelings, experiences, emotions and our own way of facing life. Our time perception roots in our mental reality and in the way we experience life. The past, present and future are not in a straight line: we can look back on our memories as a resource to allow us to think of the future. Humans' ability to time travel mentally, forward and back, is why we're able to do so many of the things such as plan for the future or create a work of art. The important role that memory has to play within is not a new idea: Aristotle, in ancient Greece, described memories not as archives, but as tools for imagining the future (Hammond, 2019).

Conceiving is the power or faculty of apprehending of forming an idea in the mind; the power of recalling a past sensation or perception; the ability to form mental abstractions, an image, idea or notion formed in the mind; a concept, plan or design.

These arguments point out to the time relevance in design conceiving process as the work of a designer is to create by developing an idea formed in the mind, and for this to happen, the memories accumulated over time play an intrinsic role.

Retinal images with superimposed information from long-term visual memory recall via a gating mechanism; this explains how the incomplete or impoverished stimuli found in rough sketches stimulate a stronger imagined component

For developing an idea formed in the mind, most designers use sketches. The act of sketching is also related with time because the sketches own nature is based on short time period, on a quick drawing action.

### 3 TIME RELATED TO DESIGN SKETCHES

According to the Cambridge English Dictionary, sketch is a simple, quickly made drawing that does not have many details (Cambridge English Dictionary). So, the word sketch describes a quickly made freehand drawing and its intention is to give a general overview or the guidelines of something, in relation to the intended final form or figure, a rough drawing representing the chief features of an object or idea and often made as a project preliminary study.

Sketching is fast and easy, it gives freedom to explore ideas as quickly as they arise, it helps problem-solving faster. We can conclude that sketching characteristics can be described as a fast and effective means of communication, universal in its reading and universal as a thinking tool used by a wide variety of people besides the designers.

Sketches, whilst still loose and fluid, bring to light the proportions, scale and detail of the initial concept. It is often only at this point that the suggestion of a new artifact is evident.

Mostly, sketches are used to create different alternatives in certain design situations, to find an original idea instead of using conventional ways, to become flexible about changing ideas and to elaborate on the main idea.

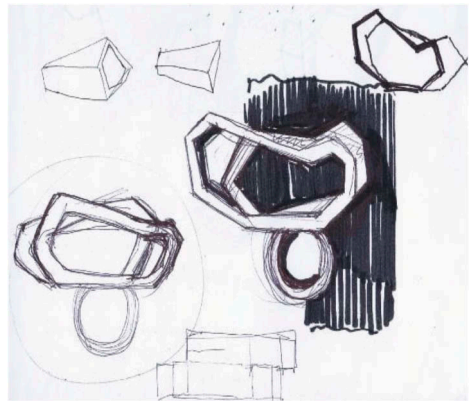


Figure 2. Sketches for a ring by Mónica Romãozinho (2016) Credits: Mónica Romãozinho.

Through sketching embryonic ideas are quickly thrown onto the sheet of paper for primary analysis, before they disappear, relieving limited memory resources, leaving room for reflection and detailed observation of ideas, validating or discarding them, generating a constant flow of more ideas (Barreira da Costa, 2019).

Therefore, sketches are related to a brief lapse of time.

A design conception is the idea driving the creation of a product or service, explained via a collection of sketches. This helps the designers and, later, the developers stay on track throughout the creative process, ensuring they bring a product to market with value to target users.

Sketching not only brings out the creativity of the designer but also helps in the exploration of different perspectives. The process of designing includes refinement at a later stage; however, the minute details can be added or corrected in several rounds of sketching which leads to a better design process.

Sketching is related to the characteristics of creativity because it requires being spontaneous, unexpected and unskilled. Designers transfer the images in their minds to paper spontaneously in order to catch an unexpected probability and generally have no claim to attain a perfect drawing. Sketches externalize the images in visual memory as they require the hand to be used actively and efficiently, and once again can be related to creativity.

Many great ideas arise from rough sketches that are easy, fast and can be done anywhere and with any medium. For instance, according to Twitter Design team, the early sketches of Twitter's iconic bird logo were found on paper towels acquired from the Twitter rest rooms (Stamper, 2013).



Figure 3. Twitter's iconic bird logo sketches. Source: <https://www.businessinsider.com/these-are-twitters-early-sketches-of-its-logo-and-theyre-really-bizarre-2013-1>.

Oftentimes, when designers still have design solutions in their minds, scribbling and doodling triggers their memories and imagination and gives birth to the creative idea.

Rough scribbles in a piece of paper can be a start of the next design project. That is why more successful designers start their creative process by sketches.

The process of thinking through sketching helps them getting their creativity flowing. Besides, it helps everyone to document the process. Early design process ideas come and go, sketching forces to shift the ideas into paper, helping to document those ideas in real-time as they arise in few seconds. Documenting the different iterations makes it easier to visually, allows to see what was explored and, more importantly, what was not explored yet (Mills, 2017).

Sketches represent the materialization of what is immaterial, they are a tool that allows transporting the imagination, its questions and possible solutions from the field of ideas to visibility. Between the invisible and the visible there is a 'wall' that sketches cross. For designers, sketching, in addition of being a language of creation and registration, is also a reflection of their own memories accumulated over time.

Sketches are a means to explore new creative possibilities and challenges designers to produce something new and fresh that captures the individuality of an idea. When drawing, through the marks, shapes, smudges and corrections, the design begins to come to life.

A sketch, even when done quickly, can be a powerful tool for the designer (Spool, 2010).

Based on the terminology of Sjöflén & Olofsson (2005) four functions are identified as being representative for the different roles sketching can take in the design process: investigative, explorative, communicative, and persuasive. We appropriate these categories into a tension field, reflecting how the role of the same sketch may change over the course of time in the design project, based upon the type of knowledge required to gain from the sketch at a given time.

Designers turn to their world of images when they are trying to find something new and realize that sketches are the significant instruments they can use. Each drawing of a designer is a unique interpretation of his/her unique conceptual system.

For Joshua Brewer, senior designer at Twitter and UX designer, the real value of sketching is that it allows you to explore and refine ideas in a quick, iterative and visual manner. Rapid ideation flow and interact, layout and hierarchy can be quickly established, rearranged or discarded, all of this without ever touching a computer (Mills, 2017).

There is always a more creative feeling when holding a pencil than holding a mouse. It gives more freedom to illustrate what is in designer mind on paper than on a computer.

By means of drawing rough lines and shapes, designers begin to use that spark of creativity within them to come up with interesting concepts that can be the initial foundation of their next design work. It gives them more freedom to illustrate what's in their minds doodling on paper than on a computer.

While design technical drawing is a more structured practice, centered on precision, scale and detail, conceptual sketches focus on the essence and vision of the idea. The act of conceptual drawing is a highly creative process, it connects our mind with our body and enables designers to explore new ideas instantly or in a short period of time.

Through sketches a designer can explore different possibilities within minutes, creating the perfect environment to explore ideas. A great idea can be born using only a few simple lines in a short lapse of time.

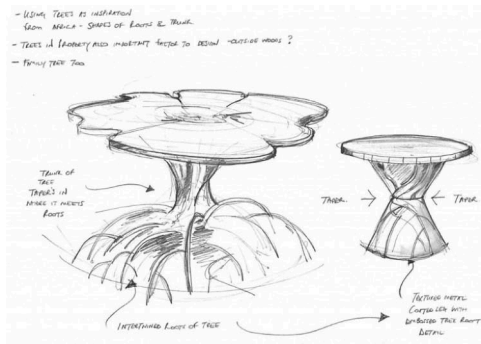


Figure 4. Exploring ideas through sketches. Source: <https://www.design.co.uk/sketching-the-craft-of-creative-discovery/>.

#### 4 CONCLUSION

From this bibliographical research we can conclude that time is related to design conceiving process.

Conceiving is the power or faculty of apprehending of forming an idea in the mind. Scientists consider that the capacity of recalling a past sensation or perception takes part in the process of the formation of new ideas in the brain.

Therefore, time is relevant in design conceiving process as the work of a designer is to create by developing an idea formed in the mind, and for this to happen, the memories accumulated over time play an intrinsic role.

However, in design process, time is not only related to the formation of new ideas. For developing an idea formed in the mind, most designers use sketches. The act of sketching is also related with time because sketches own nature is based on short time, on a quick drawing action.

Sketching is fast and easy, it gives freedom to explore ideas as quickly as they arise, it helps designers to problem-solving faster.

Through sketching embryonic ideas are quickly visualized for primary analysis, before they disappear, allowing reflection and detailed observation of ideas, validating or discarding them, generating

a constant flow of more ideas. Therefore, sketching triggers designers' creativity.

The concept of time is closely related to design process: the memories accumulated over time play a role in the ideas conceiving and for developing a new idea formed in the mind, most designers use sketches. The act of sketching is also related with time because the sketches own nature is based on a short lapse of time, on a quick drawing action.

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# The digital and printed children's book; a look into the present and the future

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**ABSTRACT:** The reflection on space and time is of the utmost pertinence in communication design since design is made in a time and displayed in a space. Communication design records its time and allows us to revisit it. And within communication design, editorial design, especially the book, represents a prime example of this. The book is one of the most interesting communication design objects, and its nature implies a space-time dimension, evident in the sequential turning of the pages. However, nowadays, a new type of book must be considered – the digital book – and a new space-time relationship defined. The book's space becomes only that of the screen and not of the multiple pages. The dematerialization of the object, which ceases to be physical and becomes virtual, also presupposes a new notion of space.

Currently, it is assumed that, in the book field, both digital and print media are to last. Therefore, in this article, we focus on the convergence between print and digital media, exploring the advantages of this hybrid medium of communication.

We address these aspects from the design of children's books, which are of particular interest given the decisive role they play in constructing literacy and cognitive development of children and young people and given their communicative potential.

*Keywords:* Editorial design, Children's digital book, Children's printed book, Media, Interactivity

## 1 INTRODUCTION

The digital book is part of a long chain of transformations in the last decades, which substantially influenced the publishing market and the reading habit itself. Current technological processes have the incredible ability to transmute quickly, making it difficult to predict what will happen from now on. According to Yokota & Teale (2014), only one thing is guaranteed: the universe of children's digital books will expand more and more. The printed book market will not disappear, just as oral storytelling did not disappear with the emergence of the printing press. The authors believe that the focus of the current market, faced with the development of digital, should always be to question how content can be incorporated and improved according to the available media. This research tries to understand how this relationship happens and what indications point to the near future.

## 2 A NEW SCENARIO FOR THE PUBLISHING MARKET

The technological transformations of the last decades have brought the possibility of the digital-book and have also promoted a considerable improvement in printing processes. In recent years, there has been an accelerated growth in printed publications, which rely on increasingly better technical quality in short production times (Scherdien, 2014). On the other side, the digital book has enormous ease of circulation since it eliminates the printing and distribution process due to its virtual nature. It facilitates its access anywhere in the world while keeping the equivalent selling cost regardless of the context (Dick & Gonçalves, 2020).

Although it is already considered that the extinction of the printed book is an outdated issue, it is necessary to look at the contemporary publishing market with new eyes and think about it in different ways. The communication of print culture with

digital culture proves to be inevitable, which requires the organizations involved to plan more innovations (Scherdien, 2014). Contemporary publishers, who also want to operate in virtual environments, need to restructure their technical teams, foreseeing an expansion. The traditional group of professionals in the publishing world – authors, editors, translators, illustrators, and graphic designers – will have to include composers, voiceovers, and game programmers (Ramos, 2017, p. 238).

According to Dubini (2013) *apud* Dick & Gonçalves (2020), the sequence of processes that were previously maintained in a linear logic has now more complex relationships between those involved, transforming the process into a system more similar to a network.

The need to integrate several types of professionals may represent a significant obstacle, mainly for economic reasons, even though technological advances have already made the process much easier. This processual dynamic ends up raising the production costs, which besides this initial phase, will count on other future needs: for being characterized as a software, the interactive digital book is subject to content revisions, as well as inevitable periodic updates according to the evolution of the technological devices in which it is presented (Dubini, 2013 *apud* Dick & Gonçalves, 2020).

As verified through interviews with professionals in the area (Mascarenhas, 2021), the necessary updates to the system represent an unavoidable problem for the book's existence in the virtual environment, which is the main reason why many titles go out of circulation over the years. This situation generates a certain discontent among professionals in the area and authors. Publisher Susana Baptista of Porto Editora considers this the main problem digital products face, which leads to the frequent unavailability of app books. Editorial coordinator Isabel Malzoni (Editora Caixote) points out criticism towards providers, such as Apple, which force constant updates in short periods, which leads to the publisher giving up on keeping the project online. On the other hand, aware that this is an inevitable fact, researcher Ana Carina Figueiredo (Bridging-Book) considers that the modular assembly of the system can facilitate this process, speeding up the updates that can be done in portions. Entrepreneur Fernando Tang (StoryMax) reinforces the importance of all parties involved (legal, financial, designer, programmer, etc.) working cohesively to enable the accelerated progress of revisions.

It is important to note that digital books have also made possible the creation of other products that encourage reading in childhood. Some companies offer catalog purchasing services, making various digital books available by paying monthly fees. Some of these platforms also explore another medium for literacy, offering online tools that motivate “the ability to create text and pictures in order to

tell stories” (Fisher, 2015, p. 198). As an example of this type of business, we have the website “Scribble Press” [app.scribblepress.com], which provides writing, illustration, animation, and narration tools for children to manipulate easily and build their own stories. We also highlight StoryMax’s “Inventeca” platform [storymax.me/inventeca], which offers a catalog of picture books so that children and adults can narrate their versions of stories and share them later with friends and family.

Book apps are also responsible for stimulating the rereading of stories. Serafini et al. (2016) point out that students who have read picture books in the print version are also interested in reading them in digital format. That can be used as a tool for teachers to propose classroom discussion dynamics about the differences in the narratives perceived between the paper and the electronic versions. The educational sector is the most prone to adopt digital materials in its practices, mindful of the need to deploy digital literacy skills from childhood (Patrício & Osório, 2016). Given this fact, publishers also tend to move toward embracing this portion of the market, motivated by government projects that seek projects in the virtual sphere to improve education.

David J. Staley, in an interesting report written in 2012, raised some questions about the future of printed books and suggested four hypothetical scenarios. Concerned about the future of physical libraries, the historian questions whether ebooks would be a sign of obsolescence of the codex object or just an indication of a new reading medium. And he pointed out four scenarios: (1) Consensual – predicted that by 2020 the ebook would have supplanted the consumption of printed books and that digital libraries would be a new reality; (2) Nostalgic – drew a scenario where printed books would become more robust and that ebooks would represent only a fad; (3) Book deprivation – believed that printing processes would become too expensive, so books would become rare objects, like collectors’ items; (4) Print book prosperity – assumed that the publishing market had prospered and that digital and print books had the same demand (Staley, 2012, p. 2).

The report has no intention of guessing the future, as it also considers the possibility that the process could have different results than what was assumed. The purpose of the essay was to exercise situational awareness. According to Staley (2012), it would help librarians, publishers, and researchers understand possible frames of change that would help them make decisions in advance. In 2021, we can already see that the picture that was concluded was, after all, the last one suggested by Staley, in which printed books continue to be strong and coexist with digital books. However, such an exercise will have to be continuously carried out in the coming decades to keep professionals on their toes and willing to follow eventual transformations to reinvent themselves and innovate constantly.

### 3 HYBRID RELATIONS

Reflecting on the advantages and disadvantages that the print and digital media introduce, we come to some thoughts about the possibility of their integration, where the tangible medium would connect with the virtual environment. Serafini et al. (2016) consider that digital platforms cannot match certain aspects of the printed book. They believe that elements such as the double-page structure and the composition of the text that needs to adapt from one version to another can change the design and, consequently, the meaning of the content in specific versions.

As an example of this concept, we have the book "Once Upon a Time" by author Johanna Schaible (Planeta Tangerina, 2021), which uses different paper formats to build a narrative sequence about time. In this case, the story is completed in the print medium and may suffer inevitable cognitive losses in adapting to the virtual.

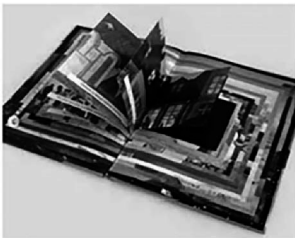


Figure 1. "Era uma vez", book. Source: [www.instagram.com/planetatangerina](http://www.instagram.com/planetatangerina).

However, the use of technology in childhood meets the theories of Piaget, who indicates motivation and emotion as fundamental in child development since the playful possibility of electronic devices integrates the user's interest with the learning opportunity (Hourcade, 2008). The researcher Ana Lúcia Pinto (2014a) explains that, during this dynamic interaction, the child reads and creates meanings that will apply in the future when reading other artifacts. "The stimuli taken from the individual's environment are seized by the memory and conditioned by his motivations, experiences, and previous knowledge" (Pinto, 2014a, p.5). Taking advantage of this process, the media that integrate various stimuli during the reading process can be classified as multimodal (Kress, 2000 apud Pinto, 2014a) since they involve the multiple senses through sounds, touches, and images.

In the last decades, the integration between printed and digital books has become a real possibility, exploring several sensorial layers that gather electronic qualities around the paper artifact (Pinto, 2014a). Some projects, developed mainly in the academic environment, set out to rethink the structure

of the pages and brought curious innovations to the organization of the printed book. As an example of one of these technological experimentations, we have the project "Electronic popable" (Qi & Buechley, 2010), which proposed to explore new techniques of interaction between paper and electronics. According to the authors:

"Integrating interaction design with an exploration of physical materials expands designers' creative toolbox, enabling them to construct devices that look, feel, and function very differently from the boxes we have become accustomed to." (Qi & Buechley, 2010, p.127)

The project can be categorized as a mobile book, with several pop-ups in its physical structure, integrated with electronic devices that add a technological layer to the material through sounds, lights, and movements.

This project is an example of transparent interaction that, according to Figueiredo (2013), enhances the use of the book on paper, integrating electronic elements that will be manipulated naturally by the user already accustomed to reading in printed media. In this case, the interaction happens completely in the tangible sphere, exploring electronic items that will be added to the book object. This model can be found, in a simpler way, in children's books that trigger music, sound, and light when manipulated.

However, some projects show other points of convergence between the digital and the paper media. As a first example, we have the book "Alpha - 5-minute stories" (Neves, 2017) by Porto Editora, which features augmented reality technology, and which, through visual marks captured by the tablet or smartphone's camera, presents animated and manipulable characters on the screens of these devices. The user can explore the images from any angle since the three-dimensional representation allows the camera's rotation in various directions. According to Figueiredo (2013), this category explores "interactive multimedia features through the addition of external components" (p.36), dividing the reader's concentration between the paper and the electronic output device.

In a second example, we find another relationship between print and digital. The book "Tip Tap - Mon imagier interactif" (Tip Tap - My Interactive Image Books) (Boisrobert & Rigaud, 2015), published by Hélium (a French publishing house), is presented in physical media. It has similar characteristics to a children's book but offers the opportunity to extend virtually through an app made available to those who bought the printed version. Intending to teach new words through geometric illustrations related to nature, objects, and characters, the book presents a wide variety of items that, in the app, can be combined and manipulated by the child. It is an impressive example of personalized narrative construction since the printed book only presents the



elements of a possible story, suggesting characters, scenarios, and actions, later offering the opportunity for the child to build their version of the story.

Another example of a children's book with a hybrid profile is the master's project "Bridging-Book" by researcher Ana Carina Figueiredo (2013). Developed in the EngageLab laboratory (University of Minho), with a team composed of researchers from the areas of interaction, technology, communication, and design, the project sought new models of books based on guidelines from the EngageBook research program. The "BridgingBook" software emerged with engineering that involves magnetic sensors for the correspondence on the screen of the content that is being leafed through on paper.



Figure 2. "Bridging book" project. Source: Pinto, 2014a, p. 10.

According to researcher Ana Lúcia Pinto (2014b), a team member involved in the project, the "BridgingBook" focuses on the printed book as the main artifact already known, using this hybrid intersection with the digital as a new interactive form of readability enhancement.

Ana Carina Figueiredo points out that the project was focused on employing the importance of tactile in everyday activities and was born out of the technology they were trying to develop. The solution found, based on sensors, used images to identify the active page of the book, which resulted in a stable technology so that later other developers could fit content into this platform. The software had its technology patented and was initially licensed to an Asian group called Hung Hing Printing Group, which developed a collection of books based on the technology – the "Explore the English world with doctor I" series [<http://www.littlemusician.hk/explore-the-english-world-with-dr-i>]. Currently, the technology is being licensed by the Portuguese startup MagikBee. (EngageBook, 2015).

Another academic source for studying children's digital books is the program "International collective of research and design in children's digital books", led by the University of Stavanger – Norway [[www.childrensdigitalbooks.com](http://www.childrensdigitalbooks.com)]. It aims for greater integration between researchers and designers on a global scale. The project can be consulted online and provides a series of studies in the area,

committing itself to the goal of generating good quality digital books for children.

The collective coordinator, Professor Natalia Kucirkova, considers hybrid books, which combine printed books with digital interactions on mobile devices, to be the most successful examples of reading engagement. According to the professor, children can enjoy digital books as much as print books. When they are well designed, digital books can be a source for vocabulary enrichment, comprehension, and story engagement, becoming a stimulus for reluctant readers who have few or no books at home (Kucirkova, 2019). The joining of these two media can then be perceived as a significant added value, which aims to involve several cognitive stimuli during reading, such as perception, handling, interaction, decoding, and interpretation of the story (Pinto, 2014a). These processes enhance cognitive development in childhood and contribute to a better reading process.

#### 4 ACTUALITY

It is inevitable that predictions about childhood reading, based on physical and digital media, consider the global scenario affected by COVID-19. As the event with the most significant social impact in recent decades, the pandemic has spurred change, including long-term effects not yet known to today's children. In a survey conducted in Australia, McCrindle & Fell (2020) found that 84% of respondents felt that the COVID-19 crisis would significantly shape childhood today. They also stated that the most significant impacts would be the massive integration of technology into their lives and the appropriateness of education for online platforms. On the other hand, it was evident that the face-to-face context of school is of fundamental importance, with tactile experiences considered essential in assimilation to digital media (McCrindle & Fell, 2020).

In 2020, the COVID-19 pandemic sparked searches for content to read online and would be an ally to the prophylactic isolation established worldwide. Initiatives that had been happening in specific mediums gained notoriety, as is the case with Wattpad, an online platform of paid and free books with mostly English-language versions. "The site's shelves bring together classics of literature, from Jane Austen and Hermann Hesse, alongside short poems and stories written by users. Stories by Harry Potter fans, with alternative versions or continuations of the stories, are among the most popular" (Pequenino, 2020).

Platforms like this are an outstanding contribution to stimulating reading and writing in the digital medium, representing a source of motivation for young people to read more.

Another literary event, which occurred during the pandemic, was the release of the book “The Ickabog” by the world-famous J. K. Rowling, author of the Harry Potter saga. The fairytale book was released in chapters daily for weeks so that any child anywhere in the world had remote access and could be part of the book’s construction that would later be printed (Little One, 2020). In late 2020, the book was released in print, digital, and audiobook formats, containing 34 drawings made by children who were part of the online reading. Part of the sales profit is going to vulnerable people affected by COVID-19 (<https://www.theickabog.com>).

Even if projects like these gain a certain widespread prestige, the research shows that a large part of the transformations that will occur in the publishing field, between digital and printed books, must pass through the action of parents, guardians, and especially teachers, who act as mediators and give the verdict on what children access. Reading culture in the 21st century is perceived as an intrinsic part of the school environment, which points out what materials are most suitable for each age group and how that content should be consumed. According to Kucirkova (2018, p.2), with the popularization of digital books, “the teacher’s instrumental role in mediating access and deployment of books and technologies becomes doubly important”. Therefore, the designer of children’s digital books must be mindful that his project will have the child as the primary target audience but will inevitably rely on the interaction of parents and teachers who will use the device as mediators in reading.

## 5 CONCLUSION

We conclude this research aware that print and digital media have specific potentialities for development in childhood. When well understood, these skills can coexist at different times, always paying attention to the child’s needs and family environment (Kucirkova, 2019). We consider it essential to offer reading in childhood in all possible media, taking into account the particularities of each age group, so that the child learns to recognize which are their favorite ways of reading. As professor Natalia Kucirkova (2019) points out, we should not instigate a binary discussion between print and digital but rather think of the junction of these two media as converging cycles that should be encouraged. To this end, improving children’s book design practices and hybrid technical knowledge should always be the goal to be sought by professionals involved in this portion of the publishing market.

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# The timeless cork design in Portugal; on the cutting edge of sustainability

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**ABSTRACT:** Cork is a natural, recyclable, non-toxic and renewable resource obtained from the bark of the cork oak (*Quercus suber L.*). Its unique properties make cork one of the most versatile and mind-blowing materials and an excellent choice for designing sustainable products and creating new spaces. This paper looks at the efforts of the Portuguese cork Industry (PCI) to change the paradigm of cork use. From the traditional and ancient use of cork to an era where sustainability is the future, sustainable cork products are now emerging with brand new designs following a circular economy model (CE). Interviews with CEOs, designers, architects and academic experts from the PCI mainframe provided a fruitful discussion on the benefits of using cork products for a sustainable future already. Despite being considered a ‘green’ sector, the results showed that PCI does not fully utilize the CE model. Furthermore, the results identify CE drivers and barriers to rethinking eco-design in the PCI and show that the PCI sector benefits from a CE paradigm because the cork industry is sustainable and can innovate and develop new products. However, the implementation of CE is difficult as most companies focus on cork stoppers and lack the financial resources to acquire new Industry 4.0 (I4.0) facilitating technologies for a productive and creative paradigm shift. The work of Ramos (2021) served as background for this paper.

**Keywords:** Cork sustainability, Circular economy, Cork eco-design, I4.0. Portuguese cork industry

## 1 INTRODUCTION

The need for a sustainable society, meeting the present demands without risking the capability of future generations to meet their own needs, has a strong relevance nowadays (Brundtland, 1987). Social-economic and environmental trends are changing radically, along with technological progress, population growth, and increasing awareness of resource scarcity. The consumption-driven economy based on the cradle-to-grave<sup>1</sup> concept (Braungart & McDonough, 2002) model uses limited resources to create new products systematically discarded in unsustainable landfills after being used. The “take-make-dispose” oriented Linear Economic (LE) model generated interest in a new Cradle pattern. Consequently, the cradle-to-cradle<sup>2</sup> approach is central to the idea of a Circular Economy

(CE) model (Braungart & McDonough, 2002). In this context, Portugal has a sustainable raw material (the cork), used for centuries, which can be transformed, manufactured, recycled, and reused, and an industry (PCI) where “Sustainability and Future” are the main keywords (Ferreira & Sousa, 2019).

In addition to a strong relationship with the wine Industry, PCI also expanded its applicability to other product ranges, ensuring a reference position in the world market (Gil, 2015). Cork, the outer bark of the cork oak tree (*Quercus suber L.*), is a versatile raw material that adapts to different technological transformation processes and applications. The production sector seeks materials whose focus is sustainability and products that can convey the values of ecology. Cork extraction does not damage the cork oak. Moreover, the cork regeneration process promotes an increase in

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1. The full Life Cycle Assessment from resource extraction (‘cradle’) to use and disposal phases (‘grave’).

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2. The full Life Cycle Assessment from resource extraction (‘cradle’) to use and disposal phases (‘grave’).

the absorption of CO<sub>2</sub> (a greenhouse gas, GHG) by the tree, one of the rare cases in which human intervention is beneficial to the environment. Throughout their life cycle, from extraction to processing to disposal, sustainable materials provide environmental, social and economic benefits, while protecting public health and the environment. Nevertheless, *Q. suber* only survives in exact conditions of temperature, water, and soil characteristics, so climate change is a menace to the cork industry’s sustainability since those changes inflict massive damage to the cork oak forest. Thus, preserving this natural resource, decreasing the cork waste from cradle-to-gate<sup>3</sup> (Franklin, 2011), recycling the cork waste/products that achieve their end-of-life, and expanding the Portuguese cork recyclability potential are core decisions for sustainable use (Mestre & Vogtlander, 2013). The sustainable practices used by companies towards a CE paradigm impact people’s life and the natural environment. Hence, this study expects to be a valuable tool for the cork industry and designers to understand and apply potential sustainability improvements. In addition, the present research detected a gap in the literature concerning the insufficient knowledge held by entrepreneurs in the cork sector on (i) how to obtain sustainable wealth-generating products within a CE framework; and (ii) to what extent can new I4.0 technologies be adopted and help the industry move towards sustainability. Thus, two research questions, RQ, arise:

- RQ1: Does a CE paradigm benefit the Portuguese cork industry in the near future?
- RQ2: Are Industry 4.0 (I4.0) Technologies and Digital Transition the drivers for Sustainability and CE practices in the Portuguese cork sector?

This study’s dependent and independent variables are (i) the CE model and (ii) the PCI’s capacity to implement its principles. Furthermore, some moderating variables (such as the industry’s capacity to use I4.0 technologies, its capability to implement a closed-looped supply chain, its ability to develop new products, and its status regarding sustainability policies) will be examined to help evaluate the PCI current sustainable development, compare its policies to CE principles and reach a conclusion of what may be improved.

After a literature review, seven RQ-related propositions arose to support the conclusions reached at the end of each research question (Figure 1), serving as a base for the interviews.

This investigation follows the conceptual model represented in Figure 2. The systematic approach undertaken aims to understand the state of sustainability in small and medium-sized cork companies. Implementing sustainable practices and circularity in

RQ1: Does a CE paradigm benefit the Portuguese cork industry?	RQ2: Are I4.0 Technologies and Digital Transition the drivers for Sustainability and CE practices in the Portuguese cork sector?
P1.1: The sustainability policies in the Portuguese cork industry are already fully related to the CE paradigm	P2.1: The I4.0 Technologies are drivers for the development of new sustainable products in the Portuguese cork sector under a CE paradigm
P1.2: The Portuguese cork industry benefits from a CE paradigm	P2.2: A change towards CE paradigm, using I4.0 technologies, benefits the eco-design in the Portuguese cork industry
P1.3: The Portuguese cork industry benefits from a closed-looped value chain and from cork materials recycling	P2.3: The drivers and hampers of CE in the Portuguese cork industry are political, social and/or economic
P1.4: The Portuguese cork industry benefits from new product development	

Figure 1. RQs with the seven related propositions.

PCI could optimize cork utilization and reduce costs, waste, water, and energy consumption, leading to process optimization, innovation, and improved customer and employee satisfaction.

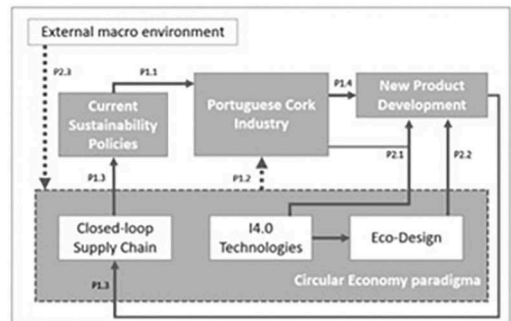


Figure 2. Research conceptual model with the seven concepts addressed.

This work outlines the progress made in recent years toward CE and how I4.0 is revolutionizing the manufacturing, improving, and distributing of products. (Silva & Almeida, 2020). A selection of the most representative cork products and new applications in new objects and spaces follows.

## 2 TIMELESS CORK MATERIALS & SUSTAINABLE PRODUCT DESIGN

Cork has been used since time immemorial. Indeed, various civilizations found the potential of this raw material from the cork oak tree several millennia BC and used it in a wide array of everyday objects. This is confirmed by countless remnants that have been found in several Mediterranean countries. From Roman Civilization exploring the virtues of cork in footwear to the Discoveries Age, where this raw material was used in the Portuguese caravel ships, until today, the potential of cork continues to be

3. An assessment of a partial product life cycle from resource extraction (cradle) to the factory gate

recognized. In a world where innovation and ecology now go hand in hand, this material is attracting the attention of an increasing number of sectors. Thus, one of humanity's most ancient products in constant use lasts to give life to new products and applications. This includes distinct areas such as construction, sports, fashion, design, health, energy production, and the aerospace industry.

Portugal has a long political history of promoting resource efficiency in managing and recovering specific waste streams, energy efficiency, and green growth. Cork is one of the natural resources on which economic growth relies, and the cork sector shows sustainable growth (Gil, 2015). Moreover, it has been quick to adopt new and sustainable technologies in all production processes. Being highly dependent on natural resources, the PCI has an immense interest in becoming fully sustainable, building long-term resilience, generating business and economic opportunities while providing environmental and societal benefits (Demertzi et al., 2016).

The Portuguese cork industry has launched a new paradigm of industrial management, becoming vertically integrated to guarantee control of the whole chain of value and, at the same time, coming closer to forestry production and end-users. The cork industry is now fully committed to quality, the preservation of the natural environment and landscape, and the satisfaction of its customers.

All designers and corporations wish to fully utilize all raw materials with minimum waste produced in the manufacturing process. Still, established firms generally follow mainly linear models, which is a significant obstacle to the CE transition and, consequently, to resource optimization and waste reduction (Gil, 2015). This problem involves changes from technologies to operations processes and from designers to managers' mindsets. In PCI, the first premise - to attain sustainable use of all raw materials in the manufacturing process with a minimum of waste produced - is unquestionably applicable, especially considering the raw materials' organic nature and biological origin (the cork). One of the main goals is to explore the sustainable potential of cork through the creative vision of designers and architecture studios. Three fundamental objectives can be highlighted from the possible interaction between cork producers, designers, and architects: contributing to expanding the use of natural and sustainable materials in urban contexts; paving the way for greater awareness of sustainability issues, and the development of contemporary urban landscapes; and encouraging innovative and critical thinking, proposing ideas that can effectively contribute to living in a community and with the environment. A new paradigm born out of challenges with cork material: intense competition from plastic and aluminium closures and the retreat of the construction sector with the substantial drop in sales has forced the

sector to reinvent itself and constantly invest in Research and Innovation. Focusing on CE, attention seems to be turning to the use of wastes resulting from cork stoppers production (Mestre and Vogtlander, 2013). Cork composites are one of the most promising fields in the cork technological evolution, and all by-products (from cork conversion) have sustainable applications (Ramos, 2021).

When a product is bought, a visual identification creates an emotional connection. The same situation happens when an attractive design is combined with all the sustainability features achieving a winning product. Sustainable product design is considered an interdisciplinary concept, encompassing product design and sustainability towards innovation, adaptation, and future crafting/industrial concepts. Product design develops new products and services that create innovation and added value. Designing sustainable products can achieve two main goals: on the one hand, to develop new solutions with more sustainable products that have more excellent added value for both the community and the customer. Also, designing sustainable products integrate aspects related to eco-efficiency (eco-design significantly reduces the impact of these new products on the environment. Thus, innovative and new cork materials must be accepted and thought of by designers, architects, engineers, and other professionals (Maccioni et al., 2021).

Innovation in processes, new products and technologies, research and development in the cork industry sector, universities, and research centers, and the winning of brands that could place the cork on a premium level in all its aspects (architecture, fashion, design, transport), as well as renowned prescribers in the various fields, investment in quality and human value, became research guidelines to address.

### 3 METHODOLOGY

To gather exploratory data collection, a qualitative multi-respondent study design was adopted. The semi-structured interview form was developed based on the themes emerging from the literature review: Circular Economy, Cork, Industry 4.0, Innovation, New Products Development, Sustainable Design, PCI, and Sustainability. Three experts were interviewed before going into practice to verify that the interview plan covered the full range of questions to address the subject entirely. The key informants that would best address the research questions are industry players in the PCI, other stakeholders of the cork sector, designers and scholars with interesting knowledge in cork materials, and high-tech industry association experts. The justification for conducting interviews is based on interacting with the respondents and assembling in-depth answers generating

a deeper understanding of the area of interest and providing various perspectives. Available company documents were used for data triangulation. All interviewees' names are kept confidential. In total, 10 participants were involved. The collected recorded material was transcribed and compared with the notes taken during the interview to give the researchers a more complete and accurate picture of what was said. In addition, all notes and transcripts from each interview are compared to identify similarities or differences. In the current work, the quotes increase the research's reliability and help understand what is being said in each interview. Categories are used in the form of different concepts in the operationalization to combine them and to be able to analyze differences and similarities. EcoCanvas was a tool used to evaluate the PCI and facilitate data analysis regarding environmental, social, and economic issues. In addition, CE model implementation is addressed. This allows conclusions to be drawn about the knowledge on achieving wealth-generating sustainable products and services in the PCI in a CE framework.

#### 4 EMPIRICAL RESEARCH - INTERVIEWS AND RESULTS

The interview analysis is based on the RQs and related propositions (Figure 1). The interviews were conducted with four university professors (P1, P2, P3, P4), three PCI entrepreneurs (E1, director of the Portuguese Cork Association APCOR; E2, CEO of the company "S", specialized in black agglomerates; E3, responsible for the production in CPF-Cork) and three designers (D1, D2, D3). The interview approach allowed us to go deeper into the RQs and compare it with the information from the literature. Therefore, the following empirical data is presented and analyzed in terms of the theoretical concepts presented in Figure 2.

##### 4.1 Portuguese Cork Industry (PCI)

Portugal is part of the EU, and the current practices of this industry are adjusted to European directives and policies, and the PCI cork sector develops its operations within the EU rules. According to E1, The cork sector believes that EU rules are very beneficial goals and orientations"; and "We will grow again this year and maintain our target of 1.5 billion exports by 2030. In turn, E2 stresses the importance of cork oaks to achieve sustainable growth in rural Portuguese regions with scarce conditions for other primary economic activities: It is forbidden to cut them down; There are incentives to plant and exploit cork oaks to generate sustainable clusters of socio-economic activity in those regions where they are planted, mainly in the inner regions of Alentejo"; and "Bark stripping results in seasonal work to around 6,000 people". According to E3: "There is

a relationship between small and large companies. Large companies indeed drain off the product from the small ones, keeping the raw material and various forms of financing. However, small companies play an essential role in system flexibility, and fluctuations in demand significantly affect them.

##### 4.2 Circular economy paradigm

The feedback is overall positive, with the interviewees mentioning that it could create new jobs, reduce costs and waste, create new products and new business models, thus, increasing the overall value of the industry. PE states that government support could be important, adding that there should be an investment or an encouragement from the government to increase the number of cork oaks and to increase the amount of raw material available, stressing the importance of recycling both cork waste and lesser quality cork. However, legislative changes and creating an Eco-Industrial Park to facilitate the circularity in cork industry operations had opposite opinions. The first was considered irrelevant by E3 and E1 and vital by P4, E1, E2, and E3. The latter is geographically impossible or irrelevant by E1, E2, and something already happening by P1, and E1, E2, and E3. Therefore, the collaboration between the cork industry stakeholders to implement CE policies is essential, and it is already happening (a common opinion of P1, P3, E1, E2, E3, and D3).

##### 4.3 Current sustainability policies in the cork industry

All the answers indicated that the industry is very sustainable, with few negative impacts on the environment and that PCI companies use almost entirely its waste, as mentioned by P4, The cork industry, as far as I know, is relatively sustainable. It does not use very polluting processes and does not generate great waste. What is not used in the finest productions (the cork stoppers) is then used to produce other types of products. P3 reinforces this by mentioning that there is an attempt to make full use of the product, so there is practically no waste, and even the powders are used for energy, whether for heating the cork cooking water or for generating electricity. In his turn, D3 admitted, There is room to improve, and that the environmental policy is more focused on the 'No Waste Manufacturing' paradigm than the CE paradigm. To improve, D3 suggested To make an investment in recycled products and further investigation and innovation in this area.

##### 4.4 New product development and eco-design

Sustainable Product Design and Innovation are requirements to create new sustainable solutions

which integrate economic, social, and environmental aspects through the whole life cycle of a product or service. In recent years, the cork sector has started to use cork's sustainability values and eco-efficient nature to create an innovative image of cork in keeping with the values of sustainable development, as revealed in the analysis of the interviews. Despite being the leading producer and exporter of cork globally, Portugal does not have a long history of Research and Development (R&D) in cork. The interviewees stated that the industry can develop new products and that Innovation plays a critical role (D2). However, P2 refers to a Gap between the research in cork materials and their application in new products. Coincidentally, the ability to create new products and maximize resource usage are seen by E1 as the main competitive advantage of the CE paradigm. E1 considers Sustainable Product Design a promising trend for Sustainable Development. He added that eco-design is like a tool [among others] to implement sustainability in practice, proposing innovative cork products that promote and convey new sustainable lifestyles. P3 mentioned that Cork allows new product development targeting sustainability and simultaneously stimulating the economic competitiveness of local cork industries and helping more sustainable consumption. D3 reveals a similar opinion concerning eco-design, saying eco-design improves the life cycle and eco-efficiency of products, boosting dematerialization. From a practical perspective, according to D1, Cork offers (to designers) a range of materials and technological options that are potential for developing new sustainable products not yet introduced into the market.

#### 4.5 *Closed-loop supply chain*

Theory based on relating the end of a supply chain with its beginning by collecting and processing used (or unused) products, providing them with an economic, social, and environmental value. E1 confirmed that it is difficult for the industry to return used cork stoppers to be utilized by the industry. He mentioned that, in theory, it would be good for the industry to recycle the stoppers, given the necessity to increase raw material availability. So, it is mandatory to conduct a study and understand if it would be economically and environmentally positive for the industry.

Overall, it is believed that only national cork products could be returned, given the financial and environmental costs. Regarding collecting cork-used objects, P4 says this policy would only impact the non-cork stoppers products because recycled cork stoppers cannot be reused as cork stoppers, due to health standards.

#### 4.6 *Industry 4.0 Technologies (I4.0)*

PCI must introduce new technologies to its operations as it creates new business models and brings economic and social benefits. The interviewees pointed out several problems with introducing these technologies: difficulties in obtaining financial partners due to being a small industry and no direct government support (existing tends to go for the larger companies, more able of using the money, with some having an R&D department). Still, APCOR tries to mitigate this issue by sharing knowledge with smaller companies. Too many bureaucracies and lack of technology availability and information are referred. Overall, the technology suggested to the interviewees had positive feedback: (i) 3D printers – a technology owned by APCOR and that some companies use; (ii) Digital passports – essential to ensure maintenance and recycling; (iii) Traceability of products, ensuring sustainable origin and production – according to E1, the sector uses the Forest Certificate, which requires traceability; (iv) Digital waste management; (v) Augmented reality technology; (vi) Smart factories; (vii) Connecting companies in a network to share knowledge – D2 stresses the positive factor for the industry, as long as it does not take competitive advantage. It is hard to implement since one company controls a large portion of the market. However, P3 claims an adequate education is a critical element to implement these technologies, and E1 mentioned that APCOR has an education center and projects to help the companies.

Even so, E1 is very sharp with the following affirmation: The last two or three years have seen an unprecedented technological acceleration in our sector, with a need for heavy investment, not always compatible with the size of our companies. However, APCOR sought to create this stimulus, giving companies diagnostic tools on their positioning concerning Industry 4.0 and new production models to define action and improve plans. Of course, we are amid implementing these issues, but I believe it was a program that created the conditions for awareness of the issues of process automation, digitalization, and everything related to increasing competitiveness.

## 5 DISCUSSION AND CONCLUSIONS

Many tools summarize results and allow conclusions to be drawn from qualitative studies. The EcoCanvas (Antikainen & Valkoraki, 2016) is the chosen tool to achieve this and bridge the conclusions to environmental, social, and economic issues (the three CE pillar) revealed in our data analysis. It is a Business Model Canvas-based framework to assist companies that wish to become more sustainable and conclude about the established practices and those that will need to be



<b>Foresight &amp; Impacts (Environmental)</b> <ul style="list-style-type: none"> <li>- Climate change</li> <li>- Wildfires</li> </ul>	<b>Circular Value Chain</b> <ul style="list-style-type: none"> <li>- Wine and construction costumers</li> <li>- Suppliers and Distributors</li> <li>- Competitors</li> <li>- Recycling sector</li> <li>- Closed-loop Supply Chain possibility</li> </ul>	<b>Problem/Challenge</b> <ul style="list-style-type: none"> <li>- Minor recycling of used products</li> <li>- Little raw material available</li> </ul>	<b>Circular Value Proposition</b> <ul style="list-style-type: none"> <li>- Increase the Portuguese cork oak forest</li> <li>- Increase the cork recycling campaigns and benefits for the participants</li> </ul>	<b>Stakeholders Relationships</b> <ul style="list-style-type: none"> <li>- The companies depend on each other to use all available cork</li> <li>- Increased export competitiveness with the creation of the cork cluster</li> </ul>	<b>Customer Segments</b> <ul style="list-style-type: none"> <li>- Mainly wine consumers and construction companies, but an increasing number of other sectors, as well</li> <li>- Environmentally friendly customers</li> </ul>	<b>Foresight &amp; Impacts (Social)</b> <ul style="list-style-type: none"> <li>- Courses for the companies available through APCOR</li> <li>- Growing trend towards a more sustainable business model</li> <li>- Consumer's awareness on environmental issues increases</li> </ul>
	<b>Key Resources</b> <ul style="list-style-type: none"> <li>- Cork</li> <li>- Equipment to cook cork</li> </ul>		<b>Product Description</b> <ul style="list-style-type: none"> <li>- Cork products</li> <li>- Sustainable cork products</li> <li>- Cork products Eco-designed</li> </ul>	<b>Communication &amp; Sales</b> <ul style="list-style-type: none"> <li>- Social Media</li> <li>- Local and International fairs</li> <li>- Online and physical stores</li> </ul>	<b>Social Impacts (Positive and Negative) generated by Cork Industry</b> <ul style="list-style-type: none"> <li>- Increased offer of labour</li> <li>- Increase in higher education jobs supply due to the growing technological upgrading of the cork industry sector</li> <li>- Social wellbeing increases due to facilities environment and external environment improvement</li> </ul>	
	<b>Structure Costs</b> <ul style="list-style-type: none"> <li>- General costs: Labour, Rent and Administration</li> <li>- Depreciation of machinery</li> <li>- Variable costs: fuel, packaging, staff training</li> </ul>		<b>Revenue Streams</b> <ul style="list-style-type: none"> <li>- Sales</li> </ul>			
	<b>Environmental Impacts (Positive and Negative) generated by Cork Industry</b> <ul style="list-style-type: none"> <li>- No waste</li> <li>- Less use of non-renewable energy sources</li> </ul>	<b>Circular Business Model &amp; Innovation</b> <ul style="list-style-type: none"> <li>- Use of every waste created in the production process</li> <li>- Recovery of cork products from customers to boost the recycling process</li> <li>- Development of brand and sustainable new products under a Eco-design mainframe</li> <li>- New business models and benefits brought by Industry 4.0</li> </ul>				

Figure 3. EcoCanvas framework regarding the conclusions about the PCI suitability to CE.

outlined. The framework in Figure 3 resumes our conclusions.

Exploring Ecocanvas, we conclude that the cork industry has outstanding technological capabilities in materials and processes. However, these abilities focus on traditional products and applications that, in most cases, no longer represent competitiveness and differentiation. This situation contrasts with the high investment in research and development (R&D) over the last two decades, which has led to numerous patent applications that the industry has not fully explored (Ramos, 2021).

Also, only a hand full of companies has the financial capability to launch new products. In the PCI, although the technical needs are fulfilled for the proper industry function, implementing the I4.0 technology would be valuable as enforcing a digital passport (Silva & Almeida, 2020). However, the most significant concern is the lack of funds that could assist the PCI in executing these technologies.

In a CE framework applied to industries adopting suitable (I4.0) technology to increase efficiency in manufacturing and reduce waste, the idea of cradle-to-cradle design, as Krajner and Pracek (2019) uphold, applies perfectly in PCI, defining and incrementing the development of cyclable cork made products. To maintain the quality of raw materials over multiple life cycles taking the production processes, the use, and the reuse into account, these products must be developed according to an appropriate

manufacturing framework. This means no waste; all cork materials and products are inputs in the productive cycle. The right materials are integrated into defined cycles in PCI at the right time and place. To maintain the quality of raw materials over multiple life cycles taking the production processes, the use, and the reuse into account, these products must be developed according to an appropriate manufacturing framework. This means no waste; all cork materials and products are inputs in the productive cycle. The right materials are integrated into defined cycles in PCI at the right time and place.

On the product design, it is fair to say that there have been few isolated experiments (with no overall strategic direction) made primarily by designers experimenting with the cork in their workshops without any advanced technology and production support (Gil, 2015). It is also possible to conclude the industry's environmental weaknesses due to its high exposure to wildfires (common in Portugal) and climate change. Another weakness is the high dependency on the wine sector, but this industry's environmental and social benefits are clear.

With a suitable CE model, the raw material disposal would increase. Further, the secondary products also increase due to the rise of resource availability not destined for cork stoppers and the adoption of the I4.0 technologies. The central point that emerges from our research is that it is possible to draw a CE model that integrates sustainable

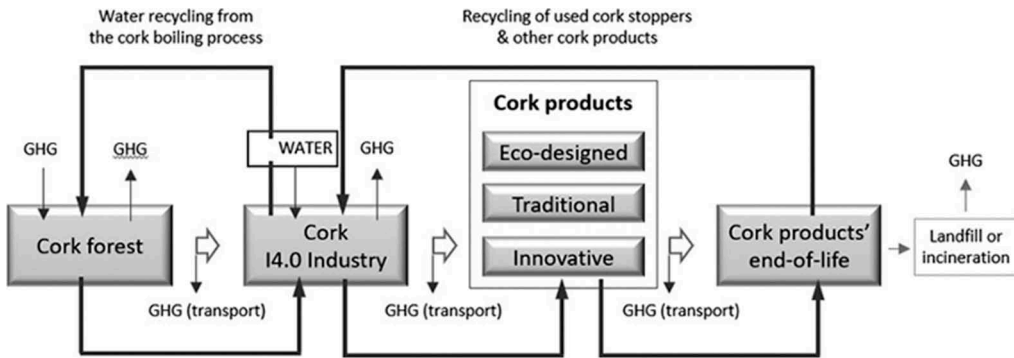


Figure 4. Cork life cycle with the approaches that contribute to developing a CE model in PCI.

approaches in PCI, localizes and mitigates impacts resulting from resources overconsumption and GHG emissions. The model is depicted in Figure 4.

A new paradigm born out of challenges with cork material: intense competition from plastic and aluminium closures and the retreat of the construction sector with the substantial drop in sales has forced the sector to reinvent itself and constantly invest in Research and Innovation. When there is so much talk about the circular economy, attention seems to be turning to the use of waste resulting from cork stoppers production. For example, in the aeronautical industry, a cork-based composite covers space vehicles, protecting them from the heat on re-entry into the atmosphere. Everything that is a by-product, i.e., that is resulting from natural cork conversion, has various applications, most of which are sustainable.

The potential of cork extends not only to wine cork stoppers but also to other sectors such as transport, fashion, furniture, or lighting. The agglomerates and by-products of cork have exceptional potential and the possibility of transforming used products or waste into various new applications and spaces where cork takes center stage.

The growing attention paid to factors such as thermal behavior and decorative aspects leads to a positive response to these solutions. Some automobile prototypes (e.g., from Mercedes) have already been shown at motor shows but have not been mass-produced. In the meantime, cork furniture that bridges sustainable spaces is a concept that has already passed the prototype stage and is gaining importance in the furniture market, combining comfort and attractive aesthetic lines.

The innovation process in the cork sector is closely linked to the environmentally friendly properties of cork and takes advantage of the increasing importance of sustainability in modern society. Moreover, the innovation process in the construction sector was very much in line with European strategic plans to reduce environmental impact and energy

consumption. Nevertheless, the cork industry has a great technological capacity in terms of materials and processes, but this capacity is entirely focused on traditional products and applications, which in most cases are no longer competitive and allow differentiation. This means that despite high investments in R&D and many patent applications, the industry does not take full advantage of the new technologies and processes created.

The present work reveals that the production processes in the Portuguese cork industry are oriented towards a “**Zero Waste Production**” paradigm rather than that of CE. However, this model does not include a post-use process, which is a weakness for the Portuguese cork industry, as it is difficult to recycle used products. So, a circular paradigm could help this industry to recover the used cork thanks to its “cradle to cradle” model with the help of Industry 4.0 technologies.

Thus, our study brings us to the following assumption: PCI is sustainable, innovative, and can develop new products. Furthermore, the sector could become even more sustainable with the diversification of its eco-designed cork products and the rise of other PCI segments brought by the CE model. Thus, about RQ1, we conclude that a CE paradigm helps the PCI. Regarding RQ2, we infer that I4.0 Technologies are drivers for sustainability and CE practices in the PCI. Unfortunately, undertaking CE is not easy since most businesses focus on cork stoppers and lack funding to obtain new I4.0 facilitating technologies for a productive and creative paradigm shift.

From the past to the future, today’s timeless cork design is on the verge of sustainability and on its way to new spaces.

#### ACKNOWLEDGEMENTS

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# *Shifting Ground—Outro Chão*; creating a space of inclusion and democratic participation through social art and design

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**ABSTRACT:** *Shifting—Ground Outro Chão* is a hybrid social art and design project aiming to create ceramic sculptures involving newcomer immigrants with the support of local stakeholders and public funding. The project's first pair of workshops occurred in 2019 in Cedar Rapids (Iowa, US), followed by another workshop in 2021 that was developed in Lisbon and Montemor-o-Novo (Portugal). This latter is the background to present the creative process we have been experimenting with in collaboration with Jane Gilmore, an American artist based in Cedar Rapids and newcomer immigrants to Portugal. The implemented participatory process is based on ceramic sculpture workshops and the representation of memories and ambitions related to the immigrants' cultural heritage and skills. The paper explores the methodology and methods within the co-creative work with all actors involved and particular notions of space and time, according to Doreen Massey, Henri Lefebvre, and Tania Bruguera.

**Keywords:** Social art and design, Immigration, Porosity, Active space

## 1 INTRODUCTION

The *Shifting Ground—Outro Chão* project is a participatory art and design initiative that began in the summer of 2019 in Cedar Rapids, Iowa, and has continued in Lisbon, Portugal, in 2021. The first part was funded by the Portuguese Foundation for Science and Technology (FCT), through the Center for Art History and Artistic Research (CHAIA), University of Évora; The Iowa Arts Council, a Division of the Iowa Department of Cultural Affairs; The City of Cedar Rapids; The Iowa Ceramics Center and Glass Studio; and Cedar Rapids Bank and Trust. Also noteworthy was the local support of the St. Paul United Methodist Church.

The Partnerships Program funded the most recent intervention in Lisbon for Impact of the Portugal Social Innovation initiative through the UpStart project. Besides promoting social innovation and entrepreneurship in Portugal to boost new solutions to constant social problems, the Portugal Social Innovation program is a significant agent in fostering social innovation and entrepreneurship projects (Portugal Inovação Social, n.d.). The UpStart is an initiative promoted by the Aga Khan Foundation, with which the University of Évora, through CHAIA, has

been collaborating in diverse participatory artistic projects involving disenfranchised communities from the outskirts of Lisbon.

The *Shifting Ground—Outro Chão* second intervention in Lisbon had this particular aim to contribute to the participants' empowerment to ensure greater efficiency in the response levels of future social interactions and contribute to their economic and financial sustainability. Besides aiming at the emancipation of the concerned citizens through creative thinking, the project seeks to foster a more overall awareness in the general public regarding the potential of social art and design and culture, in a broader sense, as essential means for embracing difference.

Five persons formed the group of immigrants that participated in the Lisbon workshop. Engrácia Santos, born in Angola, who learned painting techniques at the Professional School of Arts and Crafts in Luanda; Erika Jámece, born in Angola and studied in the same school as Engrácia Santos; Gita Gumira, a native of Indonesia, who has devoted herself to painting from an early age; Ilda Kalenga, born in the Democratic Republic of Congo and trained as a seamstress; and Tomé Cravid, born in São Tomé and Príncipe, was an apprentice of the Santomean sculptor Zémé, and who later began developing his artistic practice.

Regarding the artistic coordination, all activities were led by Jane Gilmor, an American visual artist and Emeritus Professor at Mount Mercy University; and us, Paula Reaes Pinto and António Gorgel Pinto, both visual artists, designers, and researchers.

The main focus of the participatory workshops was the development of ceramic sculptures that people created based on their cultural heritage (Figure 1). We started by developing an empathic methodology of dialogue with the participants. Meetings were held to learn more about their knowledge and artistic skills and understand how they incorporate and recreate their social-cultural resources in Portuguese society. Their know-how used through the engagement in collaborative art practices is an opportunity to transform what is usually a factor of discrimination and cultural difference, representing a situation of integration. The difference becomes diversity.

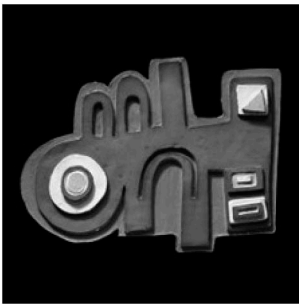


Figure 1. Untitled, ceramic sculpture, *Shifting Ground–Outro Chão*, 2021, Erika Jâmece.

## 2 EXPLORING THE POROSITY OF A CHANGING SPACE AND ITS SOCIAL RELATIONS

*Shifting Ground's* intervention in Lisbon consisted of two workshops. Firstly, at Espaço Arroios Activa, we started by explaining how ideas could be materialized into ceramic sculptures using different degrees of abstraction (Figure 2). Next, we introduced the same playful activity used before in Cedar Rapids — a game titled M.O.T., an acronym for Memory, Object, and Talent, aiming to provoke spontaneous participation and give voice to the immigrants involved. The game begins by asking participants to think about a life story, a significant object, and what they consider to be their dominant talent. This approach generates a specific commitment between newcomers and the host community based on their self-representation. Subsequently, ideas for ceramic reliefs emerge. After two-dimensional studies, cardboard mockups were made for the embossed clay sculptures. The second workshop was held at the Ceramics Research Centre in Montemor-o-Novo to develop the final pieces (Figure 3).



Figure 2. Engrácia Santos working on a mockup for one of her ceramic sculptures, *Shifting Ground–Outro Chão*, 2021.

Evoking the etymological meaning of the word *porosity*, which corresponds to the number of openings on a surface, we learn that pores originate from the word pore, which means small hole. Porous means letting fluids pass; permeable, spongy, absorbent. *Porosity* refers to spaces that fluids can occupy. It is a crucial characteristic when one wants to explore a fluid that occupies the interstitial spaces of a given body. Thus, considering the analogy with the *Shifting Ground–Outro Chão* participatory practice, it is possible to assume that the interstitial spaces of a given social body are constituted by the interaction processes between all the participants involved.



Figure 3. Ilda Kalenga working on one of her ceramic sculptures, *Shifting Ground–Outro Chão*, 2021.

Walter Benjamin and Asja Lacin first used the term *porosity* in 1925 in their essay on the city of Naples to synthesize what they considered to be the defining characteristic of Neapolitan life (Benjamin, Lacin, 1925). Imbued with the idea of *porosity* that emerges from the experience of another culture through travel, the term was used and expanded by other theorists in the analysis of societies and cities. This was due to the increasing intensification of economic globalization (Bauman, 2000). In this sense, we can associate the idea of *porosity* with the permeability of the borders between nation-states insofar as this is an indispensable condition for the flows of people, goods, and capital assumed by globalization to take place and, at the same time, characterize globalized societies.

The concept of porous space, by the geographer Doreen Massey, is a significant way of understanding the constant displacement of immigrants in a world characterized by hegemonic globalization. It is an expanded and hybrid notion of what space is due to multiple interactions between local and global (Massey, 1994). For Massey (1994, 3), the time-space compression, and globalization, call into question the idea of a place with a rooted and authentic sense of identity “as the dimension precisely where nothing ‘happened,’ and as a dimension devoid of effect or implications.” Instead, space and place are spheres conceived in terms of social relations, which produce a constantly changing space by their very dynamic nature.

Similarly, within the *Shifting Ground—Outro Chão* project, an open space emerges constituted by a plurality of identities through the various interconnections between participants. Space is understood much more as a porous and movable event than a physical space, fixed, delimited by borders.

All the project activities, from workshops to exhibitions, are developed through a porous social space that is permeable to the flow and mediation of ideas, as well as through dialogue, absorbing the diversity of points of view exchanged between everyone involved in a common ground (Figure 4).

It is also a space of inclusion and democratic participation insofar as all its participants are authors of their ideas and decisions and is permeable to all kinds of collaborative and creative processes. The predisposition for something to happen, which the word *porosity* implies, corresponds to the participants’ vocation to expand their creativity to produce knowledge and cultural insight through collaborative artistic practice.

### 3 SPACE-TIME OF MIGRATORY FLOWS

The conception of space is always related to time, considering that space and time do not exist independently but, on the contrary, in a simultaneous space-time relationship (Massey, 1994, 2-3).

Regarding the duration of the workshop, the notion of space-time is related to the constant interactions established between the participants in a social space, which is created by the existing social relations themselves. The diverse cultures represented and the participants vulnerable status shape social relations “imbued with power, meaning and symbolism” (Massey, 1994, 3). This conception of space is like “a constantly changing social geometry of power and meaning” (Massey, 1994, 3).

Massey uses the term “geometry of power” to describe how the complex mobility of people implies a power that is related to capital and other forms of socialization. To illustrate this reasoning, the author considers the complex flows of finance and transactions of people, transportation, and media diffusion, among others, stating that different social groups have different relationships with this differentiated mobility, to the extent that some have more responsibility for it than others. Not all people engage with these flows from the beginning to the end; others cannot free themselves from this movement (Massey, 1994). Following this logic, migratory flows, marked by their condition of vulnerability, are also inscribed in this powerful geometry of mobility.



Figure 4. *Shifting Ground—Outro Chão* exhibition at the National Museum of Contemporary Art, Lisbon, 2021-22.

The *Shifting Ground—Outro Chão* collaboration processes occur in a space-time specific context using intersubjectivity as its medium, involving notions of openness, respect, responsibility, and trust. It is an art form based on collaboration that is inherently ethical in the context of plural discourses of the people involved, which are all related to different places of origin and their socio-cultural identities and the subsequent fusion with the melting pot of cultures in the new gathering place. The interactive and empathic approach used in the project, based on listening and

dialoguing openly with the participants, giving them a voice, promotes a reciprocal relationship of experiences, which expands from the individual to the collective of a community (Gablik, 1992), leading to the constitution of identities grounded in the communication process of our intersubjectivity.

The ethical dimension in social art and design practices is one of the most relevant factors. Tania Bruguera states that there is an aesthetic dimension of ethics, and that ethics is a quality that affects her emotionally “more than any artwork.” In this regard, the artist questions the vocation of art practices that are alien to the notion of ethics “to shape public space and civic responsibility.” The main driving force of the artistic, social, and political practice that Bruguera values and seeks to explore are the specific circumstances according to a given political context and time. For this reason, the artist characterizes her work as political timing specific (Bruguera, Donovan, 2011, n.p.).

The concept of political timing specific is part of a methodology developed by Bruguera that stems from the political context at the moment the artwork unfolds or is materialized. In this way, the art object exists while certain political circumstances are taking place. It becomes a document of a particular political period as soon as those circumstances end. This process informs the understanding of the artwork and is part of its structure (Bruguera, n.p.).

Within the *Shifting Ground–Outro Chão* project, the goal is also to explore a specific political timing, which, as the expression indicates, aims to program politically relevant artistic initiatives regarding the socio-cultural emancipation of immigrants. In the present difficult times marked by the lack of social justice regarding immigration policies, we thought of a specific art practice to engage immigrants and demonstrate to society that the visual arts are a meaningful way of embracing difference. All living species search for the best conditions possible to continue their lives and expect a better future. And we as human beings, with the intelligence that made us build so many different civilized societies, must provide new forms of welcoming and inclusion that encourage creative thinking and the visual arts as survival strategies (Gilmor, Reaes Pinto, Gorgel Pinto 2019).

#### 4 THE SPACE OF INCLUSION AND DEMOCRATIC PARTICIPATION

The space of inclusion and democratic participation in question is also understood as a “social space,” as defined by Henri Lefebvre. In this context, the participatory practice developed in the *Shifting Ground–Outro Chão* workshops is understood as a form of social space of “encounter, assembly, simultaneity” (Lefebvre, 2001, 101). According to the

author, everything existing *in space* produced by nature or society can be either based on cooperation or conflict: “living beings, things, objects, works, signs, and symbols [...]” (Lefebvre, 2001, 101). Moreover, he adds that “the hyper complexity of social space should by now be apparent, embracing as it does individual entities and peculiarities, relatively fixed points, movements, and flows and waves - some interpenetrating, others in conflict, and so on” (Lefebvre, 2001, 88).

Contrary to the notion of space based on Euclidean geometry as an abstract, neutral, passive, and empty space, Lefebvre proposes an active space: “the [...] role of space, as knowledge and action, in the existing mode of production” (Lefebvre, 2001 11). In this context, “social space *per se* is at once work and product – a materialization of ‘social being’” (Lefebvre, 2001, 101-102). The author emphasizes the dynamic role of social space which “permits fresh actions to occur, while suggesting others and prohibiting yet others [...]” contributing to “a great diversity of knowledge” (Lefebvre, 2001, 73).

Concerning the *Shifting Ground–Outro Chão* activities during the workshops, the interaction between the participants activated the space of co-creation and collaboration, as well as stimulated a set of actions and know-how, producing new knowledge and culture.

For Lefebvre (2001), the concept of space is not a container for objects. It is, instead, multifaceted and socially produced by the interaction of relationships occurring in society, which exist in a given space. The multiple identities of space are thus related to the life experiences and meanings attributed to a given space by the people who live in it, contributing to a more comprehensive understanding of the relationship between space and culture.

As in the collaborative practices of the *Shifting Ground–Outro Chão* project, the social space “is the outcome of a sequence and set of operations” – the production of ceramic sculptures, the interaction and sharing of knowledge between the participants, the artists, the stakeholders, and every citizen touched by the M.O.T. statements, “and thus cannot be reduced to the rank of simple object” (Lefebvre, 2001, 73). The participation of all the actors involved, with their diverse cultural heritage, is integrative and cumulative, rendering the contributions of each as unique spaces that overlap with each other to produce knowledge. It is through the ‘interpenetration’ or ‘overlapping’ of these individual layers of space that social and collective space is made.

The *Shifting Ground–Outro Chão* participatory artistic practice is characterized using different approaches and means of expression according to the development of more spaces of inclusion and democratic participation in which immigrants can live with the same rights and opportunities as other fellow citizens.

In addition to the ceramic sculptures developed through the M.O.T. playful approach, photography and video are also used to document the socially engaged activities and constitute an image archive of the project. This is also a central medium in our methodology that allows systematic communication with other audiences. Finally, the use of installation and happening is another significant “active space” for the community’s self-representation and public participation. The Lisbon exhibition took place at the National Museum of Contemporary Art from December 2021 to January 2022, involving the participants, their friends, and everyone supporting the project, who gathered together to celebrate the moment and ‘reclaim’ more space for inclusion and democratic participation.

## 5 CONCLUSION

Lisbon’s *Shifting Ground—Outro Chão* was an opportunity to collaborate with new stakeholders and participants. In particular, the Aga Khan Foundation has a long experience working in social solidarity through creative initiatives involving disenfranchised communities from the outskirts of Lisbon. Also noteworthy was the profile of the participants involved, who were already somehow related to arts and crafts activities. This was a relevant factor that contributed to the quality of the created embossed sculptures and the communication and guidance necessary to give during the entire process by us and Jane Gilmor to the participants.

This social art and design project aims to explore interstitial spaces of a given social body, which are based on the interaction processes between all the participants involved. At the same time, the initiative is focused on its dissemination to the public and uses its porosity to place a reflection on a different understanding of shared space.

The *Shifting Ground—Outro Chão* contributes to opening a space with a plurality of identities represented through the interconnections between participants, their memories, skills, and ambitions. Space is understood as a porous and movable event and not as a physical space that is fixed and bounded.

Regarding the space-time connection, the entire process is grounded in a specific context using intersubjectivity as its medium. The focus is on the ethical dimension of the artistic practice in question and its capacity to boost public opinion and civic responsibility around the urgent need to improve immigrants’ socio-cultural emancipation.

Together with stakeholders and citizens, the synergy between artists and designers is a powerful way to contribute significantly to a more comprehensive understanding of the relationship between the space of inclusion and the culture of democracy.

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# Disunity of time and place in contemporary set design

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**ABSTRACT:** Starting from the definition that in Aristotle's *Poetics* is attributed to the so-called "unity of time, place, and action", the paper aims to define how, in the course of modern and contemporary theatre, this characteristic, wrongly interpreted as a rule, has been gradually abandoned in favor of increasingly free, complex and articulated dramaturgy. Particularly in musical theatre, the action, although not unitary - in the Aristotelian sense of the term - is, however, adherent to the composer's prediction and bound to the performance. The staging variables "space" and "time" can be displaced in the interpretive and design process.

Concerning the same text, depending on the displacements of the parameters "time" and "place" adopted as referents of the staging, four different interpretative modes can be theoretically identified and summarized in a process whose two extremes are represented by a scene of a realistic and descriptive kind, on one side, against another one, synthetic and schematized, on the other.

Analyzing some case studies taken from the opera repertoire, the paper wants to conduct a study on these modalities, finding that in these processes of actualization and displacement, we try not so much to bring the public closer to the work as to put contemporary society in front of its reflection, as in front of a metaphorical mirror.

**Keywords:** Unity of time, Unity of place, Contemporary theatre, Contemporary staging

## 1 INTRODUCTION: TIME, PLACE, AND ACTION UNITS AS A (WRONG) TRADITION

At the end of the 15th century, Giorgio Valla published the Latin translation of Aristotle's *Poetics*. Written in the fourth century, the first of a series of two books, the second of which never arrived, *Poetics* would have been an extremely decisive work for all modern and contemporary theatre. After the subsequent vulgate translation of Alessandro de' Pazzi, a few decades after that of Valla, the text would give rise to an interpretative distortion.

It is, in fact, established that Aristotle constituted a principle of authority for the whole medieval and Renaissance world, "maestro di color che sanno/seder tra filosofica famiglia" (Dante, *Inferno*, IV, 131-132: "Master of those who know how to take part into a philosophical family"), but the unconditional admiration for the Stagira philosopher and for all that *ipse dixit*, will determine some interpretative errors that however will set the conditions for new inventions (and reinventions). It was already happening with Vitruvius and his treatise *De Architectura libri decem*, which among the many interpreters included Leon Battista Alberti, Francesco di Giorgio Martini, Sulpicio da Veroli, Cesare Cesariano, Daniele Barbaro with illustrations by Palladio (Kruft, 2009).

Also, in this case, a distorted interpretation, but fruitful, will give rise, thanks to the attempt to redesign the classical theatre, to the birth of the Teatro Olimpico in Vicenza, by Palladio.

In the case of Aristotle and in particular of *Poetics*, this interpretative error is attributable to a concept: Aristotle describes the tragedy (and in the second book, he would do the same with the comedy), limiting itself to noting the recurrent characteristics in the literary and dramaturgical genre, but its annotations are interpreted as mandatory prescriptions (Aristoteles, 2008, pp. 67-78).

To be specific, what is inferred is the need for a unity of time (the drama must be consumed with the same chronological cadence of a real event), of place (the drama must take place in the same place represented before the viewer) and of action (the story must be about an event connected to the centrality of a character, without interweaving secondary stories). These three characteristics for Aristotle differentiated from a diegetic point of view the tragedy from the epic poem (other differences were obviously linguistic), which instead could tell very long periods in several chapters, fly with the imagination of the story from one place to another, and intertwine numerous stories or allow narrative digressions.

In the type of approach to the question, since literary genres may have the same subject, Aristotle speaks of their differences, which take place in certain ways. He dwells on the poetic aspects, but it is evident that some interpretative possibilities immediately follow.

However, the fact that Aristotle never expressly mentions the unity of time or place, indeed, to tell the truth in *Poetics*, there are more elements to support a different discourse. The philosopher says how to adhere to the timeline faithfully, or the definition of places is much more the historian's task than the poet's, who, although rooted in the imitation (mimesis) of reality, tells the universal, while it is proper of the historian to tell the detail.

Therefore, the concept of mimesis must surely be understood in a different way than in the prescription of strict realism. The universal, of which all the classical artistic forms are expressions, is, in fact, the result of a stylization, that is, of an artistic process that, starting from reality, through successive abstractions, leads the viewer into a dimension no longer real and true, but, in a first passage plausible and verisimilar, flowing then into metaphysical.

All the literature of the Middle Ages and the theatre of the Renaissance were indebted to the Aristotelian model. At the beginning of the sixteenth century, the birth of melodrama still divides the action into five parts, with the presence of a choir's "parodos" and the final intervention of the "deus ex machina," as in the case of *L'Orfeo* by Monteverdi. It is clear, in this specific case, that the division into five parts is a pure formal pretext since four of the five acts, symmetrically two before and two after, take place around one act, the third, with a different setting (the descent to Hades).

It was not until the nineteenth century that the romantic poetic ideals came to stand against the attachment to Aristotelian ideas (Mancini, 1986, pp. 35-37). And here, it is interesting to descend into a digression.

First of all, Romanticism banishes the principle of authority, and respect for the three units would restrict the writer's freedom.

Secondly, it is no coincidence that this disruption occurs in Germany, the homeland of archaeology and philology. In light of the greater scientific rigor with which this discipline approached the texts, it is conceivable that Aristotle's reading is less dogmatic and truer.

Thirdly, introducing a consideration of semantic type is needed.

## 2 THE SCALE OF THE CLASSIC STAGING

The word "theatre" in Greece expresses at the same time the text to be staged, the building in which the representation takes place, and the modes of representation (Centineo, 2020, pp. 18-19).

These three concepts in the theater were very united and perfectly overlapping. The drama (whose etymology means "action") was written in anticipation of the staging and the place where it took place, and each other, building, and staging are essential for each other. This correspondence emerges as a deduction from the surviving texts and, starting from these, allows us to make some interesting suppositions (Di Benedetto & Medda, 2002, pp. 35-47, 53-59).

The performance took place, in fact, with a ratio of scale between audience, actors, and scenography that was in the ratio of 1:1. The absence of the scenic arc and a well-defined line of demarcation (Centineo 2019, pp. 73-74) marked the place of the beginning of stage fiction, as an effect ended up visually confusing the world of the real with the world of representation. Only the masks, the song, the recitation, and the dance, subject to a process of stylization that detached them from reality, evoked that mystical exaltation and started that process of *katharsis* described by Aristotle (Aristoteles, 2008, pp. 75-76; Bearzot & Al., 2007, pp. 235-243).

Leaving aside the medieval world, in which attention to classicism is literary and philosophical, filtered by Christian philosophy, and in which theatre becomes a widespread phenomenon linked to sacred representations, without a building specifically dedicated to this function, it is necessary to wait for the end of the sixteenth century to have a turning point.

The references to the ancient world, which Palladio implements in his Teatro Olimpico in Vicenza, are evident.

They are the result of long studies and reliefs that Palladio carried out in Rome in the hope of reconstructing the lost drawings of the Roman theatre that illustrated Vitruvius' *De Architectura libri decem*. The modern theater comes from these studies, imprecise, misled by interpretative errors, and an emulative spirit toward the classical world.

The theatre, completed by Vincenzo Scamozzi at the death of Palladio and inaugurated in 1584, definitively established the division between audience and actors, and in terms of meanings, between the real world and its representation. The perspective, definitively regulated as the science of representation, will be a fundamental tool in this sense, defining the scale of the represented world and its benevolent deceitfulness.

The question that opens is very interesting for contemporary theatre.

## 3 DISUNITY OF TIME

The textual value uniquely assigned to the drama now shifts to its interpretative possibilities. While in classical Greece, the drama on stage was an absolute novelty, now the debut of new lyrics is joined by the opportunity to see and listen to the repertoire.

It is clear that this type of “allographic” art, that relives that is and is completed of sense with its reproducibility, in this case, the staging, just to this last part, the performative one, ascribes part of its completion of sense (Centineo, 2018, p. 1007).

The nineteenth century and Romanticism, which then, as often happens in the alternation of historical periods, will soon be demonized by the twentieth century, in truth are fundamental to release themselves from the Aristotelian bond of the units of time and place, in particular proceeding with a chronological shift of many dramas, which are thus “updated”, to use a word very popular in recent decades.



Figure 1. Verdi's *La Traviata* in the interpretation by Liliانا Cavani (direction) and Dante Ferretti (setting).

The Romantic intellectual, the writing man, and the composer find in the ancient dramas some universalizable values and often, for the avoidance of doubt, place them in times close to them, fold them back to their own use and consumption, away from the risk of falling into any kind of confusion with the classical schemes. This is one of the reasons why, even before “modern,” the opposite of “classic” is often found in the word “romantic.”

For example, today, we find it strange and unthinkable the failure of an opera like Verdi's *La Traviata*, one of the most famous and most performed compositions in the world.

Yet think about this: a drama originally set in the eighteenth century, which is set in the times when it was written by Francesco Maria Piave and set to music by Verdi, mid-nineteenth century, speaking explicitly of libertinage as a social custom much in vogue at the time and just as fiercely denouncing the bourgeois respectability that camouflages that same custom before the censorship of public opinion. Already another time, Verdi had set an opera in the contemporary, talking about betrayals. And, once again, it was a great failure, welcomed by the public with great disgust.

Caravaggio used to set sacred scenes with clothes of his time; think of *The vocation of Saint Matthew*: it would be like for us to set the same scene with characters dressed in casual clothes or blue jeans, which, however, when it was done in more recent times, in the musical *Jesus Christ Superstar* by Andrew Lloyd Weber, on his debut caused quite a stir.

Taking Verdi's *La Traviata* as an example, take, for example, a traditional setting, respectful of the indications of time and place provided by the author. The value of this type of setting, philologically, lies in showing the public the type of setting envisaged by the author. Although such a spectacle may seem reassuring and easy to approach, its complete understanding can only take place with an intellectual effort to bring it back to the conditions in which it was first written and performed. For the rest, interpretations of this type, precisely because they adhere to the author's indications, will give rise to quite similar performances without adding any interpretation that is distant from the text. The proposed example is directed by Liliana Cavani and the scenes of Dante Ferretti, Milan, Teatro alla Scala, 1990 (Figure 1).

Taking this as an example of a spectacle in its place, let us now consider the same drama, moved chronologically forward, without even a well-defined chronological collocation. The story continues to work perfectly, proving how we are faced with a masterpiece that, in its universality, is not strictly anchored to a specific period. As has been said, Verdi and Piave had already transposed it by a century, wanting to actualize history, bringing it back to the respectable and decadent nineteenth-century society. After all, the director is making another move toward further proof of the drama's topicality compared with a more contemporary society closer to us. To do this, in the proposed example (directed by Robert Carsen, scenes by Patrick Kinmonth, Venice, La Fenice theater, 2004), it is evident how some licenses serve to strengthen the sense of the proposed setting (Figure 2). So, Alfredo is a photographer who finds himself on the jet-set and at a party knows Violetta, who initially wants only to photograph.



Figure 2. Verdi's *La Traviata* in the interpretation by Robert Carsen (direction) and Patrick Kinmonth (setting).

But other productions come to mind, such as Monteverdi's *L'incoronazione di Poppea* that Luca Ronconi (scenes by Margherita Palli, Florence, Maggio Musicale, 2000) moves chronologically to the present day while keeping the place unchanged: the

imperial forums of Rome, but these days, with pollution spots, collapses, and restorations, even cars.

#### 4 DISUNITY OF PLACE

Moving temporally, the setting of the drama is, therefore, the first practice that undermines the Aristotelian units of time and place. It must be pointed out that this practice always takes place essentially in the direction of approximation to the present day. Put simply, it is generally applied by moving a drama set in the past into a more immediate past or even the present, while it is usually never applied in the opposite direction, for example, in the hypothesis of a drama set by the author in a recent era and moved in its staging to remote times.



Figure 3. Verdi's *La Traviata* in the interpretation by Henning Brockhaus (direction) and Josef Svoboda (setting).

A similar discourse concerns the process by which, starting from the twentieth century, we witness the dislocation of the staging with respect to the indications of place provided by the author. The examples here are many, from Wagner's works set in Nazi Germany to *La Bohème* set in a sanatorium, from *Madame Butterfly* to *China Town*, to *Die Entführung aus dem Serail* on the moon.

The pretext for such an operation is to bring the text closer to the contemporary cultural context. For example, understanding today what the Orientalism of the beginning of the century meant is a cultured operation that requires an intellectual effort that is not available to everyone. Moving the place of action from an imaginary East to a metropolitan or contemporary context would make it closer, more intelligible, and more current.

To stay into the proposed example of *La Traviata*, an extremely refined and convincing operation is that of Josef Svoboda, whose genius must be ascribed to the main idea, directed by Henning Brockhaus at Macerata Sferisterio, 1992 (Figure 3). It is once again *La Traviata*. The action is basically descriptive and is set at the time when it was written, but from a spatial point of view, the viewer witnesses the staging seeing it entirely through its reflection on

a giant inclined mirror. At the beginning of the show, nothing is on stage. During the prelude, a gigantic mirror slowly begins to rise, rotating. The backdrops are all on the floor, trampled by the actors who move against the background of their reflection. In the end, the stroke of genius: the mirror stands vertically and reflects the audience, while Violetta dies in the center of the scene, under the multiplied gaze of the spectators, part of that society that judges her hypocritically.

#### 5 SYNTHESIS AS A PROCESS OF REUNIFICATION

In truth, the two cases so far treated individually (disunity of time and disunity of place) very often cannot be separated from each other. A final case that is proposed is crucial for drawing conclusions. This is *La Traviata* by Willy Decker, with the scenes by Wolfgang Gussmann, Salzburg, Festspiele, 2005 (Figure 4). We do not describe the complex show, which deserves a separate study, but its setting, very far from the original indications of time and place provided by the author, gives way to the interest for a new-found unity of action, the third of the Aristotelian units mentioned so far. A woman's pastime in a society of pimps meets with the attempt of the protagonist to continually escape the idea of death. A large clock, which takes on the role of the deuteragonist, will be perpetually present on stage like a heavy *memento mori*.

At the end of this roundup of interpretative possibilities, let's try to fix them in a graph (Figure 5).

Assuming in abscissae the two extremes of the dislocation process (unit and disunity of place) and in ordinates those of actualization (unit and disunity of time), what is obtained is a graph with four interpretative possibilities. We propose it here with the example of *La Traviata* (Liliana Cavani/Dante Ferretti, Teatro alla Scala, Milan, 1990; Robert Carsen/Patrick Kinmonth, Teatro La Fenice, Venice, 2004; Henning Brockhaus/Josef Svoboda, Sferisterio, Macerata, 1992; Willy Decker/Wolfgang Gussmann, Festspiele, Salzburg, 2005).



Figure 4. Verdi's *La Traviata* in the interpretation by Willy Decker (direction) and Wolfgang Gussmann (setting).

The last example of a staging far from the author's original intentions allows you to read the graph also according to its diagonal, thus initiating a general differentiation between realistic and descriptive modes of staging on the one hand and synthetic schematized on the other.

It is said that the effects (or causes) of these shifts, which we have seen can be unidirectional, in abscissa or in ordinate, or transversal, in diagonal, are generally aimed in the direction of a better understanding of the text, that transposed in a temporal or geographical context closer to the user becomes more understandable, as it approaches the collective imagination of the contemporary public and therefore becomes more communicative. On the contrary, it is very well known that a large part of the public, especially the "purists," turn their noses at these updates or relocations. It is no coincidence that this general dissent occurs more in the world of melodrama, where purists are in large numbers, and the audience is a fringe of connoisseurs, not to say "specialists," accustomed to the operatic repertoire. To confirm this, another resistance to actualization is more widespread in those countries, including certainly Italy, where the operatic tradition is very strong.

Certainly, the prose is more open to these operations since, by its nature, the text is less blocked, unlike the work, in which the score and its philological execution do not allow textual distortions.

It should be added that in contemporary times the prevalence of the images we are constantly surrounded by (Centineo, 2017, p. 3) and the cinema have accustomed us to the disunity of time and place since the continuous visual carpet on which we move allows you to travel with the story not only temporally (think of the device of flash-back) but also geographically.

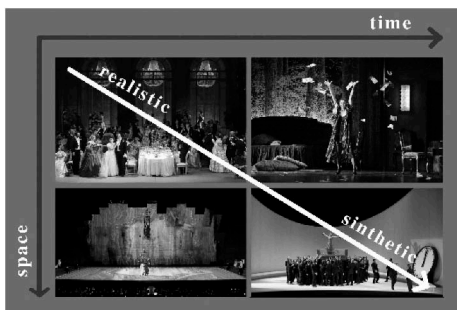


Figure 5. A matrix scheme of the possible four interpretations: in abscissae and ordinates is expressed the level of displacement and actualization, whilst in the diagonal, the level of realism/synthesis can be read.

How the relocation of the cinematographic setting also invades the theatrical one is the result of a contamination between the two genres, which sees

the communicative immediacy of the cinema and its realism prevail in terms of pleasure over the slowness and the need for sedimentation of the theatrical times and the process of stylization that the theater implements concerning reality. And it is not by chance that in the theater, many of these dislocations also occur thanks to the use of video projections, thus opening a very complex issue (Ponte di Pino, 2018).

It is worth quoting the opinion that Theodor Ludwig Adorno expresses about the (little) liking for twelve-tone music by the audience. According to Adorno, the terror that the music of Schönberg and Webern spreads does not derive from the fact that it is incomprehensible but from the fact that it is understood all too precisely: it gives form to that anguish, that fright, and that vision of a catastrophic condition, which others can escape only by regression (Adorno, 1959, p. 51).

This theory of defending art, of renouncing competition with the mass media (Adorno, 1975), which is vulgar and demeaning to culture, can also be extended to the examples mentioned above: a society that habitually took its adolescents to brothels for sexual initiation, instead of talking to them about love, is not it similar to the one depicted in *La Traviata*? A group of men of ill repute intent on corruption and extortion of money, instead of listening to a divine message that speaks of incorruptible values, is not perhaps the one represented in *The Vocation of Saint Matthew*?

The authors' intentions are therefore very clear, strong, and precise. But the public's reaction, for this very reason, is an equally refractory and opposite sign.

This reaction, today as then, indicates the general unwillingness of the public to recognize themselves in the textual interpretation. And upstream of that, we should also take note of how today's society is increasingly involved in communicative expedients instead of narrative ones. This complex and still ongoing phenomenology also extends to museums and all those places of culture that, through the images implemented in the past, a narrative (Pinotti & Somaini, 2016, pp. 215-219).

## 6 CONCLUSIONS

We can therefore say that what was done, in its original intentions, to bring the work closer to its audience has the opposite effect.

In fact, if compared to its universal value, a text would not need to be updated in order to be approached to the understanding of the public. *Julius Caesar* by Handel or *Titus Andronicus* by Shakespeare express universal artistic values, considering that, if only their remoteness from the audience's understanding were true, it would be more right to bring the latter, the audience, within the scope of the work and not on the contrary, lower the work to a level of understanding easier.



Therefore, the meaning of the actualization operations lies more in the attempt to demonstrate the universality of the work's artistic value. It would be a sort of verification of the eternity of that message, of that ethos that has not died out after years and years.

If it works after a process of actualization, it really means that the author has been able to express an unshakeable ethical and artistic value prophetically.

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# Stories and alternate realities; representation of time in film

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**ABSTRACT:** Einstein's theory of relativity affected how time was viewed in physics, but it also had a major influence on the arts. Relativity widened the horizons of representation of time. Not only did it weave through the story in the linear presentation of the chronology of events, as that supposed the existence of one fixed point of view. Relativity allowed for various points of view to be applied when representing time. Thus, time is more than a cinematic narrative element or a system of measurement, a) it may be the subject matter of a film that is about time, b) still as the subject matter of the film, it may weave into the fabric of the narrative, c) on a metanarrative level, it could be the artistic representation of the theory of relativity as they show a disrupted linear presentation of the plot. Films like *In Time*, *Minority Report*, *Déjà vu*, *Tenet*, *21 Grams*, and *Memento* will be used to illustrate situations in which time is present in the cinematic narrative on more than the level of the chronology of events. A close reading of the cinematic texts will prove that time enriches not only the structure but also the content of films.

**Keywords:** Time, Sci-fi, Metanarrative, Relativity, Non-linear narrative

## 1 INTRODUCTION

According to Bluestone, chronological time in a novel exists on three levels: the time it takes the reader to peruse the text, the narrator's time, and the span of the narrative events (Bluestone, 1961, p. 311). These three levels do not come into conflict as long as the reader willingly suspends their disbelief. The distinction does not pose problems when the narrative is linear, and time is represented in a direct chronological way. Thus, the story would follow a straight line in which it starts at the beginning, progresses through the middle, and heads towards the end. These notions are noteworthy because they imply that there is one vantage point from which the action is viewed. Einstein's theory of relativity disrupted the idea that time is linear due to the lack of a fixed point. In his view, time is in relationship with motion, mass, and energy, and it does not fly equally for all observers. According to Einstein, time moved differently for each individual. The idea seeped through literature as well, surfacing in non-linear narratives, like William Faulkner's *The Sound and the Fury*, in which the story is told from the point of view of four different characters. The absolute truth of the omniscient narrator is gone, and the reader must reconstruct the story based on the accounts of the characters that put forward their own views.

In her discussion of Gerard Durrell's *Alexandria Quartet*, Beard expands on the effect Einstein's theory had on the structure of the novel. As Einstein questioned the absoluteness of time and space, a different perception of time alters the classical narrative as the "placement of the perceiver alters what is perceived" (Beard, 1994, p. 80). In Beard's reading, space, time, and motion are in a relationship, and there is an interaction between matter and time, and the observer enters the interaction (Beard, 1994, p. 79). This is reflected in Durrell as events are seen from another point in time with new eyes and at a different angle, the reality of the event has totally changed; thus, each observer sees a different picture (Beard, 1994, p. 81). Durrell's quartet demonstrates how one can never view the same thing at the same point in time because time is always moving forward (Beard, 1994, p. 81). In a relativist world, 'absolute' stories disappear, and alternate realities must be had in mind.

The relativist nature of the world can better be reflected in the film; with the camera being the narrator, time in the film exists only in terms of how long the film is and the time span of the narrative. Even so, the film can better reflect the notion of the non-linearity of time and the fact that time is not an absolute term. The film approaches the notion of time from various points of view. It can tackle time on both a diegetic level—i.e., time is present in the film's content—and on the non-diegetic level, for

example, in the film's narrative structure. The film does not necessarily need to be about time, but the chronologically disrupted order of sentences inevitably brings in the foreground questions of reality, time, and space. The present paper aims to examine the modes of representation of time in films. I will study how time is present in the film's content and how the non-linear representation of time affects the reading of the narrative. Time is more than a cinematic narrative element or a system of measurement, a) it may be the subject matter of a film that is about time, b) still as the subject matter of the film, it may weave into the fabric of the narrative, c) on a metanarrative level, it could be the artistic representation of the theory of relativity as they show a disrupted linear presentation of the plot.

## 2 TIME AS A COMMODITY

Time as an entity is part of the diegetic world; it is the currency that replaced money. *In Time* is a classical narrative, a sci-fi film that does not even attempt to justify its own story. "I don't have time to worry how it happened" (Niccol, 2011, 01:18). It does not want to go deep but handles the topic on the surface, saying, "We want to die. We need to" (Niccol, 2011, p. 12:34-12:38). This is something the 105 years old man says. The setting is a kind of apocalyptic world in which people are born with a clock on their left arm skin, and they stop aging at the age of 25 when a countdown starts. They pay for everything with time. Those who are rich need not worry, "For a few to be immortal, many must die. Everyone cannot live forever" (Niccol, 2011, p. 12:58). The cost of living goes up to make sure people are dying. Hence, the selection is in the hands of a few. The first part of the Bonnie and Clyde story is triggered by Will's desire to take revenge for his mother's death - she could not pay for the bus ticket bringing into Will's scope of reality what he has heard from Hamilton. He does not have a clear revenge plan, which does not exploit a deeper layer of meanings "Take them for everything they've got" ... I wanna make them pay" (Niccol, 2011, p. 25:26).

He heads to New Greenwich, where the rich live. The film depicts it as a futuristic city in black, white, and grey tones. As time is on people's hands, they walk, an aspect Will draws attention upon. Will meets Sylvia, the daughter of a time millionaire, and eventually convinces her to get on his side. Her convictions are not deep, as she criticizes the state of affairs— "The clock's good for no one. The poor die and the rich don't live" (Niccol, 2011, p. 37:36-40)—but only because she longs for some excitement not because of convictions. The minute she experiences 'real life,' she resumes stereotypes.

With time being portrayed as a commodity, the same the rich versus the poor story develops. Life is viewed as something interesting by the rich, while to the timeless, it means the desire to have more time. The rich believe that too much time in the hands of the poor can cripple the system. The conflict starts from the premise that Weiss believes, "In the end, nothing will change. Because everyone will want to live forever" (Niccol, 2011, p. 1:32:36). However, no revolution takes place. Will and Sylvia become a kind of successful Bonnie and Clyde and go on robbing time banks. The final image is that of a huge Capitol Hill-like building, with no other human being in the image but the two who are about to rob the bank that does not seem to be protected.

## 3 RELATIVE TIME: ALTERNATING REALITIES

Time can be present as the film's subject matter, not as an element of the story, but as that of the plot. At some point in the narrative, the characters question the linearity of time, and the matter of alternate realities, disrupted entropy is raised. Questions pertaining to quantum mechanics come up, whether it is possible to know the actions of a person beforehand, whether changing one element in the past would change the present and future—otherwise known as the grandfather paradox—or whether time travel in any form is possible or not.

Thus, time-related issues are still part of the narrative, but the narrative's linearity is not disturbed. Time and free will intertwine in *Minority Report*, a story set in the future in 2054 when a device the Department of Precrime invented can 'see the future' and prevent crime. The key element of the device is a group of three people, 'precogs,' always kept in a pool. They are connected to the device, and their brain activities are constantly monitored under strict surveillance. If the three of them agree upon what they see, the crime being committed in the future is certain. Conflict is set on the idea that "there's a flaw [with the system] it's human, it always is" (Spielberg, 2002, p. 27:53). As John Anderton, the prime investigator, is accused of committing a crime in the future, not only the matter of human flaws becomes central, but also that of our ability to change anything in the future by altering the past. In Anderton's case, the past he needs to alter is his present. Anderton's case also proves that the system can be fooled and catching criminals before they have committed the crime is not lucrative. The two key sentences of the film, however, concentrate on a different aspect, namely that of choice and one's ability to change anything in one's present should one know their future: "You still have a choice, the others never saw their future" (Spielberg, 2002, p. 1:44:47). "You know your own future, which means you can change it if you want to" (Spielberg, 2002, p. 2:14:42).

Relativity of time and alternative realities is the central idea in *Déjà Vu* (2006) as well. Though sci-fi films avoid presenting technical experimentation, *Déjà Vu* displays a positive collaboration between humans and technology. First, it is a piece of paper that is transferred through time into an alternate reality; later, the main character, Doug Carlin transported through time and space. Teleporting brings into play ethics, for which reason the protagonist can be interpreted in terms of ethics of technology. “In *Déjà Vu*, ethics is presented as inclusive of technology, as a mode self-redefinition that, by making room for positive collaboration with technology, produces a greater variety of possible futures for the protagonist (and the cinematic audience) than were previously perceived” (Krzych, 2017, p. 106). They found a way to look into the past and link time and space. Physically it is impossible to change the past, as the characters claim at the beginning. However, Doug’s test with the laser proves that it is not an unchangeable past they are viewing but an alternate reality.

Not only is teleportation explained verbally, but it is also demonstrated; hence, the first experiment with the paper. The test proves that changing some details does not trigger a change in the outcome. The death of Doug’s partner of investigation proves this. At this point of the narrative, the film introduces the idea of alternate realities. The film avoids confusing the viewer with the possibility of alternating realities existing side by side. It concludes that by changing one element in the past, the events take a different course, and the previous—original—course dies away. The temporal paradox that may be produced by the use of a time machine—the time travel that creates two Dougs—is neatly solved. The Doug that started the investigation dies as he drives a car full of explosives into the water to save everyone else. The latter Doug survives in ignorance of an event that, for him, never happened because a duplicate version of himself prevented it (Krzych, 2017, p. 117). Krzych further explains that the “You can save her” message Doug sends to himself in time encourages vigilance even in the absence of a predictable outcome because “Doug still remains caught in a moment of paradoxical temporal convergence, yet his improvisational action remains securely grounded in the present, ‘standing-within’ the moment and all of its virtual possibilities” (Krzych, 2017, p. 124). As mentioned before, Doug’s death neatly solves the paradox.

Although Doug does not like not being told the whole truth about the time machine through which they watch the past, when he does actually learn everything about it, he becomes enthused. His motive is to catch criminals before committing the crime, just like John Anderton’s in *Minority Report*. His finding of Clair’s dead body at the beginning of the story and the close-up shots of the earring in one

of her ears anchors the story in reality. Thus, the mechanism behind the machine, “fold space back onto itself” (Scott, 2006, p. 51:34), would make sense. Therefore, the scene in which Doug finds the missing half earring in an alternate reality suggests that the version in which Doug and Claire do not meet live stops existing.

The idea of alternating realities that meet at one point, triggering reversed chronology and temporal pincer, produces a spectacular film that, due to the intricate texture, may cause confusion. The setting of *Tenet* (2020) does not specify when the action takes place. It is well into the first scene of the film that time is alluded to “We live in a twilight world [...], and there are no friends at dusk” (Nolan, 2020, p. 03:18-03:24) as if it were a secret password. The film alludes to being specific as the main character—the only one in the film—has not got a name but is simply referred to as the “Protagonist.” Another layer to the mystery is added when we learn that officially he dies at the beginning of the film. What starts to be an action film turns out to be a puzzle film in which how we view time is challenged. The keyword is temporal pincer which challenges the classical cause-before-the-effect view. The phenomenon is illustrated in a laboratory with two types of bullets being shot at a rock. The new bullets show effect before cause; in other words, they fly back into the gun. In the demonstration, Barbara, a young researcher explains that one of the bullets moves forward through time, the other one is going backward. The second bullet’s entropy is backward to the eye, which we may call reversed movement. The technology is being manufactured in the future and streamed back to the present. Barbara explains the idea at the basis of the film—she introduces the various points of view, that of the Protagonist and that of the bullet. In the demonstration, the Protagonist is asked to catch a traditional bullet and a new one. When he tries to catch the new one, the bullet moves before he even touches it. The question of the free will of the bullet is dismissed as the bullet “wouldn’t have moved if you hadn’t put your hand there” (Nolan, 2020, p. 15:34). Thus, our willingness to do something triggered the other observer into action.

The film presents a very intricate mathematical game in which the strings are pulled by the whims of an oligarch motivated by his fatal illness. He has cancer, which he keeps secret. In addition to this, he is angry that he brought a child into the world he knew he would destroy. The inverted weapon he possesses and the parts which are handed down from the future – affect our past as well. As we learn, the villain, Andre Sator, can communicate with the future and receives parts of the reversed weapon he would assemble in the present to destroy the world. The various characters are loosely connected, and the motivation why one is working for the other and what motivates the character to act is not quite relevant.

Sator's affection for his wife and his obsession to keep her in the story represents the only strongly stated motivation in the film. In one of the key scenes, which anchors the story and clarifies which alternate reality the story is in, Sator's wife is looking at herself as another version of her, unbeknownst to her, dives into the water. She recalls that during the Vietnam vacation, she was returning to the boat when she saw a woman dive off the boat and envied her for her freedom and that Sator disappeared after that. He had been killed by the diving woman, which suggests that the operation was successful and, at the same time, anchors the story in one of the realities.

The story and the film's plot justify its assessment according to which "To consume a work of art becomes a game of intelligence between creator and public, favoring the repeat reading or viewing" (Chinita, 2015, p. 2). Called an intellectual – "with popcorn dropping visual imagery" combined with a medium-scale Sudoku, the film suggests that a worse version of nuclear war is temporal war. Impressive single scenes, in which some elements run forward and others reverse, demonstrate time inversion. It resolves dilemmas pertaining to time travel by suggesting that the relationship between consciousness and multiple realities is not known – thus, we cannot know the answer to great questions such as the grandfather paradox.

Eventually, the mission is successful, the world is not destroyed, and the Protagonist challenges the fatalistic view that we cannot change anything in life. Time is seen as fabric, and people are weavers who contribute with their own stories.

Interestingly, the film does not close by revealing that the Protagonist is the great orchestrator from the future. That would focus the film on the Protagonist's identity and the relationship between time and reality. The film avoids that by diffusing this intricate matter and ends by bringing homage to the silent heroes, the ones without a name, as a voiceover narrator says that "It's the bomb that didn't go off, the danger no one knew was real, that's the bomb with the real power to change the world" (Nolan, 2020, p. 2:24:04).

#### 4 FICTIONALIZATION OF TIME ON SCREEN

If viewed from a non-diegetic point of view, manipulation of times makes room for metanarrative discourse. In *21 Grams* (2004), time is not the film's subject matter; however, it is part of the film's fabric. Three storylines intertwine. Paul Rivers needs a heart transplant that he gets from Cristina Peck's husband, who dies in a hit-and-run accident caused by Jack Jordan, a reformed ex-convict who believes everything is God's design. Repenting what he has done, Jordan leaves his family and works in a remote place. In her grief, Cristina wants to find

Jordan and kill him as her husband, and her two young daughters also died in the accident. Paul, who looks for the donor of his new heart, strikes up a romantic relationship with her, finds Jack Jordan, and eventually shoots himself in the new heart, which in the meantime turns out to be rejected by his body, and dies. However, the story does not end in a somber tone as in the closing images, Cristina is shown to expect Paul's baby.

The chronological order of events in these relatively simple storylines is disrupted. The viewer reconstructs the story from the plot presented in a jumbled order, which turns the film into "a self-reflexive discourse on the theme and practice of fictionalization, molded by the very narrative strategies employed by the author" (Chinita, 2015, p. 1). The jumbling of sequences, manipulation of time shifts the emphasis from the story itself to time, and the artificiality of any construction moved forward by time. In her analysis of handling time in the film, Chinita invokes Deleuze's views on cinematic time and highlights that Deleuzian time is non-chronological, and in modern cinema, time exists *per se*; therefore, "Deleuze manifests time as filmic substance, considering it to be one of the raw materials of the crystal-image, where the artificiality of the medium is made totally evident and spreads across the entire film" (Chinita, 2015, p. 2). Due to the need to reconstruct the story based on the hits in the jumbled plot, Elsaesser (2008) calls it "mind-game film." Scenes partially overlap in order to allow the spectator to reconstruct the story. Some scenes are misplaced—like the one in which Paul is dying of the shot he received at the end of the story—but rather the incomplete presentation of the scenes turns the film into a puzzle or a mind-game. The mixed chronology of the plot underlines the constructed nature of the cinematic text and removes any importance time may have.

A more orderly construction, *Memento* (2001) also tackles time on a non-diegetic level, bringing a simple revenge story onto a new level. The main character, Leonard Selby, wants to find the man who raped and killed his wife during a home invasion in which he was also injured and lost his ability to form short-term memories. To counter his inability to keep the memory alive, he tattoos the result of his investigation onto his body. The inscriptions allow backward sequencing of the story in which memory is the repository of time. If memory is injured, time is disrupted as well.

Leonard concludes that there were two men in the bathroom that night, although the police are not convinced (Bragues, 2007, p. 65). Since due to the attack, Leonard lost his short memory, he compensates for the loss by having everything in written form: he carries a police file, takes notes and pictures, and—visually the most poignant action—at the end of each day he tattoos the most important

findings of his mission on his body. Collateral damage to his mission is the murder of several people unrelated to the murder and the murder of Teddy, who tells Leonard that the murder is, in fact, Leonard.

The audience looks at time from a different point of view. The cinematography helps the viewer. The opening image is that of a Polaroid picture being taken of a bloody scene in a reversed order. First, the photo is shown, then—in backward order—it is shaken to get a clearer image, it goes back into the Polaroid camera, and finally, the photographer's, Leonard's, face is shown. The color scenes alternate with the black and white ones in which voiceover narration rules. The film gives all sorts of hints that would be telling "It's all backwards" (Nolan, 2001, p. 08:52), the motel receptionist says, referring to Leonard's situation of knowing what he wants in the future but not recalling the past. The scenes are perfectly sewn together as they end where the previous one started. We learn together with Leonard what happened to his wife as the camera pans over Leonard's tattoos and he discovers the truth. Not only is memory unreliable—as the tattoo on his body suggests—but also useless. His vengeance has no point as he would not remember avenging his wife. He defends his actions saying that "my wife deserves vengeance. It doesn't make any difference what I know about it. Just because there are things I don't remember doesn't make my action meaningless. The world does just not disappear when you close your eyes" (Nolan, 2001, p. 18:23). To Leonard, notes are more valuable than memory. "[Memories]'re just an interpretation, not a record" (Nolan, 2001, p. 23:15). Sensing time is part of the healing process, and with his memory gone, he cannot heal, "How am I supposed to heal if I can't feel time?" (Nolan, 2001, p. 36:08). Time, therefore, is portrayed as a process, a condition of change.

His last lines raise doubt about the veracity of Leonard's story and turn him into an unreliable character. Leonard admits that he might as well just lie to himself to be happy. Though he may or may not be looking for his wife's murder, he is looking for a John G of any kind whom he can hunt. The last sequence, in which he lies motionless while his wife, lying next to him, seems alive, represents the punchline to the entire film. In addition to that, it highlights the artificial nature of the cinematic construct. Leonard becomes an unreliable character. The mechanisms of storytelling applied in the film—reversed chronology of colored scenes and traditional chronology of the black and white ones—do not help the spectator come to a resolution. The camera, the

narrator, has to acknowledge that a lot of information is retained, and figuring out the time-related puzzle will not suffice to understand the story.

## 5 CONCLUSION

Time is a constant element in the fabric of a film. It may be reflected in the film's story, like *In Time*, in which it is present as a superficial element of the story. Time is a commodity in the classical, linear narrative. In other films, time is part of a deeper layer of the film. It is not the focus of the film, but it intertwines the fabric of the narrative and it influences the story. *Minority Report*, *Tenet*, and *Déjà Vu* do not revolve around time but elevate it from the level of a simple commodity. They are action films, detective stories. Time as an entity that the characters control and time travel represent solutions to the crime stories. Furthered on a metanarrative level, time in films like *21 Grams* and *Memento* contributes to the narrative structure. Although not part of the story, time weaves through the entire composition of the film. All three types of representation of times reflect fascination with the notion of time being a relative entity. In this relativist world, *time* enriches not only the structure but also the content of a film.

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# Still life, but passing; time in still life paintings

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**ABSTRACT:** Painting is a spatial medium, and therefore the representation of time is a challenge for it. We can only conceptualize time through change, and the representation of change is not an easy task in the still, unmoving genre of painting. This text narrows the visual representation of time to the time of living beings: the visual representation of the passing of life. From the Renaissance onwards, special types of painting were dedicated to this theme: the *memento mori*, the *vanitas*, and the still life, which is (also) about the passing of time. In contemporary art, still lifes have lost the symbolism that refers to ideas of passing, of finitude. If still life does carry such a message (such as Andy Warhol's Flowers series), the reflection on the passage of time is expressed more abstractly in the language of the mathematical sublime as Immanuel Kant theorized it in the *Critique of the Power of Judgment*. This paper argues that, alongside *memento mori* and *vanitas* paintings, the still life also essentially directs our attention to the passage of time and expresses this message either through symbolic means, in the language of the beautiful, or through quantitative means, in the language of the sublime.

**Keywords:** Still life, Memento mori, Vanitas, Representation of time, Mathematical sublime

## 1 THE REPRESENTATION OF TIME IN THE STILL IMAGE

“What then is time? If no one asks me, I know; if I want to explain it to a questioner, I do not know.” (Augustine, 2006, p. 242) Augustine eloquently articulates the difficulties we face in conceptualizing time. We face similar difficulties when we want to represent time through still pictures, such as paintings. The essence of time is its passing, and to grasp this passing, we need the concept of change. Time is also always measured by change, movement. Therefore, it is a challenge for the painting to represent time: the painting is a still, static image, i.e., intrinsically the opposite of movement.

Space and time are the two basic coordinates of existence. Of these, space is the medium of painting, and time is alien to it. Although two centuries separate them, Gotthold Ephraim Lessing and Clement Greenberg come to similar conclusions about the nature of painting: both emphasize that the essence of painting is spatiality.

Lessing, drawing the conclusions of the paragons of painting and poetry that goes back several centuries, states that painting is “the art which imitates bodies on plane surfaces” (Lessing, 2002, p. 32), while “actions form the proper subjects of poetry” (Lessing, 2002, p. 81). Lessing is primarily interested here in whether painting can “imitate” action, which undoubtedly takes place in time. He judges

that “painting can also imitate actions, but only by way of suggestion through bodies” (Lessing, 2002, p. 81).

In Lessing's essay, “painting” actually means the fine arts – no wonder Lessing does not find it strange that in the context of a case study of a sculpture (the Laocoön Group), he argues for the specificity of painting, i.e., that the specific object of painting is the body existing in space.

In the middle of the 20th century, Clement Greenberg revisits the question of the specificity of the arts (Greenberg, 1982). Greenberg, analyzing modernist painting, concludes that every art form has an irreducible characteristic that distinguishes it from other forms, and in the case of painting, this characteristic is two-dimensional space: “Flatness alone was unique and exclusive to pictorial art” (Greenberg, 1982, p. 6).

Two hundred years apart, two important writers remind us that the painting is a still image, located in space, immobile, and not capable of representing time. However, this obvious fact has not prevented artists from dealing with time in their work.

We perceive the passage of time only through change, through movement, and we measure time through movement and change. In the case of the still life, the representation of movement itself is a challenge: a moving person, animal, or, more generally, any moving phenomenon can only be captured in a frozen movement by the means of painting



or sculpture. The best way to visualize change would be to juxtapose two images of successive states in time in a somewhat spoon-feeding manner. This problem was perhaps most radically solved by the Futurists, who created still images that recall the successive moments of the moving image. This solution, however, fails to touch upon the aspect of time that we are primarily confronted with the passing time of living beings and the burden of the passing of our own finite time.

## 2 THE TIME OF LIFE

The present text does not focus on the general theme of time, movement, change but on what is human beings' greatest challenge concerning time: their own transience, their finitude. The difficulty for a person is not that time is passing but that it is her/his own finite time that is running out. In his analysis of human existence as being-towards-death, Heidegger leaves no doubt that our death is not a contingent event but belongs to the essence of our existence as our thrownness into death. We are not aware of this situation primarily as a fact; we do not process our thrownness into death as knowledge, but emotionally, "in that state-of-mind which we have called 'anxiety'" (Heidegger, 2007, p. 294). Death is not the end of life but a uniquely human way of being: "Factically, Dasein is dying as long as it exists" (Heidegger, 2007, p. 295). Human time does not merely pass but makes us pass away, and being finite, people inevitably pass on and miss an infinite number of things by virtue of their finiteness. Heidegger also tells us that passing away and being-towards-death takes place primarily "by way of falling" (Heidegger, 2007, p. 295).

In what follows, we will focus on the artistic expression of time's impact on life, especially on humans, on what Heidegger calls "falling." We are not concerned here with the historical or social aspects of time. Nor do we address the moments of birth and death, although the representations of Christ's birth and his death on the cross would provide the viewer with ample opportunity to reflect on his own temporality. Following Wittgenstein, we accept that "death is not an event in life: we do not live to experience death" (Wittgenstein, 2001, p. 86), and we extrapolate this to the moment of birth. What we are interested in here is the journey between these two moments and the knowledge that we are on the way to death.

The representation of the passing of time in post-Renaissance painting is found in a newly independent genre: the still life. In the 17th century, when the experience of time was changing as well, Dutch painting made a symbolic reference to the passing of time, and the finite nature of our time, with the shadow of death always falling on us – and on all

living things. The heyday of the still life can thus be dated back to the 17th century, followed by a revival of the genre after the Impressionist period. Modern still life no longer carries the symbols of passing. When it speaks of passing, it does so in a much more abstract, mediated way.

The symbolic and mathematical representation of falling is an attempt by visual artists to reflect the mood of existence in relation to death: a kind of confrontation with one's own temporality.

### 2.1 *Vanitas, memento mori*

The defining aspect of people's time is that it is limited by their birth and death. The theme of death appears directly in both medieval and modern art, especially in thematic genres such as the death dance. The death dance became popular during the Renaissance. Here we encounter the representation of death itself, as a corpse, and later as a more or less fleshless skeleton. Rose Marie San Juan points out that in the 17th century, in parallel with anatomical research, the representation of the skeleton itself changed: the rotting flesh disappears from the skeleton, leaving the bones – which thus serve the purposes of science rather than religiously rooted deterrence (Juan, 2012). Also, by the early 17th century, the various representations of death (corpse, skeleton, danse macabre) "merged and transformed into a single image, the skull" (Cheney, 2018, p. 270). In contemporary depictions, the skull is often accompanied by the hourglass as a reference to the passing of time and the scythe, a reference to the harvest as a metaphor for death.

In the 17th century, the relationship with time changed. One symptom (or cause?) of this is that time measurement became increasingly accurate in the second half of that century. Originally, city clocks did not measure minutes but only hours, even those not always accurately. However, using the regular movement of the pendulum also made it possible to measure minutes, so the experience of time was internalized:

duration was moved from the abstract and mathematical realm of celestial bodies to the intrinsic movement of self and objects through the course of the day (Adams, 2013).

Time measurement has increasingly structured people's daily lives through economic activity. In contrast to the sleepy time of village life, a bouncy, fragmented, and increasingly centralized time of urban life has emerged and spread. Thus, not only the idea of the inevitability of death but also the unstoppable passage of time left its mark on the sense of life of the 17th-century individual. In her study of Dutch painting, Ann Jensen Adams notes that "over the course of the seventeenth century, Dutch artists produced images that display an increased awareness of temporality" (Adams 2013).

The reflection on death is echoed in two popular painting genres of the period: the *memento mori* and the *vanitas*.

*Memento mori* portraits are characterized by the presence of a skull or an hourglass among the objects surrounding the figure. These would remind the sitter that while they may desire to have their appearance immortalized, the only way to preserve their soul in the afterlife is to lead a virtuous life (Pound, 2019).

The skull sometimes complements depictions of biblical themes, such as 1640 Georges de La Tour's *The Penitent Magdalen* or 1604 Caravaggio's painting, *Saint Jerome Writing*. Saints or mere mortals – the images tell us – we are all on a journey towards the inevitable end.

*Vanitas* images highlight the futility of life's pleasures and pursuits from the perspective of death. As Harry Berger notes, *vanitas* “embraces both senses of the term vainness: futility and conceit” (Berger, 2011, p. 1). The first known *vanitas* painting (Pound, 2019), by Jacques de Gheyn II, from 1603, depicts a skull and a bubble of similar dimensions, suggesting the fragility of the soul.

David Bailly's 1651 self-portrait (*Self-Portrait with Vanitas Symbols*) stands out among the *vanitas* paintings by the awareness with which it reflects on the theme of the passage of time. The painting seems to result from the juxtaposition of two distinct images. One is a self-portrait of the painter showing us one of his works, a portrait, in his studio, and the other is a classical still life. The association seems artificial, and we can almost see the seams, the traces of the stitching. But the painting is held together by the theme of the passing of time: the young painter presents us with a portrait of himself in his old age, and on the table, the symbols of *vanitas* (money, statues, a portrait of a young woman, wine, beads, a musical instrument, etc.) are mixed with symbols of passing (a burnt-out candle, a pocket watch, an hourglass, a wilting flower, a knife, an overturned wine glass, soap bubbles). The stern and somber gaze of the young painter leaves no doubt as to the direction in which the balance between the pleasures of life and the prospect of the end is tilted. Created by David Bailly at the age of 67, this painting, with its inverted chronological perspective, makes the viewer think even more powerfully about the transience of life.

These types of portraits belong to the genre of *memento mori* or *vanitas*, reminding us that our lives are finite and that earthly pleasures and achievements are worthless from the perspective of eternity.

In the case of death dance, *memento mori*, and *vanitas* images, the representation of death or the use of symbols referring to it are natural: the subject of the death dance is death itself, while in the case of portraits it is perhaps difficult to disregard the fact that the portrait captures the face of a person at

a particular moment, and the moment captured is part of the process of life that ends in death. In these cases, an obvious moralizing intention or a religious discourse frames the whole thing, which sees death not as an end but as the threshold of the judgment to come. In the 17th century, surprisingly much attention was paid to the idea of the good death, which could only be prepared by a good life. As Corrina Ricasoli points out (Ricasoli, 2015), congregations have been created to meditate on and promote the good death (such as the Congregazione della Buona Morte, founded by the Jesuits in Rome in 1648, in whose meetings Lorenzo Bernini regularly participated).

### 3 SYMBOLS OF PASSING IN 17TH CENTURY STILL LIFE

The theme of “falling,” however, is not only encountered in the direct forms listed above but also in a much more mediated way and in a genre that at first sight might seem surprising in this context: the still life. Still life spread as a Dutch genre in the 17th century, and the term (*naer het leven*) originally meant “from life” or “after life” (Berger, 2011, p. 5). According to Charles Sterling, the term originally referred to the immobility of the model: “Still-leven, then, in contradiction to the painting of figures or animals, was the painting of things incapable of moving” (Sterling, 1981, p. 63). In France, the term is replaced first by “nature reposée” (i.e., things at rest), then after 1756 by “nature morte” (Sterling 1981, p. 63-64). To this day, the term used in various languages for the designation of this genre emphasizes either immobility or lifelessness.

The first still lifes, in which bouquets of flowers, piles of fruit, and food-related items appear as independent subjects and not as a supplement to religious or historical representations, date from the early 17th century. The art market is flooded with paintings representing bouquets and food (fruit, meat, cheese, etc.), which use these objects not only as a complementary element (as Van Eyck did with oranges in his *Arnolfini Portrait*) but as the main subject. The genre spread quickly – so much so “by the 1660s the French Academy already finds a place for still life in its aesthetic debates” (Bryson, 1990, p. 7). Still life was one of the major genres of Dutch painting in the 17th century. However, despite its popularity, it remained a devalued genre: still life was always at the bottom of the hierarchy, unworthy of the kind of superior attention reserved for history painting or the *grande maniere* (Bryson 1990, 8).

As simple as the genre of still life is at first glance, it becomes even more confusing when trying to understand why it exists at all. The existence of a portrait, a painting with a mythological or historical theme, is legitimate at first sight: it captures

something extremely valuable (people, contemporary historical events) or something that we can only imagine (past historical events, mythological or biblical stories). But what is the point of painting a bunch of flowers or three pieces of cheese? Plato’s question insidiously creeps into our minds: why duplicate an existence that is not so valuable in the first place, dead nature (“nature morte” or “nature mourante”)? A contemporary interpreter of still life, Norman Bryson, finds that the still life is “under-interpreted” (Bryson 1990, 10), emphasizing “the polite avoidance of interpretation in today’s average still life catalogue” (Bryson 1990, 8).

The classic interpretation of 17th-century Dutch painting is found in Hegel (Hegel, 2010, pp. 597-600). Hegel saw in Dutch painting the expression of the self-confident serenity of a people that had won its political and religious freedom through its own efforts. Thus, the representation of everyday things reveals the “satisfaction in present-day life, even in the commonest and smallest things” (Hegel, 2010, p. 597) that the Dutch had fought for, and this explains “their sense of a self-wrought freedom, a well-being, comfort, honesty, spirit, gaiety, and even a pride in a cheerful daily life” (Hegel, 2010, p. 598) that animates their paintings. At the same time, Hegel also highlights an aspect of Dutch painting that is no longer linked to the specific historical situation of the Dutch but has a general meaning. Hegel recognizes the fact that what excited the Dutch painters of old was the capture of the momentary, the ephemeral: they sought “to grasp this most transitory and fugitive material and to give it permanence for our contemplation in the fulness of its life,” which in Hegel’s interpretation “is a triumph of art over the transitory” (Hegel, 2010, p. 599). Although Hegel does not mention human existence among the “transitory” things here, the focus on transience obviously could not have avoided this underlying theme.

The Dutch golden age opened a new, richer world for the Dutch bourgeoisie with the boom in trade and still life – but also paintings such as Vermeer’s interiors, awash in beautiful, precious textiles – are the fruits of this unprecedented prosperity. Although the still life claims to be modeled “after life,” there is no doubt that the bouquets and the set tables are not mere imprints or impressions but showcases, consciously arranged by the painters. The bouquets in the still lifes were made up of rare and expensive flowers that bloomed in different seasons, so they could hardly have all been in the same vase at the same time (Goldgar, 2008, p. 96). The snail shells displayed alongside the bouquets were of overseas species, demonstrating the wealth of the painter’s client. Obviously, these still lifes did not thematize but rather concealed through “a political agenda of legitimation” (Hochstrasser 2007, 262) that the luxury of the Dutch was made possible by the exploitation of the colonies.

At first sight, the still lifes seem to be a celebration of a joyful, serene, and cozy lifestyle, with beautiful flowers, appetizing food, books, musical instruments, and fabrics – the accessories of comfort and well-being. The Dutch masters’ use of color, great draughtsmanship, and sense of composition enabled them to depict these delightful objects in a pleasing way. They belong to the field of the beautiful, which allows “the free play of the imagination and the understanding” (Kant, 2000, p. 103) and the accompanying serenity.

If we look carefully at 17th-century still lifes, we can discover deeper layers beneath the shiny surface. A closer inspection of beautiful or appetizing objects, at first sight, reveals flaws, stains, and dangers. What is beautiful, seductive, and pleasurable is all vanity, all emptiness, and all will fall prey to time going by. The flowers in the vase are already flowers cut from their stems, still seemingly fresh but irredeemably on the road to wilting and passing away. If you look closely, you can also see over-ripe, fully opened flowers in bunches, with lost petals, wilted or holey leaves. These are the immediate signs of passing away. A similar message is conveyed by the leftovers of food that has already been eaten or by food that has been cut, sliced, chopped, or cut up: the peeled apple or lemon, the sliced cheese, and the cracked nut are all signs of inevitable death, of decay.

There are also other signs that symbolically refer to the passing of time, including the skull or the hourglass. E.g., in Harmen Steenwyck’s *Still Life: An Allegory of the Vanities of Human Life* (1640), the skull takes center stage, inevitably captivating our gaze. Next to it, the pocket watch warns of the passing of time, and the oil lamp recalls the extinguishing of the flame of the soul. So, even the accessories of a comfortable life – the book, the musical instruments, and the exotic shell – cannot make us forget the end that is inevitably coming. Some of the objects in the composition, such as the skull itself, are placed on the edge of the table (or shelf) in an unstable position – which is, in fact, the position of all mortals at any moment.

Although not intrusive at first glance, there is a surprising number of small animals in these paintings: snails, caterpillars, flies, butterflies, etc., creatures that Harry Berger refers to as “these lovely agents of decay” (Berger, 2011, p. 15). The flies and lizards “hint at the physical and moral decay that will occur if one does not follow a righteous path” (Pound, 2019). There is a whole collection of these little animals as if they were competing for our attention. Although one could also interpret the caterpillar/butterfly as a symbol of resurrection, we cannot ignore the fact that the caterpillar is the enemy of the flower; it feeds on the plant and lays its eggs on the leaves; the snail eats leaves, etc. Thus, the

apparent stillness of the still life conceals a universal war, a process of destruction, of time already biting into the flesh of what still seems to be alive. “Behind the counterfactual idyll of still life’s peaceable kingdom there lurks a fantasy of danger and uncontrol” (Berger, 2011, p. 57). According to Berger, small animals and insects in still lifes reveal a world of aggressive greed: “Under the cover of vanitas, they send messages about rapacitas” (Berger, 2011, p. 90).

Likewise, in still lifes that capture the traces of sumptuous feasts, the overturned glass, the knife (used to penetrate something forcefully or cut something to pieces), and the empty nutshell or shell are reminders of the destructive aspect of consumption. Eating might be enjoyable – but not for the life form that is eaten. The still lifes that evoke feasts are a reminder of this truth.

Although the passage of time is a challenge for a spatial, still, and stationary art form, 17th-century painters, motivated by the changing experience of time, found a way to represent the passage of time through symbols. Here one should think not only of the widespread representation of the skull as a rather overt reference to death but of the indirect meaning of a whole genre, the still life as such. The still lifes do indeed present the ephemeral world – as Hegel observed – but it is not certain that their approach is triumphant, and it is doubtful that we can interpret them as “a triumph of art over the transitory” (Hegel, 2010, p. 599). The hypothesis that the still life was born out of the restlessness of the new experience of time and the consciousness of transience seems more plausible.

#### 4 THE MATHEMATICAL SUBLIME OF MORE RECENT STILL LIFES

From Impressionism onwards, we are witnessing a rebirth of the still life, be it Van Gogh’s flower bouquets, Cezanne’s apples, or the Cubists’ sculptural assemblages. It is already clear from this list that the still life no longer has a unified message: in Van Gogh’s paintings, flowers bouquets are emotions embodied; in Cezanne’s, they are geometric forms, and in the Cubists’, they are indifferent objects of the deconstructive experiment. What they have in common is that they have lost the common symbolic system that was so characteristic of the 17th century: the wilting leaves and petals, the rotting fruit, the swarming multitude of insects and caterpillars, the skull, the clock, the candle are no longer the expressive elements of the still lifes. The still life itself is no longer about passing away but about the aesthetic issues of painting. There is perhaps one notable exception: Andy Warhol’s *Flowers* series does belong to the problem we are discussing here.

Warhol first exhibited his *Flowers* in 1964. The series is a processing of a photo showing four hibiscus flowers from above. Andy Warhol enclosed the four flowers in a square and, using the technique typical of him, screen-printed the flowers in bright colors, representing them as completely flat, with a grassy background. Also, in his typical way, he made not one but many pictures, an entire series, where the basic pattern did not change, but the colors, the background, and the overlapping of the patterns made the elements of the series unique.

However, what can this series be about – if it is not simply decoratively repeating a pattern? The bloom of the hibiscus flower is short-lived, and the pictures capture this short moment (as if the “15 minutes of fame” of the hibiscus). John Coplans’ interpretation is convincing:

The garish and brilliantly coloured flowers always gravitate toward the surrounding blackness and finally end in a sea of morbidity. No matter how much one wishes these flowers to remain beautiful they perish under one’s gaze, as if haunted by death. (Coplans et al., 1970, p. 52)

Behind the brightly colored flowers, a dark background peeks out among the blades of grass, the only deepening surface in the picture, evoking the terrifying unknown, whose other name is death. The size of the images and/or sequences sucks the viewer in, who is dwarfed by the petals and gets lost in the darkness.

The case of Andy Warhol is also indicative of the direction in which artists who deal with the theme of passing in contemporary art are heading; it is the way of the abstract expression of quantity, replacing the language of symbols. Thus, these works of art no longer speak to us in the language of beauty, like the 17th-century Dutch painters who fascinated Hegel, but rather in the language of the “mathematically sublime” (Kant, 2000, p. 131).

In his analysis of the sublime, Kant points out that the sublime “is absolutely great (absolute, non-comparative magnum). The latter is that which is great beyond all comparison” (Kant, 2000, p. 132). He then divides the analysis of the category of the absolutely great into two, distinguishing between the mathematically and the dynamically sublime (Kant, 2000, p. 131). The sense of mathematical majesty is triggered by the adequately incomprehensible vastness, while the sense of dynamic majesty is triggered by the image of a force far beyond us. Since the display of force as a dynamic representation of the sublime is more suited to the temporal arts, it is not surprising that in the representation of the sublime in the visual arts, we more frequently encounter the mathematical sublime. The mathematical sublime comes either from the size of the images (e.g., Barnett Newman’s huge canvases, which suck the viewer in) or from the sequence, the repetition, which makes you feel that there is no beginning and

no end. In the *Flowers* series, Andy Warhol does not merely manipulate color with the dark backgrounds versus the garishly colored petals but just as effectively creates his impressive, sublime works using the instruments of scale and multiplicity. The hibiscus flower grows huge on his canvases, and in his series, we get lost in the many colors of the identical but variegated pattern. As witnesses of the flower's "15 minutes of fame", we are dwarfed by the beauty that is shining but inevitably exposed to its demise.

## 5 CONCLUSION

The reflection on time, on the finiteness and passing of our own life, cannot be absent from the thematic palette of painting, although painting, as a stationary genre, is technically directly inadequate for the representation of time, unlike the temporal arts (e.g., poetry, music), or the arts that can use both space and time as their medium (e.g., theatre, dance, film). Yet, in the history of painting, a genre has emerged that, despite its apparent shallowness (the representation of flowers, fruits, and other objects, i.e., their imitation or the duplication of their existence), carries a much deeper message: it warns us of the transience of life. This genre is none other than the still life.

In the heyday of the still life in the 17th century, painters expressed this message symbolically, placing in the space of the painting elements whose meaning is conventionally associated with death and passing: skull, hourglass, candle, etc. At the same time, the bustling little animals in many of these images confront us with a much more aggressive form of passing, one life form living off the destruction of another. The still lifes recording the feast and its aftermath also hinted at destruction by representing the dismembered, cut-up, half-devoured, and sometimes rotting food. Thus, the beautiful, harmonious, and serene surface of the classical still life conceals the anxiety of passing.

Modern interpretations of still life no longer use this symbolic system and often reflect on quite different aesthetic and artistic problems, formal or expressive issues. When contemporary still lifes express the anxiety of finitude, they choose not the symbolic tools of beautiful representations but the abstract mode of the mathematical sublime. This greatness beyond all comparison reminds us of our own smallness and finiteness, while the seemingly countless but finite reminds us that there is a final point in the series, and any day could be our last.

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# William Kentridge and the eternity of the ephemeral; time and space in the *Triumphs and Laments* in Rome

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**ABSTRACT:** The South African artist William Kentridge is invited by the cultural association Tevereterno to work on the theme of history and memory of the city. The artist gives Rome a street artwork, choosing a place full of life and symbolism: the Tiber River. He represents on a stretch of the embankment of the riverfront, bordered by Ponte Sisto on one side and Ponte Mazzini on the other, a procession of figures, calling them *Triumphs and Laments*. It is an occasion to pay homage to the history of a city that he considers the maximum representation of the history of the West. Based on a sequence of silhouettes reconstructed according to a complex atlas of iconographic sources, the frieze speaks to us of memory and leads us to retrace a journey made up of leaps in time. This text proposes to partially analyze the meaning of this work through an analytical approach that attempts to reconstruct Kentridge's complex and stratified vision of time and history. But it will also be an opportunity to reflect on broader issues such as the importance of art for the preservation of memory and urban space as an opportunity to reflect on the great concepts related to time.

**Keywords:** William Kentridge, Time, Triumphs and Laments, Rome, History

## 1 THE TRIUMPHS WITHOUT THE COMPLAINTS OF THE CITY OF ROME

The city of Rome has seen triumphant entrances of condottieri and emperors and ceremonies of popes and sovereigns pass through its streets. The celebrations of religious or political leaders were always cleverly orchestrated to commemorate victories, but never the pain and death that these required. (Pinelli, 1985, p. 281)

In this narrative tendency, each celebration materialized in a monument that perpetuated the memory of the triumph for eternity. In Roman art, we are accustomed to witnessing the crushing victories of the Romans over their rivals; for example, in the Jewish War of 66-70 A.D. sculpted on the Arch of Titus, in which the procession of the victors is represented as they enter the city triumphantly with their booty in hand. But there is almost no trace in the frieze of the emperors killed or defeated. In order to see a defeated emperor, we must change geography and go to ancient Persia, where we find the depiction of the victories of the Sassanid king Shapur I over the three Roman emperors: Gordian III, killed in 244, Philip the Arab, who submitted soon after and finally, Valerian captured in 260 AD (Triumph of Šāpur I over three Roman emperors (Gordian III, Philip the Arab and Valerian), *second half of the third century AD, rock relief. Bišāpur, Iran.*)

Therefore, in Rome, it seems that political propaganda entrusted only the victories of the emperors and their armies to the arts. As Settis points out, we find images of dying Dacians in the Trajan column, but not a single Roman soldier killed. (Settis, 2020, p. 411)

This tendency to represent triumphal processions is not limited only to the art of the Roman imperial period. For example, in the *Triumphs of Caesar*, Andrea Mantegna painted for the Gonzaga family of Mantua from 1485, or again in all the iconography representing the triumphal entry of Emperor Charles V of Habsburg on April 5, 1536. The representations of this pompous procession have always been silent about the amount of looting and death that the Sack of Rome left behind, but they have always been rich in representations of the architectural objects, such as the triumphal arches under which the processions used to pass. These elements were presented not as ruins and symbols of decadence but as instruments of glory and triumph. Charles V passes under the arches of Constantine, Titus, and Septimius Severus and under another arch, made of decorated wood, built for the occasion by Antonio da Sangallo in Piazza Venezia. (Farinella, 2019, pp. 144-151)

Therefore, in Rome, we find a real trend, a sort of vocabulary of celebrations in which posthumous and temporary elements such as

bridges, aedicules, obelisks and spires, fountains, carriages, theaters, and facades also entered. As Fagiolo says, a repertoire of ephemeral decorations that imitate the eternal, in a city where the eternal is ruin. (Fagiolo, 1997)

When William Kentridge agreed to work on the project for a large frieze to be placed in the center of ancient Rome, he immediately made it clear that he would work on the concept of the triumphs without avoiding the laments they provoked. His *Triumphs and Laments*, without any preference for one or the other, presents us with a sequence of images that unite joy and death, glory and damnation, the eternal and the ephemeral.

The starting point for the conception of this work seems to be cultural memory. A memory that draws from the source of urban memory manifests itself in one of the most Roman places: the Tiber River. The stretch of river chosen is called “Piazza Tevere” and is the longest straight stretch of river in the city, bordered by two bridges, Ponte Sisto and Ponte Mazzini. Along this stretch, Kentridge has “designed” his frieze, 550 meters long, with a height that in some places reaches 12 meters, and that, after a long gestation, was inaugurated on April 21, 2016.

Rome means three thousand years of history, which translated into images means an enormous potential to draw from. Kentridge had to grapple with this potential, and he asked for the support of a double collaboration: Kristin Jones, who created a chronology of events and images from the time of the founding myths to modern times; and Lila Yawn, professor of Art History at John Cabot University in Rome, who collected a set of images with her students, dividing them into two temporal sequences, one of triumphs and the other of laments. (Giercio, Settis, & Basualdo, 2018, p. 77)

## 2 WALKING IS THINKING

One of the oldest themes of figurative art in the Western tradition is movement, which Kentridge, in many of his creations, resolves through the use of shadows in a sequence of processions that decompose and thin the human figure, sometimes to the point of disintegration.

The paper characters in *Shadow Procession* (1999)<sup>1</sup>, for example, formed a kind of inventory of people walking, some reading, other miners carrying fragments of the city on their shoulders. An orderly multitude lined up as one would see in Johannesburg, his hometown. Kentridge’s interest in people in motion comes not so much from aspects related to the mechanics of movement but rather from the attempt to understand to what extent the sketched

figures were recognizable and to what extent he could represent their movement without losing their specificity. (Kentridge, 2018, p. 14)

This interest in shadows seems to have begun, according to Kentridge, when he saw *Pilgrimage to the Source of Saint Isidore or the Holy Office* (1819) by Goya. A procession that seems to come towards the viewer, the shadows deliberately related to the light source in their increase in volume and occupation of space.

Of this procession and the procession that Kentridge drew in Rome, we do not know the destination; the destination does not seem to matter. The important thing is the incessant, cadenced walking. Like the luminous source of Plato’s cave, the destinations seem to be confused.

Initially, the work of *Triumphs and Laments* was also conceived as a procession of figures projected onto one of the walls, walking without a clear destination. However, in a second moment, a drawn work was preferred, which developed on an elongated dimension, thus allowing double fruition: a vision at a distance, from the other side of the river, which gave back a synthesis of the images, or a close-up vision that opened the possibility of a detailed analysis of each portion of the frieze.



Figure 1. View of a part of the frieze. Source: <https://www.gabriellapapini.com/william-kentridge-trionfi-e-lamenti-per-il-tevere-di-roma/>.

The most natural and spontaneous relationship with the frieze is through walking in both modes. Kentridge assigns a privileged place to *walking*, even more to walking without destination, defining it as an activity with a long history. Think of the ambulatories of cloisters or the walks around the courtyard in aristocratic estates. And he connects walking to the gesture of drawing, considering its prehistory. In a text dedicated to walking, he writes that something in this act links it to the continuous avoidance of falling. And in the avoidance of falling, a cadenced rhythm is processed, constituted by the repetition of a simple sequence: left foot, right foot, and so on, beginning again. This rhythmic movement sets thought in motion: a change from the physical to the

1. <https://www.dailymotion.com/video/xp1goh>.

mental, a respite between the artist as the *one who does* and the artist as the *one who sees*. In walking, the artist does and sees. (Kentridge, 2018, p. 105)

### 3 MONUMENTALITY AND MEMORY

Returning to the *Triumphs and Laments* of Rome, two fundamental aspects converge in the work created: the monumental ambition and the recourse to the historical memory that defines the iconographic tradition of the city of Rome. For Kentridge, the history of Rome represents the synthesis of the history of the West, an opportunity to reflect on the past of a civilization continually oscillating between anamnesis and oblivion.

The frieze begins with an image: Winged Victory, taken from Trajan's Column (110-113 A.D.), followed by the recognizable figure of the statue of Marcus Aurelius on horseback, and finally, an empty chariot surmounted by a hand holding a triumphal column, a hand that we will find again later.



Figure 2. Winged victory (Victoria scribens) and Marco Aurelio (Pacifator orbis). For the first, the reference image is Personification of Victory, c. 113 AD, Trajan's Column, marble relief, Rome. For the second: Equestrian Statue of Marcus Aurelius, c. 176 AD, gilded bronze, Capitoline Museums, Rome. (Ph. Maddaluno).

But the narrative is not limited only to the ancient history of Rome; recent history is also present. Salvatore Settis tells us of Kentridge's intention to include an image of a flag with the words "oh God what pain," the cry of Giorgiana Masi as the police killed her in a 1977 demonstration. (Giercio et al., 2018)

Having discarded this hypothesis, he entrusts the narration of recent history to the episode of the death of Pier Paolo Pasolini, whose image of the lifeless body on a beach opens the series of laments. His corpse was immortalized by a photo agency in 1975 on a beach in Ostia.

This coexistence of historical times and recognizable images suggests that his iconographic sources are specific: photographs and images from the history of art or the press that are part of the acquired imagination.



Figure 3. Aldo Moro's body found in a Renault. The head of five governments. Reference image: Aldo Moro's body discovered in a Renault 4, 9 May 1978, black and white photograph (ANSA). Source: <https://eternaltiber.net/triumps-and-laments-the-frieze/>.

The most interesting case to explain this process of recalling sources is the group of pyramidal figures, in which some human figures converge, but also a car with its trunk open and a woman bathed in rays of light. A closer look will immediately recognize the reference to the *Transverberation of Saint Theresa* by Bernini (1647-1642). The rest of the figures draw their evocative violence from chronicle episodes that have indelibly marked the history of Italy. Kentridge uses three iconographic sources for this composition: the first is a famous photograph of the red Renault in which Aldo Moro's body was found on May 9, 1978. Then, on the right side of the composition, we recognize the figures of dying Barbarians, taken from a detail of the great Ludovisi Sarcophagus, which depicts a battle between the Romans and the Goths in the middle of the 3rd century A.D., where the hand of a Roman soldier is about to cut off the head of a Barbarian.

We note that the date of the event of the ecstasy of Saint Theresa (1562) does not correspond to the date of the representation of the event, which Bernini made almost a century later.

In this temporal transliteration, in which we assist to an eventual transmigration, Kentridge seems to want to superimpose the ecstatic experience of the transfiguration of the saint to a cry of pain for the timeless death of men, victims of executioners: the Barbarians in the case of the Romans, Aldo Moro in the case of the Red Brigades. It is as if we were presented with a single great lament, made universal by the chronological leap that the artist makes, ranging with awareness among the iconographic sources.

Kentridge seems to have created a catalog of memory from which he has drawn freely, juxtaposing analogical and thematic approaches, mixing without confusing the sources that range from Renaissance art to classical art, from the Middle Ages to the modern era, from cinema to painting, from photography to sculpture. Alternatively, he mixed the universal history of Rome with events from his own personal life: see, for example, the



warriors of the Arch of Titus in procession carrying the looted furnishings to the Temple of Jerusalem in 71 A.D. or the group of figures from the *Triumphs of Caesar* by Andrea Mantegna, ironically represented with one of the soldiers carrying a Necchi sewing machine. Two episodes borrowed from history that, in reality, tell traits of the biographical history of the artist, who we know belonged to a Jewish family, and that one of his childhood memories is linked to the image of his mother sewing with an Italian-made machine.

A subtle veil of irony accompanies the frieze and manifests itself in some images in a clear form. For example, when he depicts the Capitoline She-wolf, replacing the twins Romulus and Remus with two jugs of milk, perhaps to emphasize the nourishment that the city of Rome has provided to Western history. The same she-wolf reappears in two other moments of the frieze (at the beginning and the end) in the form of a ghostly skeleton, perhaps to remind us how precarious and exhausting this nourishment can be.

Just as ghostly is the skeleton of the horse represented in another point, which refers to the idea of death, taken from a fresco of Death on horseback in Subiaco. (Triumph of Death, detail, around the middle of the 14th century, fresco. Subiaco, *Sacro Speco*.)

The repetition of similar figures is a stratagem used several times in the frieze, in points that are never random but chosen in such a way as to give a sense to what follows. For example, the winged figure, which we have seen as the incipit of the frieze, is then taken up again in the center, but it is represented in the process of breaking up into a single sequence to testify to the coexistence of triumph and lament, or to show the tendency of triumphs to turn into lament.

Even the desire to place the winged victory at the center of the frieze is a positional citation of Trajan's column, where it is located exactly at the center of the height of the shaft, to divide the first war from the second Trajan's war.

The choice of sources follows his visual sensibility and his compositional ability. When he wants to represent a procession of migrants, he does not delineate by going to draw on the immense contemporary photographic documentation of the theme of migration but goes to retrieve a scene from a monument of imperial Rome, the Plutei of Trajan, in which the characters carry heavy bundles of debt registers destined to be burned, thanks to the amnesty granted by the emperor in 119 AD ("Plutei of Trajan": the amnesty of debts, *second century AD, marble. Rome, Roman Forum, Curia*). The transposition that he makes is only temporal because the place is always Rome, but the weight that the figures carry is the same even after 1900 years. Therefore, the rhythm of the march seems to annul the temporal distance, but the analogical juxtaposition that

Kentridge masterfully makes allows us to place the burden of the debts of ancient Rome alongside the burdens that migrants carry when they are forced to move from one country to another.

Cinema also enters into this great repertoire: a sort of homage that Kentridge pays to the world of Italian cinematography and Rome.

The first scene he chooses is one of the key scenes of Fellini's *Dolce Vita* from 1959, where he places Marcello Mastroianni and Anita Ekberg in their timeless embrace, not in the famous Trevi fountain but in a bathtub. The *Dolce Vita* represented the triumph of the city of Rome, which became an international phenomenon and the preferred destination of many celebrities.



Figure 4. On the left: *La dolce vita*, Sounds, and sweet airs, that give delight and hurt not. Image of reference: Marcello and Sylvia in the Trevi Fountain, film still with Marcello Mastroianni and Anita Ekberg, from Federico Fellini's *La dolce vita*, 1960- On the right: Bersagliere, *Le piume al vento* (Feathers in the wind). Image of reference: Publio Morbiducci, Monumento al Bersagliere, 1932, bronze, Porta Pia, Rome. Source: <https://eternaltiber.net/triumpms-and-laments-the-frieze/>.

And then a cinematic lament, faithfully taken from a scene in Roberto Rossellini's 1945 film *Roma Città Aperta*. A scene depicting the killing of Pina, played by Anna Magnani, and her son, who rushes to weep over his mother's body. The image conveys the sorrowful lament of a city devastated by the cruelty of the Nazi armies during World War II.

On this body, Kentridge places a hand with a laurel wreath, the same hovering hand that we had met at the beginning of the frieze on the empty imperial chariot, the same hand that one meets in a Roman frieze, *Oicumene*, ready to crown an Emperor, with the difference that here it crowns and delivers to eternity a woman who dies at the hands of the executioners on duty.

The frieze's entire narrative and symbolic communication are entrusted to images and a few but significant inscriptions. The first is the acronym of the title *T.L.*; a second represents an inscription from the time of Paul IV on the facade of Santa Maria

Sopra Minerva, which refers to a height reached by the Tiber in flood in 1557.

This presence of the Tiber has represented for the city of Rome, on more than one occasion, moments of salvation and moments of extreme discomfort. One thinks of Renaissance Rome, before the works of requalification of Pope Julius II, of how much its hygienic and healthy situation depended on the repeated flooding of the river. However, the same river has been a savior in some moments, as can be seen from an image that Kentridge places next to the inscription of a boat with figures trying to escape the 1937 flood.

Then appears a second significant inscription, “what I do not remember,” written in Italian so that it could be understood, which stands out on a large black frame. A void represents oblivion, its power, its vastness, and its danger. Salvatore Settis suggests an interpretation of this panel, saying that the artist wanted to propose art as a remedy against the fragility of our memory.

As Salvatore Settis argues, contemporary art seems to have raised a barrier, opposing itself to ancient art. It is as if this rupture with the past were to represent a definitive separation from the long times of history in the name of a present that has no memory and must, to survive, create new beginnings, refusing to turn into the past. Kentridge’s frieze demonstrates that by using current sensibilities, one can approach and understand the sensibilities of the past. (Settis, 2020, p. 4)

The black that can be seen in the frame is not the result of coloration but a subtraction technique. The technique, invented by Kristine Jones, consists of cleaning the dirt present on the wall, dirt stratified over the years, caused by atmospheric pollution and by a mixture of fungi that have been deposited. The cleaning took place with special pressure guns, which removed the blackness through the interstices left visible by the negative figures designed by Kentridge.

Kentridge used the layer of dirt that covered the travertine of the wall as a real painting material.

As extraordinary as it is transient, the result oscillates between the monumentality of the figures and their precariousness of duration: the monumentality represents triumph, and their precariousness represents lament.

Therefore, it is a work that speaks of eternal time through the analogical narration of the events that have made the history of the city, but it also and above all speaks of the transience of this time, which will reappropriate the surface of the wall of the Tiber embankment, because the life of microorganisms mixed with the phenomenon of pollution will erase these traces.

The black layer will fatally reform, or rather it is already reforming, making events fade away as oblivion erases memory.

## 5 TIME AND ITS WRITING

Kentridge’s frieze lends itself to a reading that ranges from the analytical view, as we have partly begun to do in this text, to the synthetic and emotional view. Neither approach detracts from the strength and power of the other. It is possible to reconstruct the sources for each figure without, in the absence of this, losing the force that the entire procession of figures evokes. The analytical work serves to understand the artist’s creative process, who uses the sources, history, and identity of a city with extreme mastery.

As Salvatore Settis points out, three chronological levels can be recognized in the representation of the frieze: a first level referring to the date of the event; a second level referring to the date of the image chosen as the source of repertoire; and a third level given by the adjacency of one figure to another. (Settis, 2020, p. 446)

For example, in the case of the killing of Remus by Romulus, there is the representation of the event which, according to tradition, took place in 753 B.C.; this is followed by the second chronological level, that of the source from which the image was taken, an illustration from 1800; and finally, the third level is given by the proximity of the body of Remus to the corpse of Aldo Moro or, later, to the body of Pasolini. A sequence of bodies of men who are victims of a murder amplifies the drama of a timeless pain.

If we tried to schematize these three chronological levels for all the figures, we would have a diagram that gives us back almost a time put in disorder. But it is precisely from this disorder of time that the great emotional impact of the work comes. And above all, looking at this disorder, we are obliged to construct our own order, or at least to look for a sequence that can accompany us in this reading of anachronic history.

In reality, continues Settis, this disorder, and apparent confusion, makes us suspect that Kentridge does not have a great respect for history. An unfounded suspicion because it is precisely this confusion that speaks to us of a deep passion for history, a passion that has made him build an atlas of Warburgian memory, from which he has chosen fragments that speak to us of the great themes linked to historicity and memory, and that is represented through a true short circuit between space and time.

Just as in the plates of *Mnemosyne*, Warburg wanted to include consecrated works of art, at times following the whims of chance, but also images of everyday life, Kentridge seems to have rewrapped a page of Warburg’s work on a long sequence shot. What emerges strongly from these collages is not so much the formal correspondence between the figures as the substantial equivalence between the “high” and the “low,” the convergence of registers that are

only apparently divergent on the same plane of pathos. (Settis, 2020, p. 10)

As Gillo Dorfles says, a process analogous to that of art occurs for “time”: time is objectified and mythicized, the becoming of time becomes a “time of becoming”; our being in the world becomes being in time; but in a time that - having been objectified - has acquired technical-structural, and mythical characteristics together, that have made it a “solid,” “reified,” measurable, circumscribable entity, defined and marked in pauses and accents (and no longer in beats of our pulse or breaths of our lungs)(Dorfles, 2003, p. 303)

In his path as an artist, on Kentridge’s part, there is a constant reflection on the function that drawing has as a mere creative tool and a privileged intermediary for a profound understanding of human life. This important presence emerges strongly from his *Six Drawing Lessons*. (Kentridge, 2014).

But with even greater force emerges in his artistic reflections, the indissoluble bond that drawing builds with movement and, therefore, with time. Each drawing, initially conceived as a static form, is then altered with additions, modifications, and deletions to photograph each step and finally create the movement. This technique is not only an artificial game of an artist but a conscious reflection on the stratification of memory. (Settis, 2020, p. 422)

Each alteration of the image becomes at the same time a mnemonic device to fix its form and its narrative aspiration, but also a device that entrusts the same detail to oblivion. This process is clear in Kentridge’s multimedia works, *More Sweetly Play the Dance* (2015), where the artist stages a veritable macabre dance, an installation that stretches for about forty meters across several screens. (Christov-Bakargiev, 2003)

This attention to drawing never strays too far from the presence that the notion of time takes on in his production. In many of his texts, he cites it and seeks to analyze it by breaking it down, rejecting it, simplifying it, or surrendering to it. In one, he refers to his latest project, *The Refusal of Time*,<sup>2</sup> which appears as a confusing series of films, dances, and drawings in continuous superimposition. The project has since been transformed into two versions: an installation, *The Refusal of Time*, and a performance *Refuse of Hour*. The project, as he says, started from a consideration of the different types of time, but as the work progressed, it soon became clear that it revolved around fate, as well as time, and around our attempts to escape when it forces us into what we are, binding us to a *how* and a *where*. (Kentridge, 2018, pp. 139-140)

2. <https://vimeo.com/212907506>.  
[https://www.youtube.com/watch?v=mX\\_Qe2HKuEA](https://www.youtube.com/watch?v=mX_Qe2HKuEA).

## 6 CONCLUSION

The work *Triumphs and Laments* (*Triumphs and Lamentations*) places before our eyes a past that, through its icons, speaks to the present, constructing a gigantic tale that proceeds by leaps, as memory proceeds by leaps.

This work by Kentridge speaks of an attempt at urban regeneration, which cannot be separated from the intervention of human regeneration. A stretch of river, which speaks of hope, tries to tell the story, through a complex but evocative procession of temporal short circuits, which confuse but invite a journey of rediscovery and reconstruction of memory.

Kentridge has worked with the skill of a surgeon, operating by subtraction on the skin of a city, and has created a monumental work but destined to disappear before the eyes of all. A work that, by representing and living through degradation, has metaphorically warned against the degradation that inexorably looms over our individual and collective memory.

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# Time as space; visualizing time in painting, sculpture, or video art

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**ABSTRACT:** For centuries the arts were divided into the spatial arts (painting, sculpture, architecture) and the temporal arts (poetry, music, dance, theater). In the age of industrialization, time became money, and the invention of astonishingly fast mechanical wheelwork, steam engines, and means of transport mesmerized the public. By the turn of the twentieth century, visual artists had become fascinated by speed, movement, and moving images and were starting to explore the realm of time.

Today, kinetic sculpture, performance art, video art, time-based earth art, computer art, interactive media art, robotic art, or virtual reality art are established art forms that visualize their ideas in space and time and use time as an artistic medium.

This paper hypothesizes that some time-based art visualizes time in the form of movement, process, or action and to a certain extent, also transforms time into space which might alter our perception of time.

As an example, I would like to look at video art from the 1970s when artists had just discovered the new video technology. Especially these early video art pieces show that many artists at that time were fascinated by video as a new medium that could manipulate time. For the viewer, the results were not only surprising temporal experiences but sometimes also novel explorations of space-time correlations as well.

**Keywords:** Video art, Time-based art, Art history, Kinetic sculpture, Media art

## 1 TIME ART VERSUS SPATIAL ART

Time as an artistic medium has emerged as a relatively recent phenomenon in the visual arts. Although art history is rich in renditions of different facets of temporality, these remain forever frozen in the form of drawings, paintings, graphic art, or sculptures. For centuries the visual arts have been considered timeless and unchanging spatial art whose images last thousands of years and thus can serve to immortalize their makers or their commissioner. Accordingly, visual artists have always been urged to use materials that would withstand the test of time as long as possible. Images were worked in stone, cast in bronze or painted with oil or tempera on enduring wood, canvas, or paper, and were safely kept for posterity.

The visual arts were associated with materialized space, not, however, with transient time. These unchanging works of art and the timelessness associated with them finally led, in the eighteenth century, to the definition of the visual arts as the *spatial art* of painting, sculpture, and architecture, as opposed to the *temporal arts* of poetry, music, dance, and theater. The source of this division of the arts was the Roman poet Horace and his contention that a poem was like a painting. This idea was the start of the discussion around the famous issue of *Ut-Pictura-Poesis* that continued into the eighteenth century. At that time,

the issue of spatial and temporal art was stirred up, especially by the new discoveries in the natural sciences apropos space and time – for example, Leibniz's theory of space and time. In addition, the Kantian a priori view of space and time as forms of intuition strengthened the dichotomy of this division, which correspondingly affected the mutually circumscribing categories of spatial and temporal arts.

In the second half of the eighteenth century, thinkers once again delved into this question, and their conclusions would influence the positions taken by coming generations of art theorists. Gotthold Ephraim Lessing (1729-1781), for example, concluded in his essay *Laocoon: An Essay on the Limits of Painting and Poetry* that the succession in time is the province of the poet just as space is that of the painter (See Lessing, [1766], 1964, p.129). The argumentation manifested the division of the arts, which among scholars remained for the most part undisputed into the twentieth century while at the same time, visual artists worldwide were already experimenting in the fields of film, performance, and process art.

## 2 THE 19TH CENTURY AND THE ACCELERATION OF TIME

Shaking the very foundations of the visual arts was a wide variety of nineteenth-century discoveries and

inventions which literally were to set the world in motion. Thereby, the invention of film around 1895 was only one innovation coming at the tail end of a whole century full of moving devices. In the age of industrialization, the even rhythm of machines dictated the speed of the respective units of work, and the measurability of time became an essential factor in productivity. Speed, in this way, not only became an economic coefficient but also could be directly experienced by the individual as an everyday occurrence.

According to the British art historian Jonathan Crary (1951\*), the nineteenth century with its industrial steam engines, wheelwork, and new means of transport set the pace for a new century of movement and the arrival of movement in the form of engines, mechanical movement devices and toys, carousels, bicycles, and especially trains into standard nineteenth-century life set demanded a new form of attention which made finally possible a new perception of the world. As a result, for many artists of the nineteenth century, the train, for instance, became a new motif symbolizing progress. At the same time the train became an artistic challenge. Artists like Joseph Mylord William Turner (1775-1851) to Claude Monet (1840-1926) had tried multiple times to capture the ephemeral blur of moving trains and evaporating steam on canvas.

2009 the British performance art scholar Adrian Heathfield (\*1968) argued that “speed is the principal order of energetics in the advanced capitalist economy.” So that “the accelerated temporality of late capitalism is now deeply inscribed in Western social practices and relations.” (Heathfield, 2009, p.23.) Heathfield suggested that “de-naturalizing and de-habitualizing perceptions of time are a vital means through which the nature and value of these powers may be opened up, their regulatory grip loosened.” (Heathfield, 2009, p.23.). While Heathfield refers to durational performances as being able to give access to other temporalities, I want to argue that art forms which try to visualize time as spatial phenomenon challenge in a similar way the linear time concept of Western cultures and its order of commodification.

### 3 VISUALIZING TIME IN PAINTING AND SCULPTURE

At the beginning of the twentieth century, the Futurists were the first artists who explicitly tried to visualize speed and movement. In doing so, they endeavored to tackle the problem of visualizing passing time. Their paintings like *Dynamism of a Dog on a Leash* (1912) by Giacomo Balla (1871-1958) or *Dynamism of a Soccer Player* (1913) by Umberto Boccioni (1882-1916) show the attempt to paint a succession of moments.

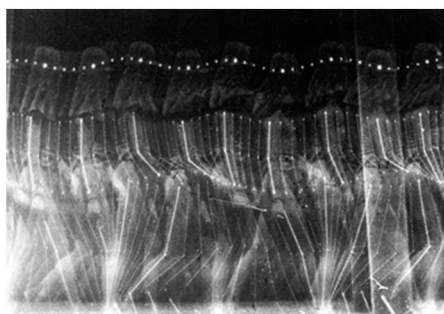


Figure 1. Étienne-Jules Marey: *Walking Man*. Chronophotography. 1882. CCO Public Domain Designation. Virtuelle Diathek. School of Art History. University Hamburg.

Inspired by the chronophotography of Étienne-Jules Marey (1830-1904) (Figure 1), the Futurist painters tried to capture movement by depicting a series of sequential moments. In his famous publication *Futurist Painting and Sculpture (Plastic Dynamism)*, Boccioni claimed to substitute the old, static emotions with the violent thrill of movement and speed, and to unite the concept of space, to which cubism had confined itself, with the concept of time (See Boccioni, [1914], 2016, p.66 ff.).

Around the same time, Marcel Duchamp (1887-1968) painted his famous work *Nude Descending a Staircase, No. 2* (1912) in a similar fashion. Also inspired by Marey, he painted a succession of lines, rectangular and circular shapes suggesting a human figure descending a roughly outlined staircase. Years later, Duchamp described his painting as a static representation of movement, as a static composition of indications of various positions taken form in movement (See Duchamp, 1975, p.124). The interesting aspect of this painting is that its subject is not the motif depicted but rather an abstract concept: the succession of time.

A few years later, the sculptor Naum Gabo (1890-1977) went even a step further. In the *Realistic Manifesto*, he proclaimed that neither Futurism nor Cubism had delivered what had been expected. Space and time were about to be reborn as space and time were the only forms on which life is built, and hence art must be constructed (See Gabo/Pevsner, [1920], 2003, p.299).

In his artistic work, he achieved his goal by creating form through time. For his most characteristic artwork *Kinetic Construction (Standing Wave)* (1919/20) (Figure 2), Gabo had fixed a 50 cm long thin metal stick upright on top of a small turntable and connected the turntable to a small engine underneath. With the pressing of a button, the turntable started to rotate, and the metal stick oscillated. For a few seconds, the s-shaped form of the rotating metal stick created the shape of a vase. For the viewer, it seemed as if on this turntable, a three-dimensional object had

suddenly materialized. With this artwork, Gabo realized not only the visualization of time through movement but created a three-dimensional object through time. Thus, for the first time, temporality materialized as space.

The work of Naum Gabo inspired many artists like Alexander Calder (1898-1976), László Moholy-Nagy (1895-1946), and Jean Tinguely (1925-1991), who continued to explore the ideas of movement, process, and time with their kinetic sculptures. The expansion of sculpture into the realm of time led to moving objects, animated machines, and the first robots.

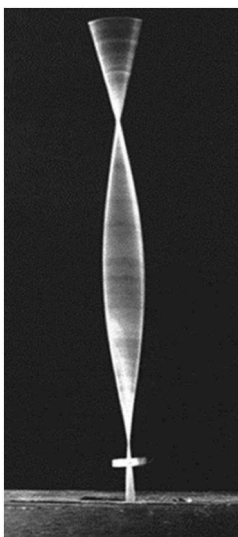


Figure 2. Naum Gabo: *Kinetic Construction (Standing Wave)*. Kinetic sculpture. 1919-20. CCO Public. Domain Designation. Courtesy Tate Gallery London. DadaWeb University Cologne. Institute of Art History Cologne.

Jean Tinguely, for instance, created mysteriously animated creatures with his kinetic metal sculptures. In 1960 with *Homage to New York*, he accomplished his most spectacular work. In the Museum of Modern Art in New York, he built a giant machine composed of wheelwork, engines, and junk which performed its own destruction within one hour. Art works like this one changed the viewer's perception. Finally, spatial art sculpture had conquered the realm of time. Kinetic sculpture could not only be looked at but had to be watched because it was moving, rattling, dancing, or even destroying itself and by doing so, it deconstructs the traditional concept of its eternal presence.

#### 4 VISUALIZING TIME IN VIDEO ART

Up to the 1960s, painting and sculpture were still the dominant visual art forms. As the 1960s progressed, this changed dramatically as happenings, environments,

expanded cinema, installations, and performances extended the concept of art. At the end of the decade, the invention of the video camera was about to add a new art form - video art. By chance, the new and affordable video technology became easily available, and many artists started to experiment with it. Thereby, they discovered that they could not only record but also copy, rewind, fast forward, decelerate, or replay tapes time delayed.

Artists who were trained in fine art started to experiment with this new medium from an artistic point of view. Instead of being interested in narrative, they were delving into the conceptual questions of space and time, as was the case in the work of Douglas Gordon (\*1966). For his eminent video piece, *24 Hours Psycho* (1993), Douglas Gordon decelerated the video recording of Alfred Hitchcock's classical movie *Psycho* (1960) and thereby stretched the 108 minutes of the original film to 24 hours. This extreme extension ultimately obliterated the narrative of the original film. Instead, the video showed slow-moving black-and-white imagery projected onto a screen in the middle of the gallery space so that the viewer could watch the video inverted as well. Thereby, not only the original timing of the narrative but also the spatial composition of the original film was deconstructed.

While many video artworks remained projected videos within the two-dimensional realm, the video within a three-dimensional setting started engaging other artists. Bruce Nauman's *Live-Taped Video Corridor* (1969-70) is one of those typical early video installations. Nauman, originally trained as a sculptor, built a long narrow corridor (0.5m x 9.75m x 3.65m), at the end of which he placed two television sets. One TV was connected to a camera at the corridor entrance and filmed the whole corridor. The viewer had to walk along the narrow corridor to see what was on the TV screens. The first screen showed a pre-recording of the empty corridor. The second screen showed the live recording of the viewer walking toward the TV sets and standing with their backs to the camera in front of the TV sets. While the viewer was standing in front of the TV sets that showed the same corridor, the videos did not show what was anticipated. Seeing oneself from behind instead of one's mirror image is slightly irritating. Nonetheless, the live recording from the camera at the entrance confirmed the viewer's presence in the corridor. Thus, the recording of the empty corridor was even more confusing since it referred to the time before or after the viewer's presence in the corridor. The physical experience of standing in a narrow corridor watching the very same space being empty on a TV screen did not correspond with real-life experience. Not knowing the set-up of the installation, the question as to whether the videos showed two different corridors simultaneously or one corridor in two different time frames

could not be answered. Since we cannot be in two places at once as we cannot be at two different times at once, Nauman's installation seems to equate the spatial and temporal experience of the viewer.

A few years later, Dan Graham (1942-2022), with his installation *Time Delay Room I* (1974), created an even more complicated construction of space-time experience. For his video installation, Graham used two adjacent rooms so that the viewer had to go through one room to reach the other. There were two telescreens and one video camera in both rooms that recorded what was going on in that space. On the two screens of each room, the viewer could watch the activities of the other room. One screen showed the real-time recording. The other screen showed a recording delayed by eight seconds. Thus, in the first room, the viewer saw other visitors walking around in the second room in real-time and eight seconds earlier, while in the second room, the viewer saw the first room after she or he had left the room and eight seconds earlier, when she or he was still walking around in the first room. Graham built many different versions of *Time Delay Room*, exploring the relationship between space, time, and its perception. The intriguing aspect of this example is the combination of the physical movement through two rooms with the observation of one's movement on a screen in two different time frames. Thereby, the perception of walking through two adjacent rooms correlates with the perception of simultaneously walking through two different time sequences. Space is experienced like time, and time is experienced like space.

Another example of video art that sets different spaces in relation to different times is the video installation *Time Zones* (1977/1980) by Ira Schneider (\*1939). Schneider wanted to show concurrent life around the world. For the installation, he had set up in a circle 24 television sets representing the 24 time zones. Each TV set showed videos of a city from one CET time zone. The recordings of each city were made within one hour of its specific CET time. While, for instance, London was filmed from 6 am to 7 am, New York was filmed five hours earlier from 1 am until 2 am so that all the videos showed recordings of the same hour in time. The viewer could walk around the installation from location to location, from time zone to time zone, without ever leaving the room or leaving the recorded one-hour time span. While each city was from a different country and time zone, the videos showed the life of 24 cities at the same time and simultaneously in one place. Although Schneider's installation only simulated concurrency, since his videos were pre-recorded, the synchronized timing of the videos, in combination with the installation's circular set-up, created a special entity of immediate presence. For the viewers at that time, who were not yet used to broadcasted images from all over the world, the installation was a fascinating visualization of

simultaneity. Schneider's installation would repeatedly inspire artists who appropriated his concept, adapting it to the next technology. Today the internet has finally made his conceptual idea come true.

## 5 TIME AS SPACE?

While we can move freely back and forth in our three-dimensional environment, we can experience time only as a sequence of moments passing. Some video art pieces seem to challenge this natural order of things. As the three examples have shown, the perception of time can be expanded. Heathfield's argument that "the playful subversion of the order of time [...] give access to other temporalities" (Heathfield, 2009, S.23) can also be applied to these early video art pieces: Many different time zones can be experienced at once. Places can be simultaneously seen in the present, past, or future, and we can watch ourselves walking around a few seconds ago. It is as if we were able to move in time as we can move in space. Many video-art pieces simulate this kind of spatial experience of time by juxtaposing different features of video technology: time-delayed videos next to live recordings, pre-recorded videos combined with closed-circuit set-ups, etc. The artists' creative approach to the new video technology has led to a vast number of video-art pieces that challenge the viewer's perception of time and time-space relations. Unsurprisingly, the media theorist Siegfried Zielinski (\*1951) designated video art as an audio-visual time machine (2005, p.45). In the early years of video art, this new art form literally challenging the space-time continuum was astonishing to the art public.

Today, through the media and internet, we are used to the presence of simultaneous images from around the world. Even though the suspension of the time continuum is just an illusion that tricks our perception, the conceptions behind the video-art works are still intriguing. Video art started questioning our perception of the world by creating puzzling works of art that challenge our concept of temporality and thereby question "the social powers that order and maintain the cultural knowledges and experiences of time" (Heathfield, 2009, S. 23).

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## Flat time, least event and huge impulse in John Latham's 1960s book paintings

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**ABSTRACT:** British artist John Latham (1921 – 2006) challenged, parodied, and to a certain extent, revitalized Clement Greenberg's formalist definition of painting as flatness through his ritual eating of the latter's book (*Still and Chew*, 1966) while casting event structure, more specifically, events in time, as the principal subject of painting and visual art in general. My intention in this paper is to consider Latham's concepts of "flat time," "least event," and "huge impulse" in connection with William Shakespeare's invocation of the "Tenth Muse" in his *Sonnets* (1609), showing how for artists, time itself is the subject of art in respect to how nothingness, or "zero time" intermingles with Will or Impulse, to create immortal poetry and art, and hence, works that overcome the very subject out which they are made.

**Keywords:** Flat time, Least event, Huge impulse, John Latham, Book paintings, Tenth Muse, William Shakespeare

While working as an art teacher at Saint Martin's College of Art in London in 1966, British artist John Latham (1921–2006) invited several students, artists, and critics to his house to take part in an event in which participants were asked to tear off, chew, and spit out a page from Latham's library copy of Clement Greenberg's *Art and Culture* (1961). The pieces of the chewed book were then immersed in acid and yeast. A year later, the remains of the book were returned to the school library in a phial.

With this project, Latham made a significant statement about the relationship between books, consciousness, and personal identity, spinning the concept of "flatness" on its head. In his 1960 essay "Modernist Painting," Clement Greenberg wrote about Modernism as "the whole of what is truly alive in our culture." Aptly, he identified modernism "as the use of the characteristic method of a discipline to critique the discipline itself – not in order to subvert it, but to entrench it more firmly in its area of competence." Greenberg maintained that modernism as such began with Kant, who was "the first to criticize criticism." "Modernism," according to Greenberg, "criticizes from the inside... Without such self-critique the arts will be leveled down and assimilated into something else... We know what has happened to an activity like religion that has not been able to avail itself of Kantian immanent criticism in order to justify itself."

For Greenberg to justify themselves, the arts need to provide this kind of self-critique to be rendered pure. Most significantly, according to Greenberg, flatness alone is that which is unique and exclusive (to painting).

Latham's early interest in the "dematerializing of the Art Object," as well as his theoretical framework for flat time and least event, were certainly inspired by Robert Rauschenberg's *White Paintings* (1951) and John Cage's *4'33"* (1952).

Back in the 1950s and early 1960s, Latham was becoming well known for his performances, happenings, and installations, mostly involving books. His *Skoob* ceremonies involved public book-burning sculptures.

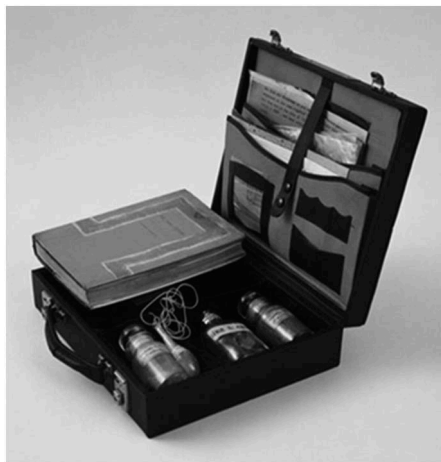


Figure 1. *Art and Culture* AKA *Still and Chew*, John Latham, 1966-1969, Momo.

Latham’s literal dematerialization of Greenberg’s book and the resulting artwork was acted out in defiance of Greenberg’s argument that art should make no reference to the world beyond its own aesthetic criteria. From this eating of Greenberg’s book, Latham’s concept of “flat time” emerged. Latham would, in effect, apply what Greenberg was saying about art on a spatial level to what could be said about art on a temporal level, that is, in connection to time and nothing, the latter concept understood by Latham as the zero ground from which art originates.



Figure 2. John Latham setting fire to a Skoob Tower, the mid-60s, Courtesy John Latham Archive.

Latham’s response to Greenberg’s call to purity of discipline was to demonstrate how radically interconnected all disciplines must be when applied to time. To invoke “flat time” over flat space reverses the possibilities of art’s ultimate capacity. In Latham’s eyes, “flat time” aligns social, economic, political, and aesthetic structures together as a sequence of events comprising the recordings of knowledge patterns. Upon looking at Latham’s book paintings and sculptures, it is the lack of two-dimensional formal limitations that gives life to the work. As subject matter, Latham replaces the limitations of flatness in painting with the unlimited possibilities of time. More specifically, when we look at art as “flat time,” we see forms expressing the transition from non-extended nothing to extended form. While for Greenberg, “flatness (was to be) the limitation that constitutes the medium of painting,” for Latham, flatness changes its purpose. It marks the timelessness of time, the ever-pregnant noit or no-it, which, responding to an original Impulse, gives birth to creation out of nothing.

The purest form of “flat time” is expressed through what Latham calls the “least event.” A “least event” is a minimum change of state occurring over a period of minimum duration.

Latham’s philosophy of “least event” begins by looking for that one thing smaller than a physical unit of space. Indeed, Latham maintains that the “least event” contains time but not space. In effect, “flatness” or flat time suggests the origin of the temporal structure of an event. Art is the musical score

of the artist’s brush in time. In essence, flatness becomes the invisible substratum upon which time is presented as an image of eternity.

Latham’s metaphysical position regarding “flat time” is that there is no particle or atom that can be completely isolated from the rest and, therefore, everything in existence is an event, a relation, or stage in the process of ‘becoming.’ What Latham calls the “least event” — is thus not a thing-in-itself, but rather, the relational aspect of reality.

In “Untitled Statement” (1981), Latham writes: “the problem is with a means of representation that can envision the whole, its occluded dimensionality, and the relatedness between its parts. Event structure proposes a design. It arose from the point in the art trajectory of extreme minimalism concerning “time” and developed from there in terms of process sculpture.” On another occasion, Latham writes: “We live within a network of contradictions where mind is as structurally indistinct from matter as ever” (Report of a Surveyor, 1984). “Languages depend on objects (that is to say nouns, named entities) and is unfitted to handle event and process. Art, on the other hand, reverses this order. Art is event structure”.

“If the symbol ‘O’ represents a state of zero action and least extension,” wrote Richard Hamilton in his essay “John Latham, 1986”, “and the symbol ‘I’ represents a state of least action and least extension, then a ‘least event’ is the change of state OI and the return to state O. The existence of state ‘I’ presupposes state ‘O’ and vice versa. State ‘O’ (zero time and zero space) doesn’t seem to have much going for it to provoke the wondrous transformation of itself into state ‘I’; nevertheless, there must be a cause behind the existence of ‘I.’ Latham terms this disembodied will to create, an ‘impulse’ existing in ‘O.’”.

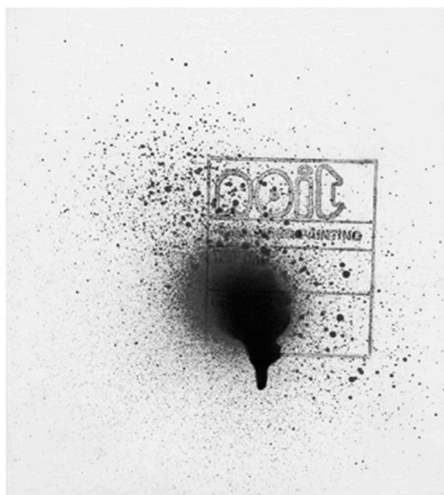


Figure 3. One-second drawing, John Latham.

Latham's theory suggests that we perceive the world not in spatial and object terms but as an all-encompassing system based on the idea of both omnipresent time and different time-bases, running in parallel to clock time, and that objects and space can be understood as traces of events.

Ultimately, flat time alludes to an aesthetic aimed at correlating not only artistic mediums but also disciplines. Latham was drawn by science and inclined to consider the world – or the universe – as a whole.

In 1954 Latham met the two scientists, Clive Gregory and Anita Kohsen, who invited him to create a mural for a Halloween party. He did it with a spray gun filled with black paint. It was a revolutionary moment for the artist, a one-second burst of pigment on a white wall. Stepping back, it seemed to him to be a cosmic model of time, 'a statement of pure process'. (8) Latham, Gregory, and Kohsen set up the Institute for the Study of Mental Images (ISMI). They published *The O-Structure* in 1959, introducing the micro-event or least event as the basic unit of the universe. With his spray paintings, the white canvas would be the 'Tabula Rasa,' the neutral State 0, a state of nothingness or non-state – the point of departure from which all things are created. Latham illustrated these ideas with his ongoing *One Second Drawings Series* (1971–2) that captured moments in time.

For Latham, spray painting encapsulated a new kind of representation, replacing the idea of art as an object with that of art as an event. The instant mark created by the spray gun signified an 'event.' It coexisted with the blank space of the rest of the canvas, representing the universe as a whole. The dots in his early canvases could represent either clusters of tiny particles or galaxies in space. The painting itself was no longer a static object but the trace of an event.

Latham's *Least Event as a Habit* (1970) is a glass sphere from which the air has been drawn out to create a vacuum that encapsulates nothingness. It is the Least Event, the point of departure, the State of 0. *Least Event as a Habit* demonstrates Latham's 'Noit' concept understood as 'no it' or 'no thing' and a reversal of the suffix '-tion.'

According to Latham, the kinds of truths one finds in religious books are dangerous and liable to cause hostilities if one is not careful, whereas the truths one finds in art can enlighten people and draw important connections between disciplines. In his "God is Great" installation, Latham placed the Torah, The New Testament, and The Koran on the floor under fragments of transparent glass. More minimal than the normative white surface of a canvas, the images emerge through the glass, "as if to say the glass is where the truth is... Written material is vulnerable", says Latham, "and liable to provoke hostilities if one is not careful. The source from which all our gods emanated: the mysterious being known as God exists beyond conventional theology

and religion. Behind conventional theology and religion, the invisible source from which everything, including religions, emanate... is the source you don't see. What you see is the effect. While to the various religious institutions God is known by different names, in art, God loses His sectarian character."

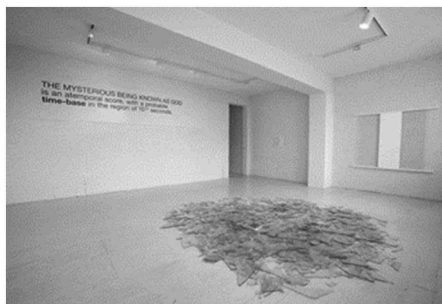


Figure 4. John Latham, *God is Great #4*, 2005.

Both Latham and Greenberg looked to science as a way to elucidate and purify art's ultimate mission. Whereas for Greenberg, it was the application of Kantian style self-criticism that brought art closer to the scientific method, "resolving problems in the exactly same terms in which they are presented"; in Blake-like fashion, Latham would do the very opposite, tearing open the possibilities of art addressing the larger human problems, juxtaposing the various mediums together while looking at what we are doing not only as painters but as artists.

A parallel between what Latham is saying about the non-extended state and huge impulse can be found in Shakespeare's concept of the "Tenth Muse" celebrated in his *Sonnets* (1609). For Shakespeare, the "Tenth Muse" involves the conjunction of will and nothing, will being one ("Think all but one, and me in that one Will, 135") and suggesting the male phallus and nothing or zero alluding to its female counterpart. Significantly, Shakespeare is interested in imagining will and nothing, or the will to nothing, as a means of transcending time through poetry. In a manner of speaking, the poet willfully becomes nothing and, in effect, ignites his own immortality.

The narrator in Shakespeare's poems is out to overcome time. It is the one and only pursuit of the poet, the purpose of art itself. On one level, this intent to overcome time is the poet's goal to attain immortality through his art, but on another level, the poet aims to engage his spectator and reader in this same pursuit so that the two can, in effect, achieve this conquest together as one.

It may be the case that artists have always been concerned with overcoming time. What's more, the will to immortalize ourselves through procreation is inherent to humans and all living beings. If this is true, the passage of time itself from zero to where it

begins to take shape involves the will to overcome what it is. Latham's negative theology is similar to Shakespeare's negative poetics in that the purpose of authorial time can only be described as the purpose to reach beyond itself. Yet the reality of books, whether theological or poetic, physical or ideational, remains the same, to show us how time speaks to timelessness and how the creative impulse is perennially renewed through its will to nothing. The will to nothing is the will to be what one isn't.

For Latham, the huge impulse that impregnates the zero state is something that always remains hidden from view. By trying to see it, we discover the reverse side of creation.



Figure 5. John Latham, time based roller, 2005.

Time Base Roller (1972) directly illustrates Latham's concept of "flat time." Comprised of a motorized rotating cylinder, a striped canvas strip rolls and unrolls, demonstrating the continuing passage of time. Inscriptions on the back of the roller represent the memory of the past, akin to a musical score.

The subject of art is not its mediums, nor the self-critical limitations each medium sets upon itself, but the representation of art's idea of itself in time.

Latham transforms the book into an object with another use other than what it was intended for. The book or written word is not that out of which the universe emanated but part of the process of emanation, an expression of emanation. Art shows the emanation to be the expression of time.

While Latham wasn't the first or last artist to address the concept and dynamics of time in art, his response was especially relevant in the context of the 1960s counterculture in that it cast the subject of art beyond space. Despite his sculptures and installations taking up real space, their intent is to express time as creation.

As we've seen, according to Latham, the pre-spatial origins of the universe can be imagined as a primordial nothing or zero in conjunction with zero time, symbolized by the character "O," unextended in space.

Viewed in comparison, Shakespeare's poetics of will and nothing is not about overcoming nothing but willing nothing, with being content with being nothing. In this way, Shakespeare's "Tenth Muse"

expresses how authorial self-reflexive creation exists outside of time altogether in a kind of negative or invisible space, out of which things emanate into time-based physicality.

With his invention of flat time and least event Latham re-appropriates these ideas in light of modern science, philosophy, linguistics, literature, and art, to create a new kind of tenth muse, capable of taking us beyond space by connecting zero time with the mysterious impulse behind creation.

More than anything else, I've come to see Latham's enterprises as a new way of looking at art; as art's inherent obligation to expand beyond physical space. To do so will be what makes art timeless. "Poetry is news that stays news," wrote Ezra Pound. Perhaps poetry and the arts are not about space at all and never have been. Space expresses our conflict over land through finite time. On the other hand, Time expresses the story of our unfolding universe by presenting us with a moving image of eternity.

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*Part IV*  
*The Humanities*



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# The Mesopotamian domain of the dead and its constraints to divine transcendental power

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**ABSTRACT:** The Mesopotamian religious system had an explicit theocentric nature, as divine figures were understood as the *raison d'être* for all cosmic aspects and events. Hence, deities were conceived as possessing a transcendental power, which enabled them to control all cosmos and, as such, to freely move between cosmic domains. Yet, their authority and autonomy were not absolute when referring to the Netherworld, the cosmic realm of the dead. The features of this space, which were very particular, seemed to constrain divine figures. Several Sumero-Akkadian mythic compositions clearly show that deities could not act as they pleased in this realm. As such, with this paper, we intend to analyze the specific characteristics and rules of this space, exploring the impact they had on deities and, consequently, on their transcendental power.

**Keywords:** History of religions, Sumero-Akkadian mythology, Cosmic spaces, Netherworld, Mesopotamian deities

## 1 THE NETHERWORLD WITHIN THE MESOPOTAMIAN COSMOLOGICAL VISION

The complex polytheist system elaborated in Antiquity by the inhabitants of the “land between the rivers” (modern-day Iraq and Syria) underwent several transformations and adaptations from the 4th until the 1st millennia BCE. These changes stemmed from different socioeconomic and/or political-military contexts, as well as from the input of several cultural matrixes, and even from changes within its ecosystem<sup>1</sup>.

Notwithstanding, in the *longue durée*, it is possible to detect some threads of continuity, such as the cosmogonic, theogonic, and anthropogonic conceptions, where divine figures assumed a profound protagonism as responsible for every aspect of cosmic existence. This theocentric nature was continuously nourished by a centrifuge religious feeling (Bottéro, 1998, p. 30) that highlighted the transcendental power of deities, who were present, and oversaw all cosmic domains.

If one considers the famous Warka Vase (c. 3000 BCE, southern Mesopotamia)<sup>2</sup>, it is already possible

to observe a cosmological organization that manifested this theocentric nature: the three main cosmic domains depicted/evoked (subterranean, earthly, and celestial) were marked by the presence and power of deities<sup>3</sup>, whose perpetual blessing was being conjured.

When one adds the information displayed in Sumero-Akkadian mythic compositions, this cosmological view becomes more elaborated. It is possible to

1. On the different contributions of specific contexts, different cultural matrixes, and/or ecological changes for the continuous (re)elaboration of the Mesopotamian religious system see, for instance, Bottéro and Kramer, 1989; Lenzi, 2007, or, more recently, Silva, 2020.

2. This object, which belongs to the collection of the Iraq National Museum (Baghdad), was one of the pieces looted in April 2003, being recovered some months later. On the object, its iconographic narrative, and its formal aspects see, for instance, the online site Lost Treasures of Iraq, 2003-2008.

3. The iconographic narrative displayed in the Vase presents a ritual procession towards the cultic structure (understood as the earthly abode of deities) with humans offering the products of their labor to the divine. Hence, this procession expresses an interconnection between three main cosmic domains: at the basis, it is displayed an aquatic motif, evoking the subterranean ocean of fresh waters (Sumerian: **abzu**, Akkadian: *apsû*) which allowed for life to flourish within the earthly domain – represented in the middle registers by the elements of flora and fauna, as well as by human beings. At the top, the procession arrives at the cultic structure, evoking the celestial domain, the preferred cosmic space of deities. For a detailed analysis on the symbolic significances of this object and its visual narrative, see Bahrani, 2002 and Suter, 2014.



identify different levels of the celestial domain, being the so-called “heaven of An/Anu,” the highest one<sup>4</sup>. In what concerns the earthly sphere, at least two main areas existed: the steppe/untamed regions and the urban/controlled world. Lastly, the subterranean domains encompassed the ocean of freshwaters and the cosmic realm of the dead (Vanstiphout, 2009, p. 24-25)<sup>5</sup>.

Deities were able to freely move between these spaces, an ability that thus emphasized their transcendental nature and power<sup>6</sup>. However, when one looks closely at the subterranean space reserved for the dead, the Netherworld, it becomes clear that this domain had specific features that limited deities’ actions.

The literary descriptions of this space are rather explicit of its antithetical nature when compared with the rest of the cosmic domains. For instance, the Akkadian composition known as *Descent of Ištar to the Netherworld* states, in its opening lines<sup>7</sup>:

To Kurnugi, land of [no return]/ Ishtar, daughter of Sin was [determined] to go/ .../ To the house which those who enter cannot leave/On the road where travelling is one way only/To the house of those who enter are deprived of light/Where dust is their food, clay their bread/ They see no light, they dwell in darkness (Dalley, 2000, p. 155).

The Netherworld, as an enclosed and dusty space, was thus envisioned as a hermetic realm, where

light, movement, and human activities were nowhere to be found. This depiction expressed the Mesopotamian conception about death, in which full human existence ceased with the burial of the material component of individuals (Akkadian: *ešemtu*) and the voyage of the immaterial one (Akkadian: *ešemmu*) to the Netherworld, where it would remain in a residual and inactive state, in a somewhat suspended perpetuity (Caramelo, 2008, p. 90)<sup>8</sup>.

If by any chance, the livings neglected the cultic actions of the *ešemmu* (necessary to soothe their desolation within this dreadful space), they could come back to the earthly domain and threaten their lives (Bottéro, 1987, p. 513-14). Nullifying this menace was thus paramount for the maintenance of the cosmic order, which concurred with the idea of the Netherworld as a realm extremely distant from the regions where human populations dwelt.

Consequently, to humans - mortal beings, inferior to deities - the Netherworld was “a land of no return,” in “which those who enter cannot leave,” as stated in the above-referred excerpt. However, one would expect that divine figures, with all their mighty power and immortal nature, had other autonomy upon these restraints. Yet, several mythic compositions clearly show that deities were also obliged to act accordingly to the Netherworld’s rules, which implies that their power and freedom of action were not absolute in every cosmic domain.

4. According to the *Epic of Gilgameš*, it is for this specific celestial space that deities had fled to hide from the devastating impact of the Flood: “Even the gods were afraid of the flood-weapon/ they withdrew; they went up to the heaven of Anu” (Dalley, 1998, p. 113).

5. For a detailed analysis that considers the changes and continuities of the Mesopotamian cosmological vision, and particularly the ones concerning the domain of the dead, see Horowitz, 1998 and Katz, 2003, respectively.

6. For example, Inanna/Ištar undertakes several journeys, with varying purposes: in the Sumerian compositions *Inana and Enki* (*ETCSL*, 1.3.1), she leaves her city, Uruk, to go to Eridu; in *Inana and Bilulu* (*ETCSL*, 1.4.4), she travels across the steppe, to perform funeral services to her traditional consort, Dumuzi; and in *Inanna and Šukale-tuda* (*ETCSL*, 1.3.3), she stops in a garden to rest after a long inspective journey to her earthly domains.

Also described as undertaking an inspection trip, on behalf of the leader of the pantheon, Enlil, is god Enki/Ea, in *Enki and the World Order* (*ETCSL*, 1.3.1).

Other divine figures who were consistently depicted as moving across cosmic spaces were the *daimōnes*, entities who could be menacing and/or apotropaic, which dwelt in the steppe but who could also enter in urban centers. In the Sumerian composition known as *Dumuzid’s dream* (*ETCSL*, 1.4.3), this god is chased by the *galla/gallū*, *daimōnes* specifically responsible for taking individuals into the Netherworld.

7. Extremely similar formulae were also used in *Nergal and Ereškigal* (Dalley, 2000, p. 168) to describe the Netherworld, which attests to a persistence in the way this space was idealized.

## 2 DIVINE MARRIAGE(S) IN THE NETHERWORLD

Throughout the 2<sup>nd</sup> millennium BCE, the realm of the dead became ruled by a divine couple, as the traditional queen of the Netherworld, goddess Ereškigal, remarried god Nergal<sup>9</sup>. The events that led him to become her second consort are depicted in

8. In this sense, the notion of temporality within this cosmic space was also very peculiar. Though the idea of “nothing” was unconceivable for the Mesopotamian mental framework, the fact is that if there was no action, there could be no time. In this regard, some parallels can be drawn with the temporal conception of the cosmos primeval existence, as depicted in the first lines of the Babylonian epic of creation, known as *Enūma eliš* (Dalley, 2000, p. 228-277). About these temporal conceptions, see Rubio 2013 and Katz, 2013. For a more detailed analysis of the Mesopotamian perception of time, especially within the Amorite matrix see Rosa, 2015.

9. It seems that Nergal rose to prominence as ruler of this cosmic domain still in the final centuries of the 3<sup>rd</sup> millennium BCE, as attested by a reference in a literary composition dated to the Ur III period (c. 2150-2004 BCE): “To Nergal, the Enlil of the nether world,” (*ETCSL*, 2.4.1.1, l. 88).

the Akkadian composition known as *Nergal and Ereškigal* (Dalley, 2000, p. 163-181)

The narrative begins with An/Anu sending his vizier to the Netherworld to invite Ereškigal to attend a divine banquet. The message delivered to the queen of the dead is rather interesting:

Anu your father sent me/ to say 'It is impossible for you to go up/ (...) / And it is impossible for us to go down/ (...) / Let your messenger come/ and take from the table, let him accept a present for you (Dalley, 2000, p. 165-166).

This impossibility of divine travels to/from the Netherworld can be explained by this space's unattractive nature, marked by death. As for Ereškigal, her role as queen of this domain might have forced her continued presence on her throne. Still, it was common for other divine figures to leave their cosmic realms, especially when a divine assembly took place. For instance, Enki/Ea, who dwelt in the *abzu/apsû* as its ruler, constantly traveled to the heavenly domains to take part in divine encounters<sup>10</sup>.

On the other hand, the assertive tone of the formulae used in *Nergal and Ereškigal* to describe this divine inability to travel to/from the Netherworld seems to suggest that there were (superior?) rules that bound and constraint deities' actions. In fact, it was Namtar, Ereškigal's vizier, who represented the queen in the divine banquet. As Karen Sonik (2012, p. 386) pointed out, the liminal nature of this type of deities (viziers and messengers) could enable them to bend the strict cosmic boundaries and rules<sup>11</sup>.

While on the heavenly domains, Namtar felt offended by Nergal, who did not pay the necessary respects to the envoy of the queen of the dead. This protocolar *faux pas* constituted the main motif for his voyage to the Netherworld, as Nergal's visit was intended to make amends with Ereškigal. Ever-wise, Enki/Ea assisted him on this journey, giving him specific instructions on how to act during his stay on that space:

From the moment thy bring a chair to you/ do not go to it, do not sit upon it/ (When) the baker brings you bread, do not go to it, do not sit upon it/(When) the butcher brings you meat, do not go to it, do not sit upon it/(when) the brewer brings you beer, do not go to it, do not sit upon it/ (...) / (When) she (Ereškigal has been to the bath/ (...) / Allowing you to glimpse her body) You must not [do that which] men and women [do] (Dalley, 2000, p. 168).

Curiously, similar advice was given to characters of other compositions who also traveled to the Netherworld<sup>12</sup>. In all these cases, the instructions consisted of not engaging in any activity typical of the living, which underlines the above-mentioned antithetical nature of this cosmic space.

Though Nergal managed to resist all the other offerings, he was seduced by Ereškigal, and as lovers, they spent the next six days and nights together. Before the completion of the seventh day, however, Nergal left her bed and, consequently, the Netherworld, returning to the celestial realm.

The fact that this abandonment occurred before the seventh day was complete is quite interesting, given the symbolic meaning of a complete cycle that the number seven had in Mesopotamia<sup>13</sup>. From this perspective, it seems that Nergal was conscient that if he completed the cycle (in this case, of sexual intercourse), his union with Ereškigal (and thus with the Netherworld) would be consummated, making it impossible for him to leave this realm.

Ereškigal's reaction to his departure was strong: first, she was overcome by sadness<sup>14</sup> and then by rage. Addressing her vizier, she vehemently

12. In the *Gilgameš Epic*, the famous Urukian hero instructed his companion, Enkidu, as follows: "[You must not put on] a clean garment/ For they will recognize that you are a stranger/ You must not be anointed with perfumed oil from a ointment jar/ For they will gather around you at the smell of it/ (...) / You must not kiss the wife you love/ (...) / You must not kiss the son you love (...) / For the Earth's outcry will seize you" (Dalley, 2000, p. 121). As Enkidu did not follow this advice, he became imprisoned there.

Moreover, on the Sumerian composition that describes the journey of Inanna to this cosmic domain, the creatures that Enki shaped to rescue the goddess were told: "'They will offer you a river full of water – don't accept it / They will offer you a field with its grain – don't accept it'" (*ETCSL*, 1.4.1., ls. 246-247).

13. In several compositions the number seven appears with this significance. In the *Epic of Gilgameš*, Šamhat, priestess of Ištar, spends seven nights of lovemaking with Enkidu, which results in a deep and irrevocable change in his wild nature. When the cycle is complete, Enkidu is civilized and thus ready to live amongst humans (Dalley, 2000, p. 55-56). Later, in the same epic, Gilgameš lists six lovers of Ištar who met a sad end after their relationship with the goddess. The Urukian hero thus argues that should he had accepted her sexual proposal, as her seventh lover, he would also meet a similar nefarious fate (Dalley, 2000, p. 78-79). Also, in the Sumerian and Akkadian compositions known as *Descent of Inanna/Ištar to the Netherworld*, the goddess is obliged to pass seven gates, which not only underlines the complete hermetic characteristic of this domain, but also manifests a cycle she must go through, to arrive to Ereškigal's presence. (*ETCSL*, 1.4.1, ls 129-163; Dalley, 2000, p. 156-157).

14. "Her tears flowed down her cheeks/ 'Erra [that is Nergal] the lover of my delight.../ I did not have enough delight with him before he left" (Dalley, 2000, p. 172).

10. For instance, in the Akkadian composition known as *Atrahasis* (Dalley, 2000, p. 1-38), Enki/Ea attends the various divine assemblies that took place throughout the narrative.

11. In fact, not only Ereškigal vizier, Namtar, attends the divine banquet, as Nergal, further ahead on the composition, is able to escape the Netherworld, by making its gate-keeper believe he was acting as Ereškigal's messenger (Sonik, 2012, p. 386).

instructed him to deliver the following message to gods An/Anu, Enlil, and Enki/Ea:

Send that god to us and let him spend the night with me as my lover/ (...) if you do not send that god to us/ According to the rites of Erkalla [that is the Netherworld] and the great Earth/ I shall raise up the dead and they will eat the living/ I shall make the dead outnumber the living! (Dalley, 2000, p. 173).

Faced with this threat, Nergal was sent again to the Netherworld, and, this time, the sexual intercourse was completed. Thus, on the seventh day, their marriage was finally consummated, and, with the blessing of An/Anu, Nergal became king of this domain. From then on, just like his divine spouse, Nergal was intrinsically connected with the Netherworld, abiding by its rules.

This narrative made us revisit the question about the identity of Ereškigal's first husband, a figure shrouded in mystery, given that in textual records, he is only referred to by his epithet, Gugal-ana. Plus, in *Inana's descent to the nether world (ETCSL, 1.4.1)*, it is even stated that he died<sup>15</sup>.

Katz (2003, p. 441) suggests that this first consort was Enlil, whose functions as leader of the Mesopotamian divine universe, role this god assumed during the 3<sup>rd</sup> millennium BCE, were incompatible with a marriage to the queen of the dead.

Interestingly, the possibility of a remote connection between Enlil and the space of the dead seems to be echoed in several literary references. In the Sumerian tale *Gilgameš, Enkidu and the Netherworld*, for instance, it is stated that Enlil offered this cosmic realm to Ereškigal<sup>16</sup>. Could this be a wedding gift? Furthermore, in the magic and exorcism series known as *Udughul*, Enlil and Ereškigal appear referenced as Namtar's parents<sup>17</sup>.

Moreover, in the Sumerian composition *Enlil and Ninlil (ETCSL, 1.2.1)*, the pantheon leader was able to travel to the Netherworld without suffering any consequences, which contradicts the impossibility of celestial deities visiting that space, stated in *Nergal and Ereškigal*, as we have already mentioned. Additionally, Enlil consummates a sexual act with goddess Ninlil in the Netherworld<sup>18</sup>, thus acting contrary to the

instructions on how to behave in the space of the dead to avoid being imprisoned there. Finally, in the same composition, Enlil is identified by the epithet "great mountain,"<sup>19</sup> the very same epithet used in other textual records to evoke the father of Ninazu, whose traditional mother was Ereškigal (Katz, 2003, p. 421)<sup>20</sup>.

The name of Enlil's temple at Nippur, E-kur, also suggests an ancient association with the Netherworld, given that the Sumerian term **kur** was one of the words used to designate the cosmic domain of the dead (Katz, 2003, p. 442). Hence, Katz's hypothesis seems very plausible. The previous marriage of Ereškigal with Enlil was not compatible with his leadership of the pantheon, especially, we might add, because it would impose on Enlil strong constraints on his freedom of movement and, consequently, on his power.

### 3 THE CAPTIVITY OF THE "QUEEN OF HEAVEN AND EARTH"

Probably, the most famous divine imprisonment in the Netherworld was (and still is) that of the goddess Inanna/Ištar, one of the main deities of the Mesopotamian divine universe, diachronically. Her voyage, captivity, and release from Ereškigal's domain are described in two mythic compositions, one written in Sumerian, and one in Akkadian, known as *Descent of Inanna to the Netherworld (ETCSL, 1.4.1)* and *Descent of Ištar to the Netherworld* (Dalley, 2000, p. 155-162)<sup>21</sup>.

Both accounts depict similar events: the goddess decided to usurp her sister's throne, a desire that made her descend to the realm of the dead. As usurpation was a capital crime in Mesopotamia<sup>22</sup>, Inanna/

chamber/ He had intercourse with her there, he kissed her there/ At this one intercourse, at this one kissing he poured into her womb the seed of Ninazu/ the king who stretches measuring lines over the fields" (*ETCSL, 1.2.1, ls. 113-116*).

19. This epithet appears three times on this composition (*ETCSL, 1.2.1, 17, 25 and 154*).

20. The fact that in *Enlil and Ninlil* it is this goddess who assumes the maternity of Ninazu might be explained as an attempt to distance Enlil from Ereškigal and the Netherworld. Moreover, and as underlined by Katz (2003, p. 441, n. 213), Ninlil's name is a female form of Enlil which adding to her one-dimensionality can point to some artificiality in her character. Maybe, we might add, Ninlil's creation (and motherhood of Ninazu) was another strategy to mask a previous connection between Enlil and the queen of the dead.

21. It is worth noticing that the Sumerian narrative is lengthier and thus more detailed than the Akkadian one. For a comparative analysis between both compositions see, for instance, Almeida 2009 and 2012.

22. For the Mesopotamian political-religious framework, monarchs were understood as directly chosen by divine figures to rule the earthly domain on their behalf. Hence,

15. When asked by the Netherworld gatekeeper the motive for her presence there, "Holy Inana answered him/ 'Because Lord Gud-gal-ana, the husband of my elder sister / holy Ereškigala, has died/ In order to have his funeral rites observed/ She offers generous libations at his wake – that is the reason.'" (*ETCSL, 1.4.1, ls. 85-89*).

16. "When Enlil had taken the earth for himself/ When the nether world had been given to Ereškigala as a gift" (*ETCSL, 1.8.1.4, ls. 12-13*).

17. "Namtar, beloved son of Enlil, [offspring of Erškigal," *Udughul V3* (Jiménez, 2015).

18. The sexual act between these deities is described as taking place on the Id-kura, the river of the Netherworld: "Enlil, as the man of the Id-kura, got her to lie down in the

Ištar became captive, which forced Enki/Ea to send help to free her. Yet, as the cosmic rules of this space dictated, a replacement figure was needed, a role that fell on her traditional divine consort, Dumuzi/Tammuz, and his sister, Geštinanna/Belet-šeri. As Sonik (2012, p. 287-289) demonstrated, these divine figures also had a liminal nature, which allowed them to travel to/from the Netherworld. Hence, from then on, this pair of siblings would take turns in this domain, and cosmic order was thus maintained.

The main plot of both narratives explicitly underlines the constraints that this cosmic space imposed on deities. Even the almighty “Queen of Heaven and Earth” was taken prisoner there, and her release constituted a complex task<sup>23</sup>.

For the present argument, it is important to examine some passages of these narratives. First, and focusing on the Akkadian composition, it is interesting to note Ištar’s attitude upon arriving at the gates of this space. When questioned by the gatekeeper, she violently shouted out a cosmic threat, very similar to the one her sister made when demanding Nergal’s return:

‘Here, gatekeeper, open your gate for me/ Open your gate for me to come in!/If you do not open the gate for me to come in/ I shall smash the door and shatter the bolt/ I shall smash the doorpost and overturn the doors/ I shall raise up the dead and they shall eat the living/ The dead shall outnumber the living!’ (Dalley, 2000, p. 155).

Curiously, this aggressive tone seems to have faded when the gatekeeper, following Ereškigal’s orders, stripped off her garments as she passed each of the seven gates of the Netherworld<sup>24</sup>. Inanna/Ištar, despite

always asking for the reason for such an act, seemed to comply with the answer – those were the rites of queen Ereškigal. Moreover, when instructing the gatekeeper, the queen of the dead herself stated: “Treat her according to the ancient rites” (Dalley, 2000, p. 156).

In the Sumerian narrative, this episode presents more thought-provoking details since the gatekeeper’s response clearly stated that Inanna should obey the rules of the Netherworld:

When she entered the first gate, the turban, headgear for the open country, was removed from her head/What is this?/“Be silent, Inana, a divine power of the underworld has been fulfilled/ Inana, you must not open your mouth against the rites of the underworld. (ETCSL, 1.4.1., ls. 130-133).

Later, when Inanna’s imprisonment prompted her vizier to seek the help of Enlil and Nanna/Sîn, both equally replied:

Inana craved the great heaven and she craved the great below as well/ The divine powers of the underworld are divine powers which should not be craved/ for whoever gets them must remain in the underworld/ Who, having got to that place, could then expect to come up again? (ETCSL, 1.4.1., ls. 191-194 and ls. 205-208).

More than the condemning tone about the goddess’ ambition, what is curious is that the gods’ refusal to help her seems to be linked to their powerlessness in the face of the rules of the Netherworld.

Hence, the task fell to Enki, who had to resort to his infinite wisdom to devise a bulletproof plan: out of clay, he fashioned creatures<sup>25</sup>, whose liminal nature (as the viziers and messengers in *Nergal and Ereškigal*, and as the divine sibling in *Descent of Inana to the netherworld*) would enable them to travel safely to the Netherworld and free the goddess.

Nevertheless, as we have already mentioned, this salvific action was not complete, for a substitute was needed to take the goddess’ place in that domain. The Sumerian narrative describes how the Anuna/Anunnaki, considered here as a group of divine judges<sup>26</sup>, intervened:

But as Inana was about to ascend from the underworld the Anuna seized her/ ‘Who has ever ascended from the underworld/has ascended unscathed from the underworld?/ If Inana is to ascend from the underworld,/let her provide a substitute for herself. (ETCSL, 1.4.1., ls. 285-289).

Their rhetorical question underlines, once again, how it was impossible for individuals (human and divine) to leave “the land of no return” unscathed.

usurpation assumed an unparalleled gravity, as it represented an action against the divine choice. In the same sense, Inanna/Ištar defied cosmic regulations by desiring a realm that had been assigned to her sister. (Almeida 2015, p. 298). As Katz (2003, p. 403) emphasized: “Innana’s attempt to steal the **me** of the netherworld, which were assigned to Ereškigal by the great gods (...) is not merely an offense against Ereškigal, but also a violation of the world order, and, therefore, an offense against the great gods who determine the world order”.

23. As pointed out by several authors (for instance, Wolkestein, 1983; Harris, 1991; Abush, 1995; Evers, 1995; Selz, 2000 or Almeida, 2009) the polysemic nature of these mythic accounts would turn them into explanations on Venus’s disappearance from the heavenly dome (given that this planet was understood as the astral manifestation of the goddess), which would also concur for the natural cycles of fertility, and/or to highlight Inanna/Ištar’s personality, as a defying character, whose ambition knew no limits. As discussed elsewhere, the *Descent of Inanna/Ištar to the Netherworld* can also be seen as extremely fertile compositions to analyze the (re)construction processes that marked this divine figure (Almeida, 2015, p.265-302).

24. “Gatekeeper, why have you taken away the great crown on my head? / Go in, my lady, such are the rites of the Mistress of Earth”

25. These creatures are the **kurgarra** and the **galaturra**, in the Sumerian narrative, and Ašûšû-namir, on the Akkadian one. On the character of the first, see Peled, 2014.

26. On the different identities that this group of deities could assume, see Black & Green, 1998, p.34 and AMGG, 2011.

## 4 FINAL REMARKS

Far away, deeply enclosed, covered by dust, and surrounded by darkness, the Netherworld was intensely frightening to humans. Its hostile character assumed itself as natural, given that it was the Mesopotamian cosmic space reserved for the dead. But, unlike humans, deities had a mighty power and an immortal nature, which could lead us to think that they were immune to these constraints.

However, as analyzed in the Sumero-Akkadian mythic compositions evoked above, the characteristics of this space also had an impact on divine action. First, it seems that deities could not freely travel into this realm as they did when ascending to the heavens, descending to the subterranean ocean, or traversing the terrestrial regions. In fact, it either seems that it was impossible (forbidden?) for divine figures to travel to/from the Netherworld, or those who were able to do so had a particular liminal nature and/or had to resort to complex schemes and tricks. Secondly, even the deities who ruled this space were limited in their liberty of movement. Ereškigal could not leave her throne, a restriction Nergal had to accept for himself because of their marriage.

Finally, it is quite interesting that the explicit or implicit line of reasoning repeatedly used for such constraints was that these were the rules/rites of the Netherworld (and/or of its queen). Moreover, when this answer was given, the deities seemed to comply with it placidly, even ever-defiant Inanna/Ištar.

The mystery and secrecy of these rules can be explained by the indecipherable nature of the Netherworld, given that death was (and still is) the ultimate enigma of human existence. Still, it is strange that profoundly wise figures, such as the Mesopotamian deities, did not question or defy them.

Kramer and Bottéro (1987, p. 59; 1998, p.30) preferred to qualify this religious system as tending to be transcendent, a position many authors follow. In his turn, Jacobsen (1976, p. 5-7) underlined its immanence. The above analysis allows us to point to a reconciliation of these two qualifications - as Saggs (1978, p. 187) has long suggested - namely, in what concerns the nature of its divine figures.

In fact, the Netherworld, with its features and mysterious rules, imposed deep restrictions on the divine power, which force us to question the existence of an absolute notion of transcendence. If it is discernible in mythic literature that Mesopotamian deities had a transcendental power, it is also true that sometimes, as an integral part of the cosmos, deities had to comply with rules and decrees that appeared to be superior to them.

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# The space of time; an analysis of the term *ūmum* in the documentation from the Syro-Mesopotamian kingdom of Mari

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**ABSTRACT:** This paper intends to analyze some ideas regarding the conception of time, starting from the analysis of the term *ūmum* (day). For this purpose, we propose to focus on the documentation of the Syro-Mesopotamian kingdom of Mari, during the 19th and 18th centuries BC, in order to assess aspects such as the flow of time, the space of the past and the future, the intensity and distance of time and the durability of different experiences of everyday life.

As we know, time was conceptualized according to space, so analyzing *ūmum* in its various meanings means analyzing the spaces it occupied in the mental structure of the ancient Mesopotamians and specifically of the Mariotes.

**Keywords:** Mesopotamia, Syro-Mesopotamian kingdom of Mari, Past, Origin, Day

During the 19<sup>th</sup> and 18<sup>th</sup> centuries BC, due to the Amorite migration flows and their subsequent penetration into Mesopotamia, a new dynasty was established in the Syro-Mesopotamian city of Mari (present-day Tell Hariri). The urban center near a meander of the Middle Euphrates River thus witnessed unprecedented growth, becoming the capital of a great kingdom capable of rivaling other powers in the Syro-Mesopotamian world, including Hammu-rabi's Babylon.<sup>1</sup> For the Amorites and the kings of Mari – Yahdun-Lîm, Yasmah-Addu,<sup>2</sup> and Zimri-Lîm<sup>3</sup> – their nomadic origin, their transhumance, and their settlement

were important aspects of their history and common experience which needed to be kept alive to safeguard their identity (that is, their unique and idiosyncratic connection to space and time). Thus, for them, as for other dynasties that settled in ancient Mesopotamia over the centuries, evoking the past meant to honor their trajectory and understand the best way to act considering the problems faced in the present. At the same time, trying to ensure a smooth present and future, namely through the establishment of a communication with the divine, which translated into the production of oracles and omens, was the only way of guaranteeing the stability and tranquility necessary for their existence. As Carstensen would put it: "time is an integral part of virtually all psychological phenomena" (Carstensen, 2006, p. 1913). Having this in mind, and before we begin a more detailed analysis of Mari's documentation, we must understand how ancient Mesopotamians, in general, perceived time.

## 1 A BRIEF ANALYSIS OF MESOPOTAMIAN SPATIOTEMPORAL METAPHORS

Studies carried out in the field of cognitive psychology and cognitive linguistics, namely those by Lera

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1. Mari was taken over precisely by Hammu-rabi (c. 1792 – 1750 BC) during his rise to hegemony over Mesopotamia, in the course of 1762 BC, putting an end to the reign of its last ruler Zimri-Lîm.

2. Yasmah-Addu (c. 1810-1794 BC) was the son of Samsî-Addu, ruler of the Kingdom of Upper Mesopotamia, who governed Mari as a province in his father's name. This period corresponds to an interregnum of the dynasty started by Yahdun-Lîm.

3. Yahdun-Lîm is usually considered to be the first Amorite king of Mari, followed by Sumu-Yaman (who ruled for only two years), Yasmah-Addu (c. 1792 – 1775 BC, the young son of Samsî-Addu would only establish himself in Mari around 1787 BC), and Zimri-Lîm (c. 1775 – 1762 a.C.). It is possible that Yaggîd-Lîm, father of Yahdun-Lîm and the first member of this dynasty to establish in the Middle Euphrates was not in fact king of Mari (about this subject, vide Durand (1985, pp. 166-168), Charpin and

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Durand (1985, p. 294), and Charpin and Ziegler (2003, p. 33).



Boroditsky (vide 2000), frequently use the so-called Metaphoric Structuring View,<sup>4</sup> which postulates that when in need of organizing information within abstract domains, people often resort to metaphors, to understand the perception of time. This system is commonly used to explain the relationship between spatial descriptions and temporal perceptions. Considering that the metaphors people use primarily derive from an analogy established between a concrete domain and one that is abstract (and therefore difficult to structure or perceive due to its intangibility), it becomes perceptible the logical dialectic between space (physical, tangible) and time (immaterial, abstract). In sum, the process of thinking, understanding, arranging, writing, and talking about time lies in the use of spatial schemas. This idea, we might add, is universal. So, for the ancient Mesopotamians, past and future were perceived as the *pānānum* and the *warkānum*, respectively «(the space that is) ahead» and «(the space that is) behind.»<sup>5</sup> According to Jean-Jacques Glassner, Surprisingly, the Akkadians, and the Sumerians as well (for whom *egir*, “behind,” also meant “the future”), advanced backward toward the future while looking toward the past, following the example of Gilgamesh, who, in the Akkadian epic, advanced toward the unknown to which he turned his back. (Glassner, 2004, p. 7)

This leads us to an important question: did the ancient Mesopotamians consider time a moving phenomenon? And, if so, in which direction (Katz, 2013, p. 118)?

To answer this question, we must bear in mind the existence of two distinct and antagonistic movement<sup>6</sup> models: one in which time is static, with the observer moving through it as an active agent<sup>7</sup>; and one in which time, instead, is conceived as a fluid reality, being the observer perceived as a passive subject,

subjected to its passage<sup>8</sup> (Boroditsky, 2000, p. 336, and 2011, pp. 5-6, Matlock, Ramscar and Boroditsky, 2005, p. 656, and Núñez, Motz, Teuscher, 2006, pp. 133-135). According to Boroditsky, it is mainly in the second mental scheme that a certain *past* event might appear as occurring in *the ahead*. For an example within the *Mari Corpus*, we can rely on *ARM*<sup>9</sup> 2 49. In this letter sent by Ibâl-pî-El to the King of Mari, the Mariote high official recalls the behavior that Išme-Dagan’s father,<sup>10</sup> Samsi-Addu, had adopted towards the former ruler of Ešnunna<sup>11</sup>:

Primitivement (*pānānum*), toutes les lettres de son père s’adressaient au prince d’Ešnunna comme à son Seigneur, puis (*warkānum*), une fois qu’il eut (re)pris tout le pays suite aux ennuis de l’homme d’Ešnunna, il lui donna dès lors du «Frère» (l. 8-11, Durand, 2002, p. 488).

In this example, the *before* and *after*, i.e., the *ahead* and the *behind*, do not refer to the past or the future but to different moments which succeed each other in a previous time (the time of Išme-Dagan’s father and the former “man of Ešnunna”). In this logic, the notion of a *continuum* seems to prevail. The *before* was the time that was intimately and inextricably related to the *after*, which followed it without a perceptible interval between them. Hence, the *before* (*pānānum*) and the *after* (*warkānum*) could represent a succession of events that were closed in the past time (an all-encompassing *pānānum*, an all-encompassing *ahead*) as in *ARM* 2 49 (Figure 3.).

As Boroditsky understands it, within this mental scheme, although an event may, in fact, have taken place *before* another, being relatively *ahead* of it, the fact does not necessarily imply that the observer experiences time, as the ancient Mesopotamians did, positioning the past in *the ahead* and the future in *the behind*. In fact, and as Rubio points out, it is not even strictly necessary that the temporal notion originates in a perception centered on an observer.<sup>12</sup> What we

4. This theory was first set forth by Lakoff (*Metaphors We Live By* [1980] *apud* Boroditsky: 3, n. 2) and is extensively used by Boroditsky 2000.

5. This mental structuring would place the future in a space diametrically opposite to the one to which it is normally associated in the English language, where it usually “lies ahead”. About the basic conceptions of time in Mesopotamia, vide Glassner (2004) and Rubio (2013, p. 12). Concerning Mari, the following works analyzed time in its multiple expressions: Sasson (1979) studied the calendar and the relation between rituals and the different cycles within the year; Fleming (1997) analyzed the different divisions of time and its units according to divinatory documents and others; Durand (2003) noted the importance of the commemoration of the dynasty and the different uses of the past, as well as Charpin (1998) whose work about the evocation of the past in Mari letters is crucial to our understanding of the Amorite and Mariote conceptions about time.

6. On the way the observer looks for ways to structure time basing a fictive motion on the conceptual domain of real motion, vide Matlock, Ramscar and Boroditsky, 2005.

7. Understood as ego-moving. Vide Boroditsky, 2000, p. 6, and Núñez, Motz, Teuscher, 2006, p. 134.

8. Understood as time-moving. Vide *ibidem*.

9. *Royal Archives of Mari* (or *Archives Royales de Mari*). About 17000 tablets (some only fragments) were recovered in Mari. Of these, only *circa* 9000 have been studied and published (Sasson, 2015, p. 4).

10. Išme-Dagan was the first son of Samsi-Addu. While he governed over the territories of his father’s Kingdom of Upper Mesopotamia to the East, Yasmah-Addu, governed the territories to the West (which included Mari).

11. Ešnunna, a political power situated in the Diyala region, was one of the most powerful kingdoms at the time.

12. Following Núñez, Motz, Teuscher (2006, p. 136-39), who use a different mapping system, one that does not involve the idea of movement, whether from an observer or from time itself, but rather lies in a reference point (referential in relation to a human agent or in relation to time), Rubio questions the idea of time in Mesopotamia (2013, p. 12, n. 27).

have here, in practice, is a logical sequencing where events are arranged according to different spatial perspectives that do not derive from the self. This leads us back to the original question? Did time actually move? And if so, how?

Moreover, where was time born? Where did it go? The overwhelming majority of authors who have studied the way time was perceived in Mesopotamia have come to the conclusion that the ancient Mesopotamians' perception always started from a personal experience, i.e., focused on the individual, contradicting the hypothesis raised by Rubio. Dina Katz mentions that the Akkadian terms above-mentioned describe "time in terms of the actual sight of the observer" (Katz, 2013, p. 122),<sup>13</sup> while Woods adds that "the model of time encoded in the opposition *pānū* 'front', 'earlier, previous' vs. *warkū* 'rear,' 'later, future' — as counterintuitive as it is — is of time moving for the observer..." (Woods, 2009, p. 210). This would be in accordance with the idea that the Mesopotamians indeed thought of time as a flux and the observer as someone positioned between the two temporal dimensions — the *warkānum* and the *pānānum* — more precisely in the "now" or in the "today" — the *ūmam*.

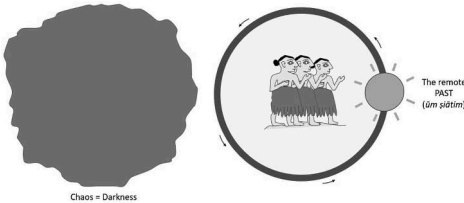


Figure 1. Time's origin and movement.

In reality, different cultures can differentiate their conceptions of time-space, attributing distinct movement directions. The ancient Akkadian language (as modern Arab or Hebrew) noted time as moving in a right-left coordination, or more precisely in an east-west direction, where east corresponded to the place of the sunrise, the before, the ahead, and west to the place of the sunset, the after, the behind. Woods claims precisely that the Mesopotamian observer would experience time "in a way that corresponds to the circuit of the sun" (Woods, 2009, p. 210). Therefore, the overview of time was based on the daily cyclical journey of the sun, undertaken by the solar deity Šamaš, which made up a full day in Akkadian an *ūmum*. Time would

have been born in the primordial east, where the origin of everything resided, starting a continuous flow. However, this flow and this continuity would take place in a movement opposite to the clockwise direction. Thus, although the origin was actually in the east (Figure 1.), as we will analyze next, just as the world and light emerged from the darkness, so did the day emerge from the night, from the netherworld, and from the place of the sunset. The day began not at daylight but as the sun entered the domain of the dead, appearing from *behind*, from the future.

Focusing on the documentation of the kingdom of Mari, epistolography, and royal inscriptions, we will thus analyze references to the term *ūmum* ("day/time"), mainly belonging to the reigns of Yahdun-Lim and Zimri-Lim. The Mariotes used the Akkadian word to express the present day. But by adding qualifiers and participles it could take on the meaning of yesterday or tomorrow, therefore referring to different spaces and distances of time.

## 2 THE DAY AS AN EXPRESSION OF TIME

In Sumerian mythologies, the world is usually described as having appeared in a distant "time," **u<sub>4</sub>** in Sumerian, equivalent to *ūmum* in Akkadian,<sup>14</sup> where the light shone for the first time (Rubio, 2013, pp. 7-8.). The absence of creation thus corresponds to the **u<sub>4</sub> nu-zal**, that is, the absence of daylight<sup>15</sup> (Figure 1.). We can thus assume that the time expressed in sunlight was also born with the world. In fact, the Akkadian term *ūmum*, which we often find in Mari's documentation, could refer to the "day," or, since there was no word that translated the generic idea of "time," could often assume this meaning.<sup>16</sup> The former translation of *ūmum* is connected to the fact that it represents its smallest unit of counting — the day. It was, therefore, its most evident expression.<sup>17</sup> A.1121+A.2731 presents this idea very clearly. In this letter, the Syrian god

14. The Sumerian compositions *Lugalbanda in the mountain cave* (ETCSL, 1.8.2.1) and *Debate between the bird and the fish* (ETCSL, 5.3.5) both begin with the temporal expression "in those ancient days". Also, in *Gilgameš, Enkidu and the Netherworld* (ETCSL 1.8.1.4), this remote time, which we can translate more generally as «distant days», «old days», the time when «necessary things had not yet been properly cared for" (l. 4), is highlighted by the signs UD and UL, which have the transliteration *ūmum* and *šītim* in Akkadian. The *ūmum* corresponds, as can be easily perceived, to the most distant past, to the formation of the cosmos.

15. Idem, 11. Literally: "daylight did not shine".

16. CAD U, pp. 138-53, presents, amongst all the possibilities of translation, the following meanings for *ūmum*: "day", "daylight", "specific term of period of time", "the future day", "a day in the past", "span of time".

17. About the divisions of the day into morning, afternoon, evening, mealtime, vide Kupper, 1964, p. 111, note 1.

13. Also, Diakonoff considers that the observer(s) had "the notion of the past as of something which *has passed* (italics by the author of the present paper) us by, leaving us behind, and of the future as of something overtaking us from behind" (1975, p. 179)

Addu promises the Mariote king Zimrî-Lîm “a land, from its eastern to its western (corners)” (Sasson, 2015, p. 281), *mātam ištu šūtiša ana erbiša*, that is, a place from sunrise to sunset. The deity wants to express the granting of the country in all its extension, in all its visibility. Luminosity is synonymous with totality. Šamaš’ light covers all that exists. Within this domain would be situated the known world, whose horizons were highlighted by mountains, the mountain of the sunrise to the east and coincident, within the Mesopotamian landscape, with the Zagros, from where Šamaš came forth, and the mountain of the sunset, to the west, coincident with the Taurus and the Amanus mountain ranges (Woods, 2009, pp. 185-186 and 194), where Šamaš daily entered the domain of the dead.

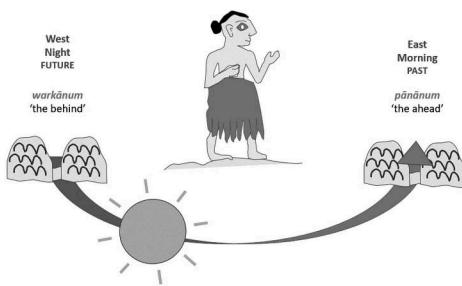


Figure 2. The spatial dimensions of past and future.

In fact, as Woods pointed out, following Steinkeller, “the coming day—the future—is conceived and gestates in the Netherworld at night” (2009, p. 210). And here lies the reason why the day appears from space *behind*, the *warkānum*, equivalent to the future (Figure 2). Once again, this conception leads us to the idea that the observer is at the center of all this imagery. Furthermore, the use of expressions such as the adverb *inūmīšu*, which translates as «at that time,» «in those days» or «then,» confirms this logic. Its final form results from the following conjugation: *ina* (preposition «in») + *ūmī* (plural form of *ūmum* «day») + *-šu* (third-person possessive suffix). The possessive suffixed to the day, as to other spatiotemporal terms,<sup>18</sup> seems to agree with the idea that time is an eminently

human experience, always starting from an “I,” a “we,” or an anonymous “he/she” (observer).

Considering that the idea of time’s movement is based on the day, the notion of cyclical time becomes evident in Mari’s documentation. However, we believe that this conception does not overlap but, on the contrary, is consistent with a perception of linear time. This aspect is visible in *ARM 26 238*, a letter containing a prophetic message, which establishes an association between royalty and the brick mold and equates the dynasty with a wall: “La royauté est son moule à brique et la dynastie sa muraille” (Durand, 1988, p. 480). The image of the wall suggests precisely a *continuum*, an edification that remains unchanged over time and that is built to last, in a continuous flow of time, in an uninterrupted succession of events and historical phenomena.

Within this flow, the observers place themselves in the “today,” the *ūmam* (adverbial accusative of *ūmum*). In epistolography, a documentary record where the use of the term is privileged, it constitutes a kind of reference point. The adverb is often used to indicate that the events and actions reported in a given letter began or were completed on the date of its writing, the Present. *ūmam* thus corresponded to the cyclical and finite space of time in which daily tasks could be performed. As soon as today ended and Šamaš retired, taking with him the necessary light for the performance of human activities, the *ūmam* would end. Another *ūmum* would follow, the *šanūm ūmum* (the “another day,” the “tomorrow”), slowly rising from the West, in a continuous flow of accumulating experiences and complete Present(s) that were gradually accommodated in the space of the *ahead*. The days gathered in this way gave rise to the idea of a past constructed in the image of the “numerous days” (*ūm mādūtīm*), an expression we will analyze further ahead.

The present thus associated the past with the future. It was conceived as the space that was in its interval, the place where the limits were blurred. Tomorrow depended on today, just as today depended on yesterday. Once again, we are presented with a sequential time. The lived events were marked by different stages. Time flowed, highlighting the weight of the past and the uncertainty of the future. Hence, to the present day, that which was lived, or to the day *per se*, were associated with the emotions of those who experienced it. The *ūmum* could thus be filled with attributes that gave it a multipurpose meaning. For instance, it could receive a qualifier in order to indicate the temporal duration of a certain event. Thus, the days were numerous (*mādūtīm*), long (*arkūtīm*), or lasting (*dārūtīm*), depending on the intensity and extent of the phenomenon evoked. On the other hand, the days could be near (*qerēbum*), distant (*rēqum*), lengthened (*arākum*), or even be empty/unoccupied (*riāqum*), depending on the spatial position of a given event in relation to the observer or to its ability to meet their expectations.

18. A letter seems to confirm this reasoning. This is what a high official says to the king of Mari, referring to the way the people of Kurdā, kingdom of Syria, thought they should act in the present: “Nous devons nous en tenir face à ce qui existait chez nous aux temps anciens (*ša aq-da-mi-ni-ma*)” (*FM 2 118* = Lafont, 1994, p. 217). The annexation of the possessive plural *-ni* gives a very marked exclusivity to the *aqdamu* «ancient times». It is not an abstract antiquity, but “our ancient times”. It is *the ahead* of tribal affiliations and solidarities of this particular people. According to Jean-Marie Durand, the *aqdamātum* designated, spatially, «les terres qui sont le plus avant», which is equivalent to saying the «east» (2004, p. 147).

In short, *ūmum* (the day) is the model on which the Mariote conception of time is largely based (a logic that is in accordance with Mesopotamia's temporal conception). Šamaš's cyclic journey is an important metaphor that we see connoted with existence, birth, and life. Time expressed the dynamics and movement underlying the phenomena that the ancient inhabitants of Mari experienced.

### 3 THE PAST DAY AND THE FUTURE DAY (TIME'S DISTANCE, MEASURE, AND AMOUNT)

Another aspect regarding time has to do with representations of its duration and how they are conceptualized. We can differentiate between a concept of duration in terms of its distance, for example, a "long time," or in terms of its quantity, for example, "a lot of time" (Boroditsky, 2011, p. 337). Mari's documentation somehow attests to both perceptions, expressed by adding qualities/quantities to the smallest finite measure of time, the day, *ūmum*. For instance, when distant, time could be both future and past. This aspect is evident in the expression *ūm šīātīm* (literally: «the day of the exits,» in a free translation: «the origin»). This formula can be found in the famous Foundation Disc of Yahdun-Lîm, where it appears translating these two different dimensions: the past (*ištu ūm šīātīm*) and the future (*ana ūm šīātīm*).<sup>19</sup> Indeed, Yahdun-Lîm refers he built a town "where not one king *since days of yore* (*ištu ūm šīātīm*) founded a town," and at the same time guarantees he will establish "my reputation *for eternity* (*ana ūm šīātīm*)" (Sasson, 1990, p. 443). The distance is highlighted not in terms of time's remoteness but in terms of its synchrony with the world's origin as the Mariotes knew it.

Since *ūm šīātīm* could refer to both a past time and a future time, we can say that both were presented as symmetrical formulas. The future was the space diametrically opposed to the past. The two thus constituted the same time, as they were both the "distant" – the "distant of the ahead" and the "distant of the behind." The expression is indistinguishable. It is then the preposition that assumes the function of altering and directing it, extracting it «from» (*ištu*) or pushing it «to» (*ana*). But what exactly would the *ūm šīātīm* be? It is possible that *šīātīm* recovers the image of the plant "sprouted"/"born" from the subsoil. Indeed, the verb *wašūm* was normally associated with the act of sprouting from earth (Durand, 1993, p. 97).

19. The inscriptions of Yahdun-Lîm have clear Sumerian-Akkadian influences. Within Mari's documentation these are the only examples in which we witness the presence of this expression.

On the other hand, *ūmum*, as we have seen, could possibly be supported by an analogy to the cyclic journey made by the god Šamaš. At each dawn, Šamaš emerged from the netherworld, in which he had been immersed all night, to roam the skies and illuminate the world. In Classical Akkadian, the sunrise corresponded to the *šit šamšim*, as we have seen, "the exit of Šamaš" or, if we prefer, "the emergence/birth of Šamaš." The *ūm šīātīm* may thus allude to that crucial moment when life was transformed through the appearance of light, synonymous with justice and clairvoyance – the origin. In sum, in *ištu ūm šīātīm* and *ana ūm šīātīm*, time – the distant – ultimately corresponded to any time («since» or «to») in which a certain event had or would occur, a time in which a certain *happening* was/would be verified. This, as we will see, does not mean the Mariotes had the idea of an absolute time.

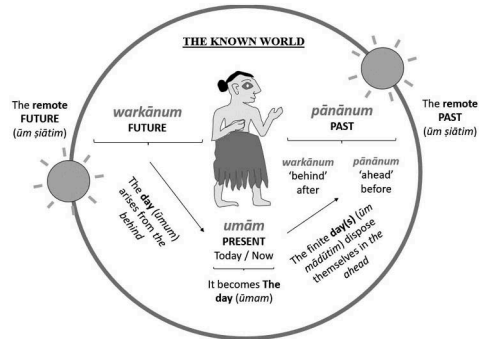


Figure 3. The arrangement of Time within the known world.

Time could also be perceived in terms of the number of finite days that had passed. The *ūmī mādišim*, "many days," "numerous days," comprehended the notion of finished days gradually disposed of in the space of the ahead, an indefinite measure that did not go beyond the immediate, the near past. Usually, the formula appears in the documentation of Mari referring to a relatively recent period, the effects of which were still being felt in the present and which was marked by some life experience, whether it was good or bad.<sup>20</sup> It thus refers to a time of complete, full

20. ARM 6 33 is a good example. The epistle sent by Hammurabi of Babylon to his Kurdā's homologous (Kurdā was a kingdom situated in northern Syria) reflects this fear: "Depuis..., tout ce que des jours..., tu sais bien que c'est mon armée qui, par les armes, a accompli le salut de ton pays; l'homme d'Ešnunna depuis longtemps (*ištu ūmī mādišim*) rôdait autour de toi comme un... et l'armée d'Ešnunna menaçait ton pays» (l. 10-14, Durand, 2002, p. 531). The text is in a very incomplete state. Nevertheless, the meaning is clear. The "since many days" marks the period when the influence of the newly enthroned sovereign of Ešnunna was felt over his Kurdā's counterpart.

days, ascribing to it some intensity. In the opposite spectrum were the *ūm dārītīm*, the days that were expected to be “eternal.” In fact, contrary to the expression we analyzed previously, which is often preceded by the preposition *īštu*, this one is normally preceded by the preposition *ana*, hoping that a certain event would last for “eternal days,” that is, for as long as possible. The expression was mostly used for the individual’s lifetime, usually the king’s lifetime. In fact, the Mariotes preferred to refer to the success of a dynasty in the form of the enduring (“eternal”) days that its monarchs were expected to complete. Thus, eternity was no longer projected onto the sovereign’s person than it was onto time itself, but onto its smallest finite counting unit. All this seems logical if we think that the Mesopotamian conception excluded the possibility of overcoming death.<sup>21</sup>

Qualities, intensities, and quantities were attributed to the sum of days, where the yearnings and life experiences of those who had settled along the banks of the Euphrates were projected. These measures of time were either felt as if they had elapsed and were definitively lying in *the ahead* or as if they were pulled from a promising *behind* in a chain of succession that would hopefully last.

#### 4 THE DAYS OF LIFE AND THE DAY OF DEATH (BEING EQUALS TIME EQUALS SPACE)

Finally, as we have seen in the previous point, time could be reflected in the individual, suggesting their hope of living a long life. The impossibility of escaping death, of reversing or anticipating this fatality, made the notion of fulfillment of destiny, *ana šīmtim alākum* (i.e., dying) more distressing. The proximity of the days when this fatality was fulfilled could be revealed by the deity in the form of a prophecy. From the interrogation carried out by Šibtu, Zimrî-Lîm’s wife, in *ARM 26 212*, the queen draws the following conclusion: “This man (Hammu-rabi of Babylon) plots many things against this land; but he will not prevail (...) His days are numbered; he will not live long” (Sasson, 2015, pp. 283-284). The final years of Zimrî-Lîm’s reign were taking place. Relations between the courts of Mari and Babylon had degraded, and the king of Mari feared an attack by this former ally. In this context of possible betrayal, the god decreed the proximity of the end of the

sovereign of Babylon’s life. The literal expression is actually *his days are close*. Death does not fit into the normal patterns here. Normally, human beings died after having fulfilled the time of life that was supposedly reserved for them, that is, after fulfilling their destiny. In this case, the *ana šīmtim alākum*, the possible natural death,<sup>22</sup> does not occur. Instead, the deity is forced to intervene to restore balance and order. A human fault, therefore, leads to the anticipation of the death of Hammu-rabi, translating the idea of divine punishment.

Having a time (*ūmum*) that gradually ran out meant successfully performing the social function defined in the concept of *šīmtum* (“destiny”). Life corresponded to the time that the *šīmtum* foresaw and allowed for each one without compromising the stability of the cosmic order. The days (*ūmū*) corresponded to that measure – the total sum of life. Death – the end – approached when they were “close” (*qerbū*), as in the prophecy transmitted by Šibtu. Therefore, *ūmū* comprehended the unknown limit of individual existence. Moreover, in this notion is mirrored a more intimate reflection of cosmic time (*ūmum*) itself.

As Dina Katz questions, considering the notion of *šīmtum* (literally, “that which is fixed”), can we then consider that for the Mesopotamians, the future was already defined (Katz, 2013, pp. 119-120)? And, in this case, was time considered absolute, as Newton postulated, existing as an independent reality? Or was it thought of as relative, as Aristoteles conceived it (Katz, 2013, pp. 119-120), not independent of the notions and perceptions of change and movement and the occurrence and interconnection between different historical episodes and social phenomena? We tend to align ourselves with the latter perspective. In fact, if we return to the expression *ūm šīātīm*, this aspect seems evident. We have already stressed that there was no idea of abstraction or absolutism regarding the conception of time. Returning to the reign of Yahdun-Lîm, another of his inscriptions states, “Ever since the God created Mari in time immemorial (*ša iš-tu u<sub>4</sub>-um ša-at*), no king living in Mari reached the sea” (Sasson, 2015, p. 72, n. 128. Vide also Frayne, 1990, p. 605). The “distant” refers to the construction of the city of Mari by the deity, that is, to a kind of original past, to the genesis of Mari. The creation of the city necessarily implied a beginning, a historical beginning, the beginning of its existence, of its being. And that being, in turn, implied a measure, a *ūmum* (*ūm šīātīm*). Therefore, we can say that time was blurred with creation itself. Notwithstanding, there is no beginning of time *per se* expressed here, just as there is no absolute, insofar as time is only thought of as a representation of the experiences of human life – the *happening* of Mari and its society.

21. This logic is even more pronounced in the Amorite conception. In the West, the cult of the god who regularly passed through the cycle of life and death was a constant. Vide Jean-Marie Durand, 2010-2011, p. 390: «en Syrie – et pour les régions limitrophes qu’elle a influencées, comme l’Anatolie –, même le dieu doit passer par le cycle de la vie et de la mort; sa part propre n’est que de pouvoir “revivre”».

22. According to CDA, p. 373, and CAD Š/3, p. 16, *šīmtu* 3a).

Following the same logic and returning to the term *šimtum*, fate seemed to be already “fixed”; however, as proved by Šibtu’s letter, it was easily reversed. The future was a swampy terrain that depended on the actions taken in the Present and was not consolidated from the outset.<sup>23</sup> When precipitated, as in the case of the “close days” of Hammu-rabi, the end (that is, *the day* of the end) could correspond to a need to assert order and avoid the dilution of the cosmic balance. In *ARM* 26 196, we witness one of these moments: the fall of Ešnunna, Mari’s rival power, is sentenced by the Middle Euphrates deity Dagan to the polyad deity of Ešnunna, Tišpak. The announcement of the ruin of Ešnunna is based on the revelation of the arrival of its day: «Now then, your day has departed/come,<sup>24</sup> and you shall meet your day» (Sasson, 2015, p. 283). *ūmum* (the “day”) marks the end: it represents the fall of Ešnunna as political power and the yoke it imposed on Mari.

In sum, *ūmū* (the “days”) comprised the measure of life or the period of activity of any element within the cosmos. On the other hand, the day could represent the (time of) the end – death – which concluded the social and political function of the individual (or political entity) in the cosmos. Therefore, *ūmum* may have the symmetrical meanings of “life” (the “days,” in the plural) and of “death” (the final “day” [of judgment]). In the conjugation of these two opposites lies the idea of totality: **life and death equal existence**. The *ūmum* is the extent of *being* (or *happening*) provided by the celestial sphere to each one, human or city. On a broader level, *ūmum* could eventually represent the materialization of Mari’s worldliness.

## 5 FINAL REMARKS

This article aimed to demonstrate that in Mari’s documentation, much of the perception of time was based on its smallest unit of counting, the day. Diverse adjectives and terms added to the noun *ūmum* shaped hopes and feelings about the flow of time. The daily journey of the solar deity would be at the origin of this logic. Time was generally perceived as the accumulation of days that sometimes appeared from *behind*, sometimes arranged themselves *the ahead*. An idea of causality stands out in this view. Time appears in a flow that interconnects today, the place from which human beings experience time and the changes it brings, with the *before* and the *after*. Time thus seems dependent on day-to-day events and phenomena, not existing as an independent reality.

Just as the day depended on light shades, the world initially needed to emerge from the darkness to materialize. It thus seems that the idea of light, and day, was also underlying the idea of plausibility, with the “day of the exits” – *ūm šiatum* – eventually coinciding with the moment of creation (the creation, the existence of the city of Mari).

## ABBREVIATIONS

<i>ARM</i>	– Archives Royales de Mari
<i>CAD</i>	– Chicago Assyrian Dictionary
<i>CDA</i>	– Concise Dictionary of Akkadian
<i>ETCSL</i>	– Electronic Text Corpus of Sumerian Literature
<i>FM</i>	– Florilegium Marianum

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23. About the concept of future, vide Rosa, 2018.

24. Italics by the author of the paper.

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# The poets of territorial space in the Garbe al-Andalus of the first Renaissance (11th to 13th centuries)

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**ABSTRACT:** The territorial space of our focus locates in the Iberian Peninsula. It is delimited to the West and takes the designation of Garbe al-Andalus in the historical period under study: the end of the 10th to the 13th century. We will find almost five dozen essential poets in this brief historical period of about 250 years.

We propose to demonstrate how they will mark the poetic perpetuity in the context of the civilizational apogee of this region, enabling the emergence of what is considered the first Renaissance in al-Andalus. In this western region of the peninsula where the new kingdom of Portugal will emerge, we still intend to understand the influence of the poetry referred to over the centuries and its relevance as its interpretation continues in contemporary times.

**Keywords:** Garbe al-Andalus, Luso-Arabic poetry, First Renaissance, Civilizational apogee, Perenniality

## 1 INTRODUCTION

In the western territory of the Iberian Peninsula known as Garbe al-Andalus, we identify the achievement of a civilizational apogee similar to the whole of Hispania in a short historical period of approximately two centuries. This period coincides with the installation of the first *taifas*, which began with the emergence of the republican government in Seville (1032) (Coelho 2008, p. 560). The Center and South of the current Portuguese territory were part of the Garbe al-Andalus whose main cities were Seville, Badajoz, Niebla, Beja, Lisbon, Évora, Santarém, Faro, Silves, Mértola, Alcácer-do-Sal. Sufficient originality distinguished it from the Center and East of Andalus, enabling autonomy at the end of the Caliphate and during the Almoravid period (Coelho 2004, p. 28). In a short period (1048-1063) until the conquest of Silves by Almutâmide's father, Almutâdide, even small principalities emerged in Mértola, Faro, and Silves. This period of civilizational apogee sees its end announced with the fall of the Almohads (about 1231) (Guichard 2016, p. 254).

This period signals the end of the civilizational apogee operated on the peninsula by Islam which, by assuming itself as the depository of Greco-Roman, Persian and Hindu civilizations, carried out in the Iberian Peninsula the syntheses of all Mediterranean civilizations, a process that reached its apogee in the brief period (Raposo 2020, p. 33).

This civilizational apogee will enable the emergence of the first markedly Mediterranean European

Renaissance, which precedes the Italian Renaissance - 14th and 16th centuries, but which in Portugal only begins in the mid-15th century. It is in this historical period that we will identify this strip of the western territory of the peninsula, between Santarém and the southern Algarve space - which corresponds to the regions of the current Portuguese territory that then integrated the kingdoms of the taifa of Badajoz and the taifa of Seville - the largest and most important in the period of the first *taifas*.

This research includes the historical period that extends between the third decade of the 11th century and the beginning of the 13th century. In this period, we identified a group of more than 40 authors who marked this first Renaissance through the perpetuity of their poetic art. This Renaissance would have had cultural and scientific contours - from Philosophy, History, Geography, Literature, Poetry, Singing, Dance, Jurisprudence, the art of sailing, and new techniques and agricultural products. - in the peninsula and our Garbe, having been here, it was carried out in particular by these poets who left indelible marks reaching the 21st century (Raposo 2020, p. 33).

However, we intend to start this one at the end of the 10th century, around 50 years before the definitive fall of the Umayyad Caliphate in al-Andalus (1031), including four poets who appear in the last decades of the 10th century, three men and one woman. She was born in Silves, where she lived until old age; one was born in Cacela - therefore both in the Algarve - and was in the service of



Governor Almançor on the expedition to Santiago do Compostela. Another, although born in Cordoba, was a judge in Lisbon and Santarém.

The latter was born in Évora and was the vizier of Almanzor.

It is on these poets and the role they played that we propose to reflect.

Background: The replacement of Zéjel of the classical Arab Casida in the context of civilizational synthesis in al-Andalus

After they arrived in 711 and the installation in the following year, and subsequent control of the Muslims in almost the entire Iberian Peninsula, the Visigoth Christians who previously dominated and occupied a strip of territory to the North subsequently, there was a period of instability, namely with the general revolt of the Berbers in 741. The following year, Syrians and Egyptians were installed in Beja, Ossónoba (now Faro), and Jaén. These people made up most of the contingents that arrived on the peninsula.

The advent of the Abbasid dynasty in Baghdad, after the fall and massacre of the Umayyads of Damascus and the subsequent arrival in al-Andalus (755) of Abd al-Andalus, a probable survivor of the defeated dynasty. The Umayyad went on to find the Emirate of Cordoba, independent of the caliphate power, which lasted until 912. In this period, letters flourished.

Ziriabe, poet, musician, singer, and composer originally from Baghdad, contributed significantly. Invited by the emir Abd al-Rahman II, he arrived in al-Andalus in 822. He came to revolutionize the court, who would also be a scientist, astronomer, geographer, and botanist and is considered responsible for introducing the Abbasid influence in al-Andalus. He would have come to innovate customs, introducing new norms of personal hygiene, clothing, and gastronomy, and soon he will become one of the most significant cultural icons of the Islamic history of the peninsular (Coelho 2008, p. 557).

However, the decisive contribution to the renaissance on the peninsula took place during the reign of the last emir, Abdallah ibn Mohamed (888-912), with Mocádem ben Muafa, el Ciego, born in Cabra, in the region of Cordoba. This poet must have bequeathed us a new lyrical system, “the muwax-xaha,” a strophic and metric system in which he uses popular Arabic mixed with the Aljamiate novel, that is, a Christian language mixed with dialectal Arabic, spoken by Christian Mozarabs subjected to the Muslim domain and taking the name of “Zéjel” (ballet) (Raposo 2020, p. 34).

Here is the genesis of a new culture that will give rise to a new language, or the new peninsular languages, Castilian and later Portuguese, which will indelibly have the peninsula in later centuries.

## 2 POETS FROM GARBE AL-ANDALUS

In the west of the peninsula, the Garbe al-Andalus, from the last decades of the 10th century but especially in the period immediately following the definitive fall of the Caliphate of Cordoba (1031), after more than three decades of instability following the death of Almanzor (1002) we identified a group of poets, in addition to prose writers, historians, and philosophers. All of them, particularly the poets, will allow for the civilizational apogee that attends the whole of al-Andalus and our Garbe.

In this region we will find:

1-Abú ‘Umar Ahmad ibn Muhammad ibn Darráj al-Kastalí (958 – 1030) was Born in Cacula, Algarve, of Berber origin. In the service of the famous governor Almançor, he participated in the expedition to Santiago de Compostela. Then he was in the service of other lords. He used to write praises to the men of power for a living. He has been compared to the famous Syrian al-Mutanabbí of the West (Coelho 2008, p. 551);

2-Abú ‘Umar Yûsuf ibn ‘Abdillâh ibn Mohamed ibn ‘Abbot al-Barr na-Numairi al Qurtubí – (978 - ?) Born in Cordoba. A traveler, he saw his merits recognized in the Banu al-Aftas court of Badajoz. The sovereign Al-Muzaffar appointed him to judge of Lisbon and later of Santarém, where he wrote a substantial part of his extensive work (Alves 1991, p. 53);

3- ‘Abdillah ibn ‘Ayyâs al-Yâburî. Born in Évora (late 10th century – early 11th century), he became vizier of Almançor in the final period of the Caliphate (Alves 1991, p. 73);

4- Maryam Bint Abî Ya’qûb al-Ansârî al-Fusauli (Late 10th century – mid-11th century). He was born in Silves, but in 1009 he was already living in Seville. She became famous for her poetry and teaching literature to other women, having reached an advanced age, for, at 79, she was writing poetry (Alves 1991, p. 141);

5- Sulaiman ibn Halaf ibn Sa’ad ibn Ayyûb ibn Wârit at-Tugîbi Abú Alualid Albaji (1013 - 1081). Born in Beja, poet, theologian, and jurist, he traveled the East (Mecca, Baghdad) for 13 years, from where he returned in 1047, having engaged in intense controversy with Ibne Hazm (Coelho 2008, p. 550);

6-Abú Zaid ibn Mucana Alisbuni Ahabdaq (the one from Lisbon, Alcabideche). (Early 11th century – c. 1068). Born in Alcabideche. He lived in the court of the Abáidas, the Edricitas of Malaga, the Aftácidas of Badajoz, and the courts of Seville and Granada, but he tired of courtly life and returned to his native land, dedicating himself to the country life that he shaped in the “Poema of Alcabideche.” We find in his work two poetic aspects: in the first, the traditional themes of *qasîda*, namely panegyric, and, in the second, more spontaneous and confessional, we find the love of the earth and simple things (Coelho 2008, p. 552);

7- Abú Bacre Mohâmed ibn Amar Husain ibn Ammar (al-Andalusî), (1031–1086) Born in S. Brás de Alportel, he lived in Silves, where he carried out his first studies and met the then Prince Almutâmide with whom he became close. Later, the king in Seville appointed him governor of Silves and later vizier of Seville. “His poetry has an exquisite elegance, the result of a superior command of the language, and the brilliance of the imagery overlaps, in fact, with a personal accent that only manifests itself as an expression of pride, a form of affirmation of self-reliant qualities assigned. One of the most important poets of this period, his excessive ambition and betrayal of his friend ended up dictating his end, dying at his hands (Raposo 2020, p. 44);

8- Almutamid Alâ-l-lah ibn ‘Abade Abu -l- Qasim Mohamed (1040 – 1095), Born in Beja. Considered one of the great poets of Islam, he is undoubtedly the most notable of the Spanish-Arab poets of the second half of the 11th century. From a family of poets, like his father, the cruel Almutadide, whom he succeeded in 1069 as king of the taifa of Seville. To face Afonso VI of Castile, grandfather of the founder of the Portuguese nation, Afonso Henriques, in 1091, he asked for the support of the lord of the Almoravids, Iûçufe ibn Taxefine, who, after facing and defeating the Christian king (Zalaca, 1086) conquered, one by one, the various taifa kingdoms. He refused to surrender, and after the conquest of Seville by the Almoravids, he was taken prisoner and exiled to Aghmat, the ancient capital of Morocco, where he died in chains – a son had rebelled on the peninsula – not before writing his epitaph, he who expressed an unusual and exceptional lyrical force. Considered a martyr in contemporary times, he is the target of Muslim pilgrimages to his mausoleum. (Alves 1991, p. 147). In 1998, the then President of the Republic, Jorge Sampaio, on a state visit to Morocco, paid tribute to Almutâmide in Agmat, inscribed a message in the guest book, and poems from him were read in Portuguese and Arabic (Alves 2004, p. 156);

9- Yazîd ibn Almutamid ibn Abade ar-Râddî bil-lâh (11th century-1091). Almutâmide’s favorite son, perhaps the most gifted of them for poetry, superior spirit, very dedication to letters and sciences, he ruled Ronda and Algeciras until his father’s fall, when he died (Alves 1991, p. 165);

10- Abú-l-Fath Al-Ma’mûn ibn Almutâmîd ibn Abade (? – 1091). Almutamid’s son was killed in defense of Cordoba (26 March 1091) by an officer of the powerful Almoravid chief Yusuf ibn Taxefine (Alves 1991, p. 139);

11- Hasan ibn al-Misîsî (11th century). Born in Mértola, he lived in the period of the 1st taifas; he was secretary to the son al-Fath of King Almutâmide. Having been presented at court by Ibn Amar, he was later sent by Almutami as a minister to Cordoba (Alves 1991, p. 145);

12- Bakkar ibn Dâwud (11th century). He was born in Sintra, of Umayyad descent, having lived in the period of the first *taifas*. He lived with his wife and son, with a life of prayer and meditation by the sea where he was born. He left as a volunteer to atone for sins, going to fight the Christians, and never returned. With a markedly mystical work, he later lived in Zaragoza, where he became famous as a wise and literate Sufi (Alves 1991, p. 83);

13- Abú-l-Hasan ibn Hürûn (11th century). He was born in Faro, within a family of the lords of this city where he lived in the period of the reigns of the first taifas (Alves 1991, p. 89);

14- Buthayna ibn Mohamed ibn Abade (11th-12th centuries) – Eldest daughter of Almutâmîd and Itimad. Enslaved after the fall of Seville and sold to a merchant, she writes a letter in the form of a poem to her father, already exiled and prisoner, asking him for permission to marry the son of the merchant she would marry (Alves 1991, p. 51);

15- Ūbayd Allah Ibn Mohamed Abu-l-Husain ar-Rasîd ibn Abade (c. 1065-1135). Another of Almutâmîd’s sons was endowed with poetic talent, having survived the fall of his father (1091), whom he accompanied into Moroccan exile. After the death of his eldest son Sirâj Ad-Dawla, he was designated crown prince and came to serve as qadî in Seville (Alves 1991, p. 167);

16- Abú Mohamed ibn Hûd al-Judamî (11th century). Born in Zaragoza, he lived in the period of the first *taifas*, forced into exile due to his black ancestry and probable bastardy. After traveling through cuts in the north of the peninsular, passing through Toledo and Évora, he impressed al-Mutawakkîl, lord of Badajoz, who appointed him governor of Lisbon (Alves 1991, p. 127);

17 – Abu-l-walid ibn Habîbe. (11th century). He was born in Silves and lived in the Almoravid period. He was the author of muwassahât (Alves 1991, p. 85);

18- Abú-l-Hasan ‘Alî ibn Isma’il al-Qurasî al-Tulayulî (or al-Usbunî) (11th century). Magnate, he was probably born in Lisbon, where he lived most of his life (Alves 1991, p. 175);

19- Abu ‘Alî Idris ibn a-Yamani al-‘Abdari. (11th century). Born in Cacela, he lived in the period of the Taifa kingdoms. He was a panegyrist in the service of many princes, to whom he dedicated qasîdas. He will have lived part of his life in Ibiza (Alves 1991, p. 47);

20- Abú ‘Abbot Allah Mohammed ibn al-Hasan al-Kumait al-Garbî (11th-12th centuries). Born in the Algarve or Badajoz, he would have been a notable cultivator of strophic poetry and would have been at the service of Musta’in of Zaragoza, who reigned between 1085 and 1110 (Alves 1991, p. 129);

21- Abú Bacre Mohâmede ibn Ishâq al-Lahmî ibn al-Milh (11th century -1106) Born in Silves, illustrious poet and notable orator (Zekri 2002, p. 33);

22-Abú ‘Abbot Allah Mohammed ibn al-Hasan al-Kumait al-Garbî (11th century). Born in the Algarve or Badajoz, he would have been a notable cultivator of strophic poetry and would have been at the service of Musta’in of Zaragoza, who reigned between 1085 and 1110 (Alves 1991, p. 129);

23-Abú-l-Qāsim Ahmad ibn Mohammed ibn al-Mihl. Born in Silves (? – 1107). Son of a poet from the court of Almutāmid, despite the urging of Ibne Amar, he did not leave his native land for the palatial court of Seville (Alves 1991, p. 91);

24-Abú Mohāmede Abdalā ibn Sara Assantarini (the Santarene) (Mid-11th century – 1123) Born in Santarém, after a hard life in the troubled period of the passage of the first *taifas* and when these gave way to the consolidation of the Almoravids, the Emerging Saharan Bedouins in the Maghreb. He is considered one of the most inspired and original poets of his time. It is sung by contemporary Portuguese interpreters, such as Janita Salomé, Eduardo Ramos, and Paulo Ribeiro (Coelho 2008, pp. 552-553);

25-Abú Mohammed ‘Abbot Allah ibn Mohammed ibn as-Sîd al-Batalyawî (1052-1127). He was born in Silves and died in Valencia but spent part of his life in Badajoz, the reason for his nickname. Through his poems on diverse subjects, he was a master of Philosophy, Grammar, Humanities, and language; his poetics imbues with metaphysics. Master of poets such as Ibne az-Zaqqâq, he left famous works such as *Iqtidâb*, a commentary on the Arabic language manual *Adab al-Katib* by Ibne Qutaiba, and *The Book of Circles* (Alves 1991, p. 111);

26- ‘Îsâ ibn al-Wakîl (11th-12th centuries) Born in Évora, he lived part of his life in Granada as an official in the administration. After falling into disgrace, he was rehabilitated with the intervention of Qadî Ibn’ Asara, to whom he dedicated a poem (Alves 1991, p. 121);

27-Abú Alâçane Ali ibn Bassane Assantarini (the Santarene) (2nd half of the 11th century -1147) This poet was born in Santarém and lived in Lisbon, Cordoba, and Seville, having gone into exile after 1092-1903 when his hometown passed to the hands of Alfonso VI. In Seville, he will have undertaken the writing of his *Daqira* [Treasury], an anthology that brings together the peninsular Islamic poets, which proved to be one of the most important sources of the peninsular Islamic world (Coelho 2008, p. 553);

28-Abú-l-Hasan Sallām ibn ‘Abdillāh al-Bāhil-î al-Isbîlî. (1069-1149), He was probably born in Seville, and he was considered the adopted son of Silves, where he lived most of his life. Author of the work *Treasures and Jewels of Educated Spirits and Generous Characters* (Alves 1991, p. 171);

29- Ahmad ibn al-Husayan ibn Qasî (?-1151). Born in Silves. Mystic, philosopher, politician, and man of action, he proclaimed himself “Mahd,” the

one led by God, became head of the Muridines, and was lord of a vast region of the South, from Garbe, from Silves to Mértola - where he is celebrated and remembered with a statue - after rebelling against the Almoravids. Later he was allied with the Almohads and then with D. Afonso Henriques, the Portuguese king, so he was assassinated. As a prominent poet, his book *Hal’al-na’lāy* (Zekri 2002, p. 19);

30- Abu ‘Umar ibn Harbûn (12th century). Born in Silves, where he was a respected intellectual, having served as secretary to Ibne Qasî – Later, he was secretary to Abî Hafîs (Zekri 2002, p. 23);

31- Abbot Allāh ibn Abî Habîbe (?-1152): Born in Silves, considered a notable poet, he also had vast knowledge of astronomy, having traveled to the East. He returned to his hometown, where he settled and died (Zekri 2002, p. 37);

32- Abú al-Fadl Jā’far ibn Mohammed ibn al-A’lam (? – 1152). Grandson of al-A’lam al-Xatamari. Born in Faro (Santa Maria), a descendant of an illustrious family of literati and son of the famous grammarian Al-A’lam, master of Ibne Ammar, he lived part of his life in Seville and Córdoba (Alves 1991, p. 71);

33- Abú al-Walîd Ismâ’il ibn ‘Umar al-Xawwâx, (?-1173). Born in Silves, poet and writer, he taught the Koran, the Arabic language, and literature. He died in the city of Marrakesh (Zekri 2002, p. 29);

34-Abú-l-Walîd Hîasam ibn Mohāmede al-Qaîs ibn at-Tallā as-Silbî (1082-1156) Born in Silves, considered a man of great culture and extremely pious (Alves 1991, p. 119);

35- Abú-l-Hasan Sâlih ibn Sâlih as-Santamarî (12th century) Born in Faro, he had the profession of official secretary (Alves 1991, p. 99);

36- Abú Bacre Mohamed ibn Ibrahim al-Amâri al-Kurasi (12th century) He lived in Beja in the Almoravid period after having studied in Silves (Alves 1991, p. 135);

37- Abu-l-Hakam Malik ibn ‘Abbot aî-Rahman ibn ‘Ali ibn al-Murahhal (1207-1299). From a family originally from Santa Maria (Algarve), he was born in Malaga due to forced exile. Poet, grammarian, and jurisconsult, he was the secretary in Fez, where he died (Alves 1991, p. 97);

38- Abú Amr ibn Harbûn (Late 12th/13th century). Born in Silves, he lived in the Almohad period, in the period of the second *taifas*. He polemized with the celebrated Valencian poet Ar-Rusafi (Alves 1991, p. 87);

39-Abú Amr ibn Taifûr al-Bāji (Late 12th century - mid 13th century). Born in Beja, from a family that ruled Beja and Mértola (Alves 1991, p. 117);

40-Abú ‘Imrân Mûsâ ibn Husain ibn Mûsâ ibn ‘Imrân al-Qaisî Al-Mîrtulî (12th century-1207). Born in Mértola, his life was marked by holiness and, from the age of 60, he lived in permanent recollection dedicated to meditation, imbued with the sūfi mystique (Alves 1991, p. 143);

41-Abú Bacre Mohamed Ibne ar-Ruh (12th century). Born in Silves, the poet lived in the Almoravid Garbe (Alves 1991, p. 169);

42- Abú-l-Rabî Sulayman ibn' Isa al-Kutayyir (13th century) Born in Loulé (al-'Uliã). Expelled from his homeland due to his irreverent personality as a man of letters, he went into exile, having resided in Seville, Bugia, and Menorca; (Alves 1991, p. 137).

43- As-Silbîa (13th century). Born in Silves, he lived during the Almohad period, where he enjoyed great prestige, having managed to protest through a poem and have the sovereign Ia'qûl Almaçor met with the burden of taxes. It is a representative example of the importance acquired by women in Hispanic Islam (Alves 1991, p. 173);

44- Abú Bacre Mohammed ibn Sidrã 'Abbot al-Wahab ibn Wâzir al-Qaís (13th century). Born in Silves, he was governor of Alcácer-do-Sal, having fought sporadically with the Portuguese during the Almohad rule (Alves 1991, p. 123);

45 - 'Abbot Allah ibn Mohammed ibn Ibrahim ibn al-Munahhal al-Xilbî (13th century). Born in Silves, where an illustrious writer and poet, he was known as Abû Mohâmed; (Zekri 2002, p. 35);

46- Abade Allah ibn Wazir. (13th century). A descendant of a Bejense family, son Mohâmede ibn Wâzir, lived in the final phase of the Almohad period in Garbe, having been governor of Alcácer-do-Sal. (Alves 1991, p. 123).

### 3 LUSO-ARABIC POETRY

We present some poems and excerpts, just by way of example.

Almutânid ibn 'Abbot, the poet-king who ruled Silves and was king in Seville, where he ruled for a short period of 22 years (1069-1091), and his court was the paradigm of the civilizational apogee of that time, synonymous with the 1st Renaissance, which, due to its importance Adalberto Alves designates it as "Século de Almutâmide" (Raposo 2020, p. 39).

In these, we find the presence of the power of love and also the longing:

#### Power

My smell is your delicious scent  
and your face lord of my eyes,  
for being mine, even after goodbye,  
is that everyone calls me powerful  
(Raposo 2020, p. 41).

#### Eclipse

she got up and hid  
the sunshine in my eyes.  
so stay hidden from bad luck!

she knows it's a moon.  
and what better to hide the sun

but the face of the moon itself  
(Raposo 2020, pp. 41/42). (Sung by Janita Salomé in  
Tão pouco e tanto)

#### I'timâd

(acrostic poem)

Invisible to my eyes,  
I always carry you in my heart  
I send you goodbye with passion  
and tears of pity with insomnia.  
You invented how to own me  
and I, the indomitable, how submissive I am  
becoming!  
My desire is to be with you always.  
May this wish come true!  
Assures me that the oath that binds us  
distance will never make you break.  
Sweet is your name  
and here it is written in the poem: I'timâd.  
(Raposo 2020, p. 40).

#### Evocation of Silves

Salute for me Abu Bakr,  
The beloved places of Silves  
And tell me if you miss them  
It's as big as mine.  
Salutes the Balcões Palace  
From those who never forgot them.  
Abode of gazelles and lions  
Rooms and shadows where I  
sweet refuge found  
between opulent hips  
And so narrow waists!  
Nivea and brunette women  
crossed my soul  
like white swords  
And dark spears.  
Oh, how many nights did I stay,  
There in the backwater of the river,  
in the games of love  
With the curved bracelet  
Like the meanders of water  
As time passed...  
And poured me some wine:  
The wine of your eyes  
Sometimes the one in your cup  
And others from your mouth. (...)  
(Raposo 2020, p. 43).  
Ibne Amar, a friend of the Prince, when he  
ascended to the throne, appointed him governor of  
Silves and later his vizier (prime minister) in Sev-  
ille. He is the author of the poetry of exquisite ele-  
gance, where we find tremendous poetic proximity  
with the Camonian lyric. This similarity appears

both in the theme – platonic love, nostalgia, destiny, the supreme beauty, and the use of stylistic resources, using metaphors and figures of style.

### To the beloved

My soul loves you with passion  
even if there is torture in it  
and joyfully goes in the eagerness of the search

how strange that our connection is difficult  
if the wishes of both agreed!

that I would want more my heart,  
to desire to seek you in vain,  
if my eyes saw you and loved you? (...)  
(Raposo 2020, p. 46).

### Of love

Look how great is the passionate love  
Which is vice and delight and blazing fire.

Do not seek for love a dominated  
Be rather slaves by your law  
And so you will be free at last.

They said: “Love made you suffer intensely!”  
“I like your feathers!” that’s what I said.

The heart wanted disease for the body to dress us

The freedom of choice I gave you. (...)  
(Raposo 2020, p. 44/45)

We present by Luís Vaz de Camões Amor é fogo  
que arde sem se ver, for comparative analysis

Love is a fire that burns yet burns unseen,  
A wound that injures, yet without distress,

A happiness that is not happiness,

Sorrow that is no sorrow yet is keen;

‘Tis rather not to love than love, I ween;

To wander among men companionless,

To deem no blessing that which still doth bless

And count that gain which but our loss hath been.

Love is a voluntary imprisonment,

Service to one who is not victor rendered,

Loyalty to one upon our death intent.

Yet since love to itself hath not surrendered,

How can its favour breed in men content,

Or in their hearts find service freely tendered?  
(Camões, 1925, p. 298)<sup>1</sup>

Ibne Sara, the Assantarini because he was born in Santarém, witnessed the troubled period from the passage of the first *taifas* to the consolidation of Almoravid power. Here the force of Nature is in conjunction with love.

### Orange tree

It is the flaming oranges that show their colors on  
the branches

cheers

the faces that loom

between the green curtains of the palanquins?

Are the branches that sway or delicate shapes  
for whose love I suffer what I suffer?

I see the orange tree that shows us its fruits:  
look like red-colored tears  
by the torments of love.

They are frozen, but if they melted, they would be  
wine.

Magical hands molded the earth to form them.

They are balls of carnelian on topaz branches, and  
in the zephyr hand, there are  
hammers to hit them.

Sometimes we kiss the fruits  
others we smell your  
scent and so are alternately  
maidens’ faces or perfumed apples.  
(Raposo 2020, p. 49/50).

Buthayna, in this poem, asks permission from her  
father, exiled in Agmat, permission to marry the son  
of the merchant who bought her as an enslaved  
person.

### The capture of the princess

They do not deny that I was captive.

I, the daughter of a king of the Bani’ Abbad,  
a sublime king, of an era ended.

Times are decadent.

---

1. Original text: Amor é fogo que arde sem se ver/é ferida que dói, e não se sente;/é um contentamento descontente,/é dor que desatina sem doer.  
É um não querer mais que bem querer;/é um andar solitário

---

entre a gente;/é nunca contentar-se de contente;/é um cuidar que ganha em se perder.

É querer estar preso por vontade;/é servir a quem vence, o vencedor;/é ter com quem nos mata, lealdade.

Mas como causar pode seu favor/nos corações humanos amizade,/se tão contrário a si é o mesmo Amor

At the moment when God wanted to separate us  
and make our life sad, let hypocrisy arise around  
my father and the separation was inevitable.

I left to run away and a man arrested me.

He sold me how slaves are sold.  
a man bought me and protected me from every-  
thing except for sadness.

He asked me to marry with your son, a good and  
pure son.

Your agreement, father, is necessary, you are the  
one who is going to tell me the good way  
(Zekri, p. 48).

As-Silbía, like the daughter of Almutâmide, is  
another example of the importance women would  
have in the society of their time, a particularity of  
Hispanic Islam that would not happen in the Chris-  
tian world then and many centuries later. Due to her  
prestige in the Almohad Silves, As-Silbía rebelled  
against the tax burden that harmed her city, present-  
ing his protest in a poem to the sovereign, which he  
would have granted.

For the palaces to cry, the time has come  
For the stones themselves mourn.  
O thou who goest where Mercy dwells,  
Hoping to put an end to the hurts that torment,  
Tell the Prince when you arrive at his gates:  
Shepherd! Look at your almost dead sheep  
Who have no meadow to graze;  
You left them at the Mercy of many beasts.  
A paradise, my Silves, you were.  
Tyrants cast you into hellfire  
Allah's punishment seems to despise:  
However, nothing is hidden from the eternal  
(Alves 1991, pp. 173/4).

### 3 CONCLUSION

From the survey carried out, we verified the existence of 46 poets who lived and were born in Garbe al-Andalus - in the case of Luso-Arab descent - the western region of the peninsula Santarém to Faro; they left a permanent mark with their poetics. These poets lived between the end of the 10th century/beginning of the 11th century and the 13th century. Even delimiting the period between the 11th and 13th centuries, we find 42 poets who marked this historical period. Moreover, if this enormous poetic production was known and admired by Fernando Pessoa at the beginning of the last century concerning Luís Vaz de Camões (1514-1580), we do not know to what the extent of his knowledge of the Luso-Arab poets of Garbe was al -Andalus. Even so, Luís de Camões had known influences from the Italian humanist Petrarch (1304-1374) and was one of the precursors of the Italian Renaissance.

Nevertheless, we find tremendous poetic proximity, whether in the theme - platonic love, nostalgia, destiny, the supreme beauty, and stylistic resources, with metaphors and style figures presenting opposing ideas. The approximation of things that seem distant to explain a concept as complex as love, thus find a certain verbalism with abundant explanatory phrases, personifications, antitheses, and apostrophes, between the author of the *Lusiadas* and Ibne Amar (1031-1086). They preceded him by about 500 years, and it is clear where they came from if there were influences.

We are aware of the influences on what is considered the Prince of Portuguese poets, Luís Vaz de Camões. However, it is mainly his poems, with their splendor, that gave rise to the First Renaissance in the Iberian Peninsula and, due to their perpetuity and relevance, will have made it possible for them to be sung by contemporary interpreters and musicians in the 20th and 21st centuries, such as Janita Salomé, Paulo Ribeiro, Eduardo Ramos, and others.

The word and its valorization through poetic art, a striking element in Islamic civilization in the Mediterranean space, thus assumes a central role as an element of our shared heritage (Alegria 2004, p. 43). We are also aware that in the areas of nautical navigation knowledge, in 1498, Portugal arrived in India by sea, initiating the global economy and globalization itself.

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# Tradition and innovation in assistance in Portugal; Funchal's Misericórdia in 16th century

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**ABSTRACT:** The traditional charity in Western Europe, which was a common practice in the Classical Period, but without an official support structure and hardly organized in a formal way, will have in the Modern Period, an extraordinary development and spiritual power (Christianity) combined with political power (modern states). Now, the charity innovates, in assisting the most vulnerable, in an organized, structured, and legally established form. In Portugal, at the end of the 15<sup>th</sup> century, Lisbon's Mercy House was created, and, in the new spaces of Portuguese's maritime expansion, we can see others Mercy's House such as Funchal's Misericórdia (Madeira Island). Here, we have an unknown territory, where everything must be started from scratch and what is traditional - the practice of charity - raises here challenges of adapting to a new reality - we highlight the words of Siza Vieira that can serve as a motto for this congress: "Tradition is a challenge to innovation [...], and it is important when it contains moments of change" - and we are now trying to innovate in the way assistance is structured and how the population is supported, with a socio-economic, and even professional composition, distinct from that which existed in Lisbon.

*Keywords:* Charity, Innovation, Funchal, Misericórdia, Christianity

## 1 TRADITION: CHARITY IN MEDIEVAL EUROPE AND ASSISTANCE IN MEDIEVAL PORTUGAL

Charity and assistance to the underprivileged was something that we could find from ancient times in Europe, but it was not organized formally. From the 12th and 13th centuries, Assistance was presented with a new force that was related to the influence of Christian doctrine and the advent of the modern state. Christianity has, in its very essence, a very strong connection to the practice of charity; see what Saint Paul wrote:

4 Charity suffereth long, and is kind; charity envieth not; charity vaunteth not itself, is not puffed up, 5 Doth not behave itself unseemly, seeketh not her own, is not easily provoked, thinketh no evil; 6 Rejoiceth not in iniquity, but rejoiceth in the truth; 7 Beareth all things, believeth all things, hopeth all things, endureth all things. (1 Corinthians 13:4-7).

Read the Acts of Apostles, the Epistles and, above all, the Gospel of St. Matthew, which make concrete recommendations and Christianity, showing the treasures of goodness that are hidden in the human soul, sought to «humanize,» paradoxically, humanity (Correia, 1944, p. 153).

The Christian West discovers the utility of poverty, now seen as a spiritual value that allows the

practice of charity and facilitates eternal salvation and makes it possible to flaunt the wealth of those who reach out. The concept of poverty involves a multiplicity of meanings and considers the ambiguity and ambivalence with which poverty and indigence are faced.

Michel Mollat (1973, p. 11-29) understands poverty as the deprivation of a good, which can be a permanent or temporary situation, voluntary or not, placing the person in a situation of weakness, dependence, and humiliation, deprived of the minimum means of subsistence, which change according to times and societies, with emphasis on health, money, and freedom.

The tradition of feeding the hungry is as old as humanity, and in the Iberian Peninsula we find traces of this virtuous practice in the distribution of bread by the Romans on festive days, and from there came the supplies offered to the poor for the remission of sins and the salvation of souls. Brotherhoods, Confraternities, and Corporations, religious and secular, are the institutions that come closest to the intervention and social assistance that will be the mission of the various Mercy's Houses (Misericórdias) that will emerge in the national territory. They closely follow the daily lives of those they intend to serve and are the result of associations of pious people who establish kinship



ties (artificial) and constitute what Tavares (1989, p. 101) calls the horizontal solidarities of prayer and charity between the living and the dead.

They act almost always in a new space - the city - because the cities, which are illusory and initially attractive, quickly reveal fewer positive aspects such as increased mendicity, almost non-existent hygiene, lack of work, social exclusion, which is urgent to fight and European crowns were aware that intervention was needed. It was up to them to create, organize, and guide assistance to those in need, which could so guarantee its sovereign power over institutions that have become true centers of power.

Portugal, born as a unified kingdom at the end of the XII century, will practice Christian charity, distinguishing its action according to the public - target and the specific needs of each community, and thus we find multiple forms of assistance. At the end of the 15th century, the kingdom witnessed the emergence of emblematic assistance structures: The Hospital Termal, in Caldas da Rainha (Caldas da Rainha's Thermal Hospital), the Hospital de Todos-os-Santos (All Saints Hospital), in Lisbon, and Misericórdia de Lisboa (Lisbon's Mercy House)<sup>1</sup>, all of them of royal initiative and clearly explain the will of the Crown to respond in an organized way to the assistance needs of the time, leveraging the existing resources and calling for the involvement of the faithful in this process. (Abreu, 2001, p. 591)

## 2 INNOVATION: THE WORKS OF MISERICORDIA - THE CASE OF FUNCHAL<sup>2</sup>

Endowed with an entrepreneurial spirit, the first settlers of Madeira had the Christian ideal in mind, looking for, in parallel with the discovery of the new territory, solutions to minimize needs.

In this insular world, the first interventions were private, later appearing, by royal interventions the Misericórdias of Funchal, Calheta, Machico, and Porto Santo, all respecting the rules of the Motherhouse in Lisbon.

The embryo of the future city of Funchal appeared very early, in the early days of colonization, on the

east side of the bay, in Nossa Senhora do Calhau (today Largo do Corpo Santo), which became a village in 1452.

The second half of the 15th century already showed a clear distinction between two areas: one centralized in Nossa Senhora do Calhau, the first nucleus of the settlement, with the humblest; and the other, in the west, focused on Santa Catarina, the base of the future sugar city, with the businessmen, highlighting Rua dos Mercadores.

The sugar city was officially born in the summer of 1508, and the prosperity from the sugar trade marked the differences, with more native population, more slaves, and more foreigners.

The gap between the privileged and the poor emerged quickly, the result of an economy based on the exploitation of sugar cane, and organized assistance was needed to assist the most disadvantaged.

Hunger and malnutrition are, traditionally, two evils to combat and that are aggravated in specific situations, such as during the cereal crises (always a recurring problem), with the return of the plague to the island in the 20s and with the attack of French privateers in 1566.

### 1.

Funchal's first hospital was Saint Paul's hospital, which took its first steps in 1454<sup>3</sup>, by the discoverer himself, João Gonçalves Zarco, and later managed by the Confraria de Nossa Senhora do Calhau (Nossa Senhora do Calhau's Confraternity), which will also superintend a second hospital in the same location. This brotherhood appeared from the initiative of some people from Funchal and is fundamental to understand the structure and functioning of the future Mercy since it maintained the same objectives and the same functions.

On August 21, 1477, Pedro Afonso, a shoemaker, and his wife, Constança Vaz, donated a floor on Rua do Boa Viagem to build a hospital to shelter the poor and assist the miserable, whose administration would oversee the Confraria de Nossa Senhora do Calhau, whose organization and functioning are now regulated.

The document that settled the rules and operation had foreseen the construction of a house with capacity for six beds to assist the poor (two in each bed) and sick (one per bed)<sup>4</sup>. In the early days, that Institution relied on the statutory body of the Confraria de Nossa Senhora do Calhau, which was markedly insular, and which helped to establish the foundations of Mercy's House<sup>5</sup>.

1. We chose not to translate the names of Portuguese institutions/positions/ streets and we give, in parentheses, in the first reference, the designation in English, when it's possible.

2. This article has as its main source manuscript documentation from Arquivo da Misericórdia do Funchal (Funchal's Mercy House Archive), especially the only two Livros de Receita e de Despesa (Books of Income and Expense) that we know for the 16th century (1571-72 and 1598-99). In this paper, we use ARM to designate Arquivo Regional da Madeira (Madeira's Regional Archive), and AMF, Arquivo da Misericórdia do Funchal (Funchal's Mercy Archive). All translations from non-English sources are the author's free translations.

3. ARM, AMF, book 420, p.19. The Chapel of St. Paul was also the invocation of St. Peters and, despite having established the seat of the parish of St. Peters, it was the first designation that has endured through the ages.

4. ARM, AMF, book 710, I, pp. 12v<sup>o</sup>-14v<sup>o</sup>.

5. The first Commitment of the Funchal's Misericórdia, that we are aware of, arises only in the 17th century (1631).

D. Manuel's interest in providing the island with organized and structured assistance was evident in the various pecuniary favors he offered to the Confraternity, which gradually widened its field of action and coordinated the Saint's Paul Hospital and Church and also the so-called Hospital Velho (the Old Hospital), in Rua do Boa Viagem.

2.

Costa (1964-66, p.16) states that, in the council session of 9 November 1508, the royal request for the foundation of a Mercy House similar to that of Lisbon was presented, a request that had no practical results and, in 1511, the king instructed João Fernandes D' Amil, Juiz dos Resíduos e Provedor (Judge of Residues and Provider) of Madeira's Hospitals and Chapels, to form the institution and recommended that judges, councilors, prosecutors, officers and *homens bons* (good men) provided all the assistance.

It was, in fact, at this moment that Funchal's Misericórdia appeared and started its functions, in a regular basis, probably circa 1515, receiving the church of Nossa Senhora do Calhau and the Confraternity itself - in the '70s, at Mateus Fernandes's plant, we found the first correct location of the Misericórdia and the Hospital, occupying the entire north side of the church of Nossa Senhora do Calhau - and it was only moved to the Terreiro da Sé around 1685.

The institution was described by Gaspar Frutuoso (1926, p. 109), at the end of the 16th century, as having rich workshops, alms, and charitable works, curing many sick and remedying many poor people: he stated that it was a wealthy, and a pious stop and a refuge for all.

3.

The organic structure and the way it worked follow the example of Lisbon's Misericórdia<sup>6</sup> with the necessary adaptations: the superintendence in the administration of the Mercy House was entrusted to the *Mesa* (Bureau), chaired by the *Provedor* (Ombudsman or Provider), who was assisted by twelve officers, the *escrivão* (register), nine advisers and two *mordomos* (*majordomos*).

The positions were annual (except for *mordomos de fora* - majordomos from outside - and *mordomos da Capela* - majordomos from the chapel), and the assembly met on Sunday afternoons and, if necessary, Wednesdays as well.

The most important day of Misericórdia's Funchal was Visitation Day, on the 2nd of July, with the election of the new Bureau, the entity responsible for the proper performance of the House.

The initial number of Brothers – one hundred - (the same as in the Lisbon's House), was quickly overcome. The reformation of 1618 and the Commitment of Funchal's House, in 1631, imposed two hundred brothers as the maximum, divided into two numerically equal groups: one hundred nobles (it does not mean blood nobility, but those who did not live on manual labor) and one hundred officers (those who lived on manual labor)<sup>7</sup>.

We found some women in the brotherhood due mainly to the fact that they were widows of Brothers, possibly not being considered as confreres in the true sense of the word.

It was a reality that the city had a much higher number of women in need. For example, in 1571-1572, in the list of almost a hundred assisted, we detected only nine men, a situation that was understandable since women lose their independence more easily and quicker, through widowhood, the death of the father or children, and there were little chances for them: admission into a convent, second marriage or alms from the Holy House.

All members of the Confraternity were entitled to medical assistance, financial assistance, and a solemn funeral ceremony, vowing to serve the House, owing obedience to the Bureau and carrying out the tasks assigned by it.

4.

The socio-professional category of the confreres has not suffered significant variations during the 16<sup>th</sup> century, and we found, on the one hand, those of "greater condition," elements of the notable families of the city, local administration, and business. "The other condition," the mechanical officers, were on the other side, standing out the shoemakers, *caixeiros* (the woodworkers) and *tanoeiros* (the coopers).

We emphasize that, traditionally, in the Misericórdias of the mainland, we also found the importance of the shoemaker highlighted. Here, on Madeira, the role of the *caixeiro* had particular relevance, and that was a novelty; there was even a Rua dos Caixeiros, which ran parallel to the sea, close the church of Nossa Senhora do Calhau.

The performance of this profession was linked to the trade of sugar and derivatives, which required several containers for storage and transport: boxes and barrels, above all, come out of the hands of *caixeiros* to store sugar, honey, candied fruits, preserves, and marmalade.

6. Lisbon's Misericórdia Commitment is published in several works. See a fac-simile edition in Serrão (1992).

7. Costa (1964-66, pp.94-239) presents an extensive analysis of the various reforms that Funchal's Misericórdia Commitment had, since 1516 (1564, 1577, 1582, 1618, 1631), which did not imply major changes in the organic structure, but rather increased the rigor in the admission of the Brothers, with very specific conditions that went far beyond the general determinations of the first documents.

On an island, for obvious reasons, the group holding power was much more restricted. It alternates between them holding positions, and, especially after 1515, it was possible to find individuals who occupied the position of Misericórdia's Provider several times: João Correia and Francisco Vieira, for example. In the 1530-40s, names were repeated more frequently, and we found elements of the Esmeraldo, Acciaioli, Mondragão, Correias, and Câmaras families, among others.

We recall that Funchal in the 16th century - and later in the 17th century - was a city with many rural brands, visible by the socio-professional groups that appeared on the institution's lists. In the city of wine and sugar, we found, without great surprise, that the renowned family names, that emerged in politics and administration, also occupied prominent places in the organization of the House and were still important benefactors. This interaction of politics, economy, and religion contributed to a social structure of great flexibility.

In the last decades of the 16th century (1589 and 1599), the Misericórdia's Provider was D. Luís de Figueiredo de Lemos, Bishop of Funchal (in 1585 and 1608), who stood out for his concern for the organization of the House, seeking for greater rigor in the registration of donations, for example.

Since the Provider was the leading figure of the House, the right functioning of the institution and the maintenance of the privileges and prerogatives granted by the Crown depended on him, benefits that rarely escaped the greed and envy of civil and ecclesiastical authorities.

As Misericórdia has become a true center of power, conflicts between representatives of the Catholic Church and local civil authorities, and of these with representatives of the royal power, which has always tried to guarantee its sovereign power over these institutions, were natural.

5.

The hospital work was one of the most critical activities of Misericórdias, and that deserved special attention, recommending the Bureau that one should never neglect the provision of hospital patients. According to the Commitment: of everything necessary with plenty, although in other expenses there was moderation, in this, it should always be the opposite (*Compromisso*, 1942, p. 24).

Thus, we found Misericórdia's Funchal superintending the old hospital (Rua do Boa Viagem) and the new one, next to Nossa Senhora do Calhau, institutions that provided medical assistance and care to the island's inhabitants and especially to the most disadvantaged and, for example, Vieira (1996) calls attention to the care of slaves, one of the groups with less rights but essential for the island economy.

To ensure the fulfillment of the various works of mercy and assistance, the House also had, in addition to the Bureau, a body of employees and collaborators

who, whether they were Brothers, whether they received a salary, help to achieve the objectives of the Brotherhood.

For example, some employees performed more specific tasks in the field of physical health: nurses, cleaners, barbers, physicists, and surgeons, among others, whose work was essential not only for the institution but for the entire island. An example of its importance: the physicist Daniel da Costa assisted the patients of the House from the 70s until almost the end of the 16th century when he revealed his desire to leave for Lisbon and the Funchal's City Council itself had made several efforts to persuade him to stay on the island, due to the great need that its residents had for him and his knowledge<sup>8</sup>.

We know that he was still in office until 1598 (because he appeared on the payment lists) and in July of that year a contract was signed with a new physicist, Jorge de Castro, who seems not to have shown efficiency and, in the same year, he was replaced by Miguel Fernandes, born in Castelo Branco<sup>9</sup>.

6.

In the early days, the House's revenues depended almost exclusively on alms from private individuals and the Crown.

The legacies and inheritances that it started to receive and manage were the source of earnings of the House, which had a considerable material patrimony, allowing leases, savings, and sales of properties.

In the middle of the 16th century, the rents for the properties of Misericórdia's Hospital were around 70,000 réis a year, and we do not know the value of the other sources of revenue; in 1571-1572, they approached 220,000 and, in the last years of the century, they reached almost 800,000, mainly due to the existence of more leased and rented properties.

In the '70s, *foros* (rents) corresponded to about 26% of total revenues, and, in 1598-1599, they exceeded half of them (64%)<sup>10</sup>.

This rise resulted from population growth which, together with an increase in population density, in the city of Funchal and its term, contributed to an increase in the number of poor people and, according to the 1598's census, we found almost a thousand poor people assisted by the Misericórdia in about 2,000 houses and 8,000 "souls of confession." In contrast, previously, according to Carita (1991:235), in 1571-1572, they were around 800.

8. The initial contract was signed in July 1571. See ARM, AMF, book 161, p. 145.

9. Information about Jorge de Castro, see ARM, AMF, book 492, p. 125-125v<sup>o</sup>; the contract with Miguel Fernandes appears in p. 151.

10. According to data from Livros de Receita e Despesa (1571 -72; 1598-99), ARM, AMF.

Funchal's Misericórdia survived by solidarity and by the Christian spirit of traditional mutual aid, collecting most of its revenue from the various properties left to the poor, the real owners and heirs of these assets, and with whom the House spent most of its earnings.

The various catastrophes, natural and human that hit the city in this period influenced the behavior of its inhabitants, and the fear of the Last Judgment and God's punishment were reflected in many of the donations that were made to the poor.

While it is true that, in theory, charity should be uninterested, in practice -and traditionally - one always expects reciprocity from the offer that is made, and this is a complex behavior, difficult to know and apprehend in all its extent.

### 3 CLOSING REMARKS

The time of the Portuguese Discoveries was one of the most significant challenges to Tradition, leading to Change and Innovation, revealing to the world — quoting the Portuguese mathematician Pedro Nunes - new islands, new lands, new seas, new peoples, and what is more, new sky and new stars.

The overseas expansion showed Portuguese courage and entrepreneurship, but also led to finding new answers to old problems and, using a structure that already existed in Portugal's Mainland, here in Madeira, the past was articulated with the present, thinking about the future.

The old and traditional problems of humanity - hunger, misery, poverty - are now viewed innovatively, according to an organized structure, and responsibility lies with both the Church and the temporal power.

Funchal's Misericórdia was simultaneously inheriting a tradition (assistance and charity in the western world) and innovation (the Lisbon's Misericórdia and the adaptation to the island space).

Tradition and innovation were thus two vectors in constant dialectics on the island of Madeira, establishing a dynamic that led to transformations and adaptations, which generated imbalances and conflicts, but also allowed for positive evolution, taking advantage of what Tradition could contribute to a more just society, in a new time and a new space.

### ACKNOWLEDGMENT

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# Portuguese India in a reassessment of the conception of empire; Luís Mendes de Vasconcelos, 1608

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**ABSTRACT:** Luís Mendes de Vasconcelos publishes in 1608 *Do Sítio de Lisboa. Diálogos* [About Lisbon. Dialogues]. He hoped that King Philip III of Spain, and II of Portugal, would turn Lisbon into the head of the Hispanic Empire. It situates the Dialogue between an advisor to the king, a captain, and a philosopher in the reign of D. João III, drawing inspiration, as we affirm, from historical figures of that time.

Was Luís Mendes de Vasconcelos an arbitrator (arbitrista)?

His ideas extended to the Portuguese East. He developed a reform project that could make Goa the seat of the State of India (Estado da Índia), a major power, if it attracted more Portuguese settlers through trade. At the same time, it would relieve the metropolis of continuous expenses. The author also developed strategies to solve the failure of the Crown as a commercial agent.

Although with some political considerations on monarchy (against tyranny), his discourse has the main objective of valuing a less Castilian concept of Empire. Instead of an Empire of conquests, by valuing Lisbon and thinking about reforms in the Empire of the East, he is thinking about a great maritime and commercial Empire.

**Keywords:** Spanish empire, Portuguese Orient, Arbitrator, Reform project, Luís Mendes de Vasconcelos

In the context of an empire spanning four continents, under a dual monarchy since Portugal and Spain came under the same king, Luís Mendes de Vasconcelos in 1608 reassesses in his work *Do Sítio de Lisboa. Diálogo*, the eastern space of Portuguese intervention and the best strategy to enhance its value while benefiting the metropolis.

From his words, one does not detect any sadness about the actual sovereignty of King Filipe III of Spain in Portugal, as King Filipe II, but he shows, powered by love for his motherland (Vasconcelos, 1990, 23) what would be more beneficial for the Republic (*res publica*) as well as the outcome of disaster from a tyranny.

He also refers to the binomial war and heroic deeds for personal prestige only (which would characterize the conquests of his time in the East) and truly glorious action for the greater dignity of the Republic, that is, for its conservation and prosperity that would arise from a development of the maritime commercial network in India with the attraction of settlers.

At stake is clearly the conceptual definition of the empire itself. Should this empire be fundamentally based on military conquests, as is traditionally the case with the Spanish empire and as was the case with the Portuguese empire since the sixties of the 16th century, under the government of King

D. Sebastião (Subramanyam, 1995), i.e., in a period before the dual monarchy (succession of Filipe I recognized in 1581 at the Cortes of Tomar)?

## 1 THE CHOICE OF PARTICIPANTS IN THE *DIÁLOGO*

Curiously Luís Mendes de Vasconcelos, although influenced by a later reality, his contemporary, situates the dialogue between a Politician, a Soldier and a Philosopher, in the time of King D. João III, the first being a close advisor to the monarch, the second a captain and the third a wise man. Is it possible to identify these characters, as Luís Mendes de Vasconcelos' scholars usually do, with real figures from the government of King D. João, as possible archetypes?

The Politician would then be inspired by D. António de Ataíde (c. 1500-1563), Count of Castanheira, Advisor and Vedor of the Royal Treasury (Cruz, 2001), in fact, Luís Mendes de Vasconcelos' maternal grandfather. Is there any basis for this identification?

Luís Mendes de Vasconcelos was actually the son of João Mendes de Vasconcelos, *Morgado* of Esporão and commander, who in 1534 defended the postponement of the drastic decisions to withdraw from some Portuguese positions in the Maghreb, and

of D. Ana de Távora, daughter of D. António de Ataíde. We have little knowledge of his biographical data. His date of birth is unknown (around 1542, according to Diaz-Toledo, 2016). He printed *Do Sítio de Lisboa* in 1608, a work that reveals his training in the classical authors and philosophers of antiquity, as well as more contemporary thinkers such as Giovanni Botero, and in 1612 he printed the *Arte Militar*, clearly the result of his years of experience as a military man and major captain of the armadas of the East, and prepared other works, including literary ones. These would include a *Conquista da Índia oferecida a El-Rei*, mentioned in the Dialogue of 1608, and a *Tratado de la Conservación de la Monarchia da Espanha* (Treaty on the Conservation of the Monarchy of Spain), offered to the Duke of Lerma.

Although the criticism of the current policy in India (which, as we have said, he places in more remote times) is present in the Philosopher's discourse throughout the 1608 work, an alternative project for reform is only fully articulated at the end of the first Dialogue, in the discourse of the Politician. So, what do we know about Conde da Castanheira's positions in relation to India and his thoughts on the reorientation of royal policy?

In times of great controversy during the reign of King D. João III with regard to the international situation, the costs of overseas expansion and, more specifically, the direction of the policy to be developed in the Maghreb, we have information on the opinions of D. António de Ataíde. We find the definition of his position at two different times (1534? and 1541) in the work of Frei Luís de Sousa, an author who would have had access to the list of memoirs and documents of Conde da Castanheira (Sousa, 1938, II, 210-211, 314-317 and 276).

Considering what we suppose to be the reduction of the places in North Africa since 1532, D. João III asked in 1534 for advice to councilors, men experienced in expansionist politics and cities, because of the Algerian and Turkish threat over the western Mediterranean (and danger of crossing the Strait of Gibraltar) and the growing power of the Sheriffs of Morocco and Suz over the Kingdom of Fez and the Portuguese Atlantic possessions (surrounded, dependent on maritime aid from the Kingdom, Madeira, or the south of the peninsula). In addition to the (secretive) financial factors to be considered, there was also a future strategic assessment of the Maghreb: intervention from the North or South, when conditions allowed it; the complete withdrawal of several fortresses or the maintenance of hill-top fortresses (Cruz, 1998).

In 1534, the Conde da Castanheira favored withdrawing from places that did not bring benefits and, on the contrary, lost people and money. Later, in 1541, when a new consultation took place after the loss of Santa Cruz do Cabo Gué. For the Advisor

and Vedor of the King's Treasury, it was of greater use to invest in the East, where, by way of trade, the Kingdom had more revenue (Cruz, 1998, 62 and 67).

We are not therefore surprised that D. António de Ataíde inspired the figure of the Politician in Luís Mendes de Vasconcelos' Dialogue. We will explain a little further on which reform project he explains in *Do Sítio de Lisboa*. It should be noted, however, that in the work of 1608, the abandonment of India was unthinkable, even though it was considered to be in decadence and harmful to the Kingdom and Lisbon. There could be no turning back in the East, given the money invested and the advance of the propagation of the Christian faith.

As for the Soldier, in fact, a captain, who initially valued the deeds of war and the conquest of India, but ultimately was a supporter of the reform proposed by the Politician for the maritime and commercial development of India, could he, in fact, be inspired by Martim Afonso de Sousa (1500-1564)? We believe so, given the experience of this figure in the Empire of King D. João III.

Martim Afonso de Sousa, very close during the rearing of the future monarch and with scientific and military training, stood out first in Brazil and then in the Orient. On the American continent, where as captain-major of the armada he helped to keep the French away from the coast, he was able to significantly increase his knowledge of the territory with a view to organized settlement through explorations of the coastline from 1531 onwards, achieving discoveries and encouraging the settlement of settlers, and subsequently obtaining captaincies in Brazil.

In the Orient, he was Major-Captain of the Indian Ocean from 1534, with important military actions being attributed to him, and again in the Orient from 1542 onwards, for three years he was governor, in a sometimes controversial act of favoritism of relatives and clients, private business and trade, violent actions and the reorientation of government from the West Indian Ocean to the Gulf of Benguela, Southeast Asia and China (a less centralized Empire), using various strategies to face the financial crisis (Subrahmanyam, 1995). Later, Martim Afonso de Sousa joined the royal council with particular intervention in the sixties, during the regency of D. Catarina when King D. Sebastião was a minor.

Finally, as for the Philosopher, despite some reticence on the part of several scholars (Alves, 1990), we believe it is entirely plausible that he was inspired by Jerónimo Osório (c.1506 -1580), a humanist with a passion for classical antiquity, trained in the arts, civil law, philosophy and theology, a great prelate interested in the socio-political problems of his time, historian and doctrinaire, with a substantial body of work of international fame (Bell, 1933; Ferreira, 1959). He wrote a chronicle in Latin for King D. Manuel (Lisbon, 1571), dedicated to Cardinal D. Henrique, about the Portuguese fighting in the East

for control of the seas, translated into English (1572), French (1610), and only in the nineteenth century into Portuguese (Osório, 1804-1806). He pronounced, in a letter to King D. Sebastião, in 1574, about his intervention in North Africa, a fact that contemporary historiography continues to problematize. He also intervened in writings about the succession to the kingdom in 1580 (Pinho, 1992).

Any of these historical figures still deserves specific research, all the more so because, in their time, they were the subject of controversial disputes or controversial interpretations that were not always sufficiently clarified. Perhaps, for this reason, they inspired Luís Mendes de Vasconcelos in the construction of the 1608 Dialogue, published at a time of guidelines not unfamiliar to the Spanish model of territorial enterprises and which had already been taking shape in the long term, including during the minority of King D. Sebastião, under Castilian influence, or, later, during his personal government (attempts at territorial expansion that were often fruitless). Of course, the many changes that occurred after the seventies and the interest in territorial initiatives would have been conditioned by various factors. In the East, we should not forget the vicissitudes in the State of India, whether caused by rival maritime networks that had emerged in the meantime, or brought about by changes in Portuguese inter-Asian trade itself (greater privatization). As Subrahmanyam states, it is the Crown that enters into decline as an agent of trade (Subrahmanyam, 1995, 200).

## 2 OFFICIAL OPINION ON A REFORM OF THE INDIAN STATE

The Soldier stressing the glory (through hard work) that the conquest of India represented and the Politician counterarguing that the true glory of the Republic or of the Kingdom, besides the propagation of the faith, is the consolidation of the means for its conservation, a long debate develops where the philosopher expatiates on wisdom and utility. At a certain point, he states that it is useful to have wealth, money and gather great novelty from the fruits of the earth (Vasconcelos, 1990, 56), and the just prince should seek common utility, constituting a single body with the Republic.

The Dialogue clearly defines political principles opposed to any kind of tyranny and financial exploitation of the people, advocating instead a prince who is loved and obeyed by his subjects, who provides for the enrichment of friends in order to become rich and who enhances the Republic because he himself adds greatness and reputation (Vasconcelos, 1990, 60-61). In other words, by exploiting the people, he gradually takes away their ability to cultivate the land and develop trade.

The Philosopher, referring to Plato, reminds us that wealth and poverty corrupt the Republic

(Vasconcelos, 1990, 67), which refers to the composition of the governed subjects and the rulers. Money and diamonds, as well as the spice trade (Vasconcelos, 1990, 69), by themselves would not be useful. On the contrary, anything more than what is necessary to remedy the needs could harm a prudent government. The Republic is therefore interested in laws, justice, prudence, and the things necessary to preserve human life (clothing, food and weapons).

Luís Mendes de Vasconcelos, always using the Philosopher, ends up by explaining how fundamental to sustenance are plowmen and fields of cultivation or to graze cattle, to clothing are to craftsmen, architects and masons. For defense against the enemy, men fit to be soldiers (Vasconcelos, 1990, 71).

The conquest of India had not only failed to provide fields for sowing and cattle breeding but had also taken away the men who were dedicated to these trades. Lisbon, in fact, had grown, but not the Kingdom. The city had actually grown but mainly due to the characteristics of its site and to being very favorable for trade, increasing the population by way of the number of merchants.

In contrast to the conquest of India, which was continually consuming men, Brazil and the Islands, which were settled at once and were fertile lands, supplied the Kingdom with wheat, pastel, sugar and other goods and meant little expenditure. Distinguishing trade from conquest, Luís Mendes de Vasconcelos concludes through the Philosopher that the conquest in itself is harmful, but the Kingdom should take advantage of trade with the moderation convenient to political states and to the faith we profess (Vasconcelos, 1990, 76). This means that maritime and military achievements should be developed only to ensure trade and, along with it, provide conditions for missionary work. We are not surprised by such statements knowing the phases and conditions of the propagation of the Catholic faith in Eastern regions, including Southeast Asia and East Asia, where commercial activities provided to a large extent, approximation with communities and with political entities more favorable to conversions (Leão, 2015; Leão, 2016).

A key question finally arises from the Soldier's speech: should India then be abandoned since it no longer seems useful?

It is mainly the monarch's advisor, the Politician, who, in fact, had exposed to the king, days before, according to him, an opinion about the conquest of India (Vasconcelos, 1990, 42), who will answer this question.

His discourse explains an entire reform project. Abandoning India is no alternative, given the investments made and the fact that it is a land where Catholicism is widely spread. As mentioned above, the truth of the matter is the bankruptcy of the Crown as a commercial agent.



The historical context confirms these circumstances. For a long time, the Crown has been uncertain about the best solution for the pepper trade, swinging between a direct monopoly and leasing it to Italian, German, or New-Christian companies (Disney, 1981), without this meaning that land routes supplanted the Cape Route. It was only at the beginning of the 17th century that the Portuguese lost their dominant position, but because of the use of the same route by the Dutch and the English, who tried to combat the competition with various expedients, which were more or less long-lasting (Disney, 2010-2011, II, 250-251).

It should also be noted that in 1602, a time very close to the writings of Luís Mendes de Vasconcelos, the Crown (control of Castile despite the conditions established in the Cortes de Tomar) diverted five hundred thousand cruzados from Lisbon from the sales of pepper. The purpose was to help finance the war in the Netherlands (Disney, 2010-2011, I, 316).

Now, through the Politician, Luís Mendes de Vasconcelos proposes an extraordinary extension of the private trade of the Portuguese in India so that they could sail with their ships by means of several exemptions and privileges. It should be restricted to two ships, armed and carrying the king's pepper, for greater safety at sea and from enemies.

The main aim would be to develop Goa by attracting the Portuguese scattered in Asia through the lands of the Barbarians (Vasconcelos, 1990, 78), increasing the population and regularizing the armies to control the seas and the production of the land. However, one should reflect critically here, as Disney underlined when speaking of the borders (*fronteiras*) of the State of India. The communities of Portuguese ancestry are important, which, located outside Portuguese administration, nonetheless played an important role in the connections of circuits and intervention entities (Disney, 2001).

But let us continue to follow the Dialogue and the Politician's explanation. As the number of Portuguese merchants and trade grew, a greater pacification of the natives was expected, as well as a substantial increase in the king's revenues and those of the House of India (Casa da Índia). In Lisbon and in the Orient, the duties would be paid for goods brought in and goods taken out.

The settlement of the State of India (Estado da Índia) by the Portuguese thus seems to be one of the fundamental strategies for the success of the reform project. This settlement would result from a taste for the land, favorable trading conditions, and a desire to serve the king, which would save him a great deal of money spent on soldiers sent every year. Luís Mendes de Vasconcelos does not explicitly refer to married men (*casados*). However, this reality should be underlined in several areas of Portuguese settlements in the East, assuming activities and interests

according to the characteristics of local axes (Doré, 2011; Pinto, 2021; Lobato, 2013).

The greater frequency of navigation, although subject to monsoons, would facilitate, according to the Dialogue of Luís Mendes de Vasconcelos, both a more frequent communication of information about events in India, as well as more contacts with the African coast, the Cape Verde Islands and Brazil. Moreover, if armed, the ships would constitute a growing maritime power. The king could send the necessary soldiers on private ships or even without them.

The Politician concluded that when Goa and India were so powerful that they no longer needed the Kingdom's help for their security, then their conquest would be worthwhile.

### 3 LISBON'S CLAIM TO BE ONCE AGAIN THE HEAD OF AN EMPIRE, BUT A MARITIME AND COMMERCIAL ONE

If the development of navigation and trade were fundamental for the security and a certain autonomy of the Indian State (Estado da Índia), it was even more important for Lisbon, which had always been enhanced by navigation, trade and conquests, as a port of arrival and departure of Portuguese and foreign ships from all over the world, to recover its position as the head of an empire which, under the dual monarchy, called itself the empire of all the earth.

In the concept developed in the Dialogue of Luís Mendes de Vasconcelos, Lisbon would be the best-suited city for activities linked to the sea, by virtue of its safe ocean port, capable of receiving ships of any draught and of the intense commercial activity both to Europe, the Mediterranean, as well as to Africa, Asia and America, and its countless foreign visitors that add to its abundant population.

It would also be the most suitable city to host the Court, once sufficiently perfected (for peace and war), receiving the most precious goods in the world and manifesting the best recreations (Vasconcelos, 1990, 23). He affirms this from the beginning. But he will further develop in the first and especially the second Dialogue the preferential characteristics of Lisbon, also due to the health of the climate and the air, the fertility of the fields, the ease of supply of everything necessary for life (from food, clothing, housing to rest and leisure activities)...

Naturally, he wanted the monarchy to be redirected towards the maritime aspect, as well as to claim that the monarch's presence would bring to Lisbon all usefulness, with the king wishing for the conservation and increase of his States (Vasconcelos, 1990, 24). From the increase of Lisbon's population (in the same logic that he referred to Goa above) would come greater lordship, especially if the monarch, an example of virtues for social discipline, would make it his permanent residence.

This position of Luís Mendes de Vasconcelos is part of an ensemble of opinions that were also developing in favor of Valladolid or Madrid as the capital of the Spanish Empire (Díaz-Toledo, 2016).

Of course, to accomplish this project, all the potentialities of the city would have to be developed (Vasconcelos, 1990, 41). The author does not lack ample proposals during the second Dialogue of his book.

Lisbon, as the gateway to the whole of Spain and Europe, would have been the disseminator of the great discoveries and from it, the news would circulate to the various nations. It was convenient for it to expand even more in conquests and empires, easily sending large armies and powerful armadas to various parts of the world (Vasconcelos, 1990, 34). Clearly, the author is, in this passage, meeting the expected of an empire such as that of King Filipe III of Spain, II of Portugal. However, pages later, he states that it would not be necessary to make conquests or venture armies to bring to this city fleets laden with silver and gold (Vasconcelos, 1990, 41), recalling Mina and the Monomotapa trade or even Brazil (fertile and not barren of silver and gold, according to testimonies).

#### 4 FINAL CONSIDERATIONS

Can we consider Luís Mendes de Vasconcelos an arbitrator, one of those authors of reform speeches, numerous in Spain, who presented their projects to powerful figures in exchange for advantages (Dubet, 2003)? Perhaps so, if we pay attention to the works left in the manuscript or only referred to, as we said above. Luís Mendes de Vasconcelos addressed speeches to the King or to great political noblemen. Could these speeches, which aimed at government reforms and showed the author's military qualities, have something to do with his appointment as colonial governor, that is, Governor of Angola between 1616 and 1621? It is plausible.

Although *Do Sítio de Lisboa. Diálogo* is not a book dedicated to any powerful person, in particular, the author expresses the desire that the work ought to go from hand to hand until it reaches someone influential with the king. It is true that in the words of the Politician, the author shows some disappointment that the advised counsel was not actually listened to at the time (Vasconcelos, 1990, 80). However, we can deduce from the speeches he left in his manuscripts and from this *Dialogue* in particular that Luís Mendes de Vasconcelos did not lose hope, revealing himself to be a Portuguese voice in the set of opinions for a reform of the Hispanic empire at the beginning of the 17th century.

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# Oil, water, and the Russian narratives of heritagization through times and spaces

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**ABSTRACT:** The history of oil in Russia is a well-established narrative that was initiated by the Nobel brothers, who in 1879 founded the Branobel company, soon to become the Russian largest oil-industry. This article suggests reflecting on the anniversary books that the Branobel published to celebrate their 25- and 30-year jubilees in 1904 and 1909, not long before their oil Empire was washed away by the 1917 Bolshevik Revolution. I analyze the narrative that the Nobels produced while forming grounds for the new world order that still floats today on the sticky waters of the ‘black gold,’ and that caused the crucial change in human-nature relations.

These relations have been recently challenged in search of a new means of sustainable existence that allow to drain the dependency on oil and establish a new world order for the sake of protecting nature from its own dangerous resources. Yet these efforts are far not limited to the development of the green renewable natural resources and require political, ideological, and cultural reconstruction of contemporary social and natural landscapes. Hence, the study of the origins of the oil history is essential to the analysis of the mechanisms behind oil’s rise from being merely a natural resource to a political and cultural legacy that identifies the world’s ‘superpowers,’ outlines their political ambitions, and conditions their ideologies.

*Keywords:* Nobel family, Oil industry, Cultural heritage, Natural resources, Water systems

## 1 PROLOGUE: WATER, OIL, AND THE GROUNDS FOR THE NEW WORLD

Water has been the main resource for all life on Earth, serving the circulatory system that organized spaces and landscapes of all human civilizations. Since the late 1800s, another ‘blood’ system, that of the oil, became formative for the rise of the new world order. The industrial production of oil products changed social, political, cultural, and natural landscapes around the world, and yet that happened with the strong support of and reliance on existing natural and artificial water systems that delivered oil from its birthplaces to the most remote spaces, changing their natural and cultural geographies. The discovery of the rich oil fields in Azerbaijan in the late nineteenth century and their further industrial appropriation boosted the economic and technological development of the Russian Empire for many decades ahead. Oil became the strength and the curse of these territories. Since the 1970s, the dependency of the USSR on oil was also instrumentalized in a cultural, ideological, and even moral sense, still outlining the political stance of contemporary Russia and the post-Soviet states. Oil remains not only the

main object of exploitation but the major subject of manipulation, a transformative power that sustains Russian political interests and nurtures its neo-imperialistic ambitions.

## 2 OIL AS THE CULTURAL RESOURCE

It was not until the late Soviet times that oil was appropriated by cultural, literary, and artistic practices. Maria Engström, in her article “Oil in contemporary Russian art,” notes that it was in the 1970s in the USSR that oil became a raw cultural concept and served as the basis for new ideological myths (Engström, 2019).<sup>1</sup> The post-Soviet Russian literature explores oil from within the discourse of its implied ambivalence, whereas, as Ilya Kalinin puts it in his work “Russian petropoetics: literary products of oil refining” oil becomes the material for the synthesis of national identity (Kalinin, 2019). The Western tradition that Kalinin draws from the 1927 novel “Oil!”

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1. In this essay only the articles in Russian language are referenced with my translation.

by Upton Sinclair identifies oil as the cause of alienation between man and nature (Kalinin, 2019). He argues that the representation of oil as the curse and the threat still dominates the Western social, economic, and cultural discourses. Writers, filmmakers, environmental activists, and political scientists focus on the self-destructive effects of a civilization built on the consumption of petroleum products, highlighting the strong correlation between resource dependency (“the oil curse”), authoritarian rule, low investment in human capital, and the militarization of foreign policy (Kalinin, 2019).

The Russian discourse is much more polarizing, Kalinin notes. Along with the ‘Western’ recognition of the threats that oil conceals, it fuels the patriotic rhetoric, praised as the common national legacy (Kalinin, 2019). The threats lurking at the bottom of oil wells still leave room for faith in its saving power, inscribing the source of poetic language and human memory - what Kalinin calls petropoetics - into the layers of the earth’s crust and the energy hidden in them, reconciling history and geography through reference to geology (Kalinin, 2019).

The petropoetics identifies oil as the highest form of organization of nature; it is ‘the blood of the Earth,’ ‘the black gold’ that takes the role of the driving engine of the history itself. Petropoetics, Kalinin concludes, is, therefore, the metaphysical product of cultural refining of oil that provides ideological space for the enrooted socio-economic practices of petropolitics (Kalinin, 2019).

The moral aspect of the cultural history of natural resources is highlighted in the recent book by Alexander Etkind, “Nature’s Evil: A Cultural History of Natural Resources” (Etkind, 2020, 2021). The global history of raw natural resources is narrated by the main historical characters, the ‘resources’ themselves: from grain and hemp to fur and oil, giving their ‘Russian’ perspective of the story. Nature here is a participant in the timeless argument about ‘the nature’ of good and evil and what distinguishes one from another. Each natural resource, Etkind argues, possesses a specific political quality, hence conditioning political institutions and sustaining the development of civilization with all its good and evil, outlining the course of global history and relations between humans, nature, labor, and state.

### 3 THE LIQUID MODERNITY

Oil has gone a century-long way of transformation from being a mystical supplier to the followers of Zoroaster with eternal fire to an essential commodity and material of endless products; from being an object of discovery and exploitation to being a subject to political bids, a reason behind wars, and a ground for cultural revolutions and regime changes. Simply speaking, oil had sled smoothly and

quickly from being a natural resource to becoming a cultural resource, transforming from a natural material to a metaphysical category.

Oil is used to distinguish between good and evil, the irresponsible and the cautious; it still underlies the slippery and sticky reality of today, what Russian contemporary artist Andrei Molodkin articulates as the “Liquid Modernity” in the name of his 2009 project and which Maria Engström suggests was a direct connotation to the Zygmunt Bauman’s sociological theory of liquid modernity (Engström, 2019), - a new coming era of fluid uncertainty, of the culture of continuous becoming and social exclusion (Bauman, 2000).

In his “Liquid Modernity” project, Molodkin uses crosses or prison grids made of hollow transparent pipes half-filled with dark blood, which can also be referred to as oil, which he calls ‘the blood of globalization’ (Engström, 2019). These art pieces are inspired, to the words of the artist, by the aesthetics of prison (‘zona’), military, and other disciplinary institutions, since in them, as Engström notes, the viewer cannot easily see loyalty to Soviet constructivism, but also physically feel the bloody trail of political ideologies (Engström, 2019).

### 4 OIL AND WATER: THE CULTURAL HERITAGE

Oil became the cultural heritage within decades of its industrial exploitation, while water had been the one for thousands of years. Its symbolic, cultural, and historical legacy is unquestionable. Yet water is so essential that even though it has been one of the basic commodities of all times and spaces, it is hard to imagine water being upraised as the ‘new gold’ or the ‘new blood’ of the modern civilization even at the brink of ecological crisis

Since the freshwater resources have been so unevenly spread, separating the world into ‘first,’ ‘second,’ and ‘third’ classes, their lack in the ‘third world’ countries have not been paid much attention from inside the media spaces of the ‘first’ world and the countries with the largest reserves of freshwater, such as Russia. Hence, the rather shocking news that American Wall Street introduced a new commodity: water, to the futures trading made the headlines of many media back in December 2020; as CNN put it then: “water has never been traded this way before” (CNN, 2020.12.07).

The problem of fresh water in Central Asia, including Azerbaijan, has been as old as the region itself. On the other hand, countries like China, which hold one of the top places among countries with the largest freshwater stocks, have many of their natural water resources polluted and suffer from frequent and devastating droughts. In recent years China has offered Russia some projects to supply Chinese arid

regions with the freshwater from Baikal Lake by building the 2000-km long pipeline that would divert water from the world's deepest freshwater reservoir and bring it to the Chinese north-western region to supply the city of Lanzhou (Simonov, 2017). Another scandalous project that heated media in 2016 and 2017 was provoked by negotiations between the Minister of Agriculture of Russia Alexander Tkachev with his Chinese colleague Hán Chángfū about diverting the 'excess' of water, especially during the periods of spring floods, from Siberian rivers Ob and Irtysh to China through the territory of Kazakhstan, which also lacks fresh water.<sup>2</sup>

Even though such projects are far from being realized, raising concern among ecologists and local population, the whole agenda reminds us of the utopian experiments with Siberian rivers reversal projects from the 1930s, which aimed to supply the thirsty Central Asian Soviet Republics with fresh water instead of simply 'wasting' it to the Arctic Ocean. These talks and negotiations demonstrate the still strong commitment to the ideas of legitimacy and the positive attitude towards industrialization, instrumentalization, and administration of natural resources that ultimately alter local ecosystems and can be used as instruments of political and economic pressure. This global approach to the natural resources as material for appropriation and exploitation has developed since the era of industrial revolutions and still plays its role in the most recent confrontation between Russia and the West that reached its hot peak after the Russian military invasion in Ukraine.

The Russian possession of the world's second-largest stock of renewable freshwater resources (after Brazil) raises concerns about whether water will become *the next* resource-curse for Russia, as the environmentalist Eugene Simonov puts it (Simonov: 2017). Water - the '*new oil*' is an expression that has already become popular in media along with the famous saying that '*people is the new oil*,' ascribed to Sergei Ivanov, Russia's former Prime Minister, and Defense Minister, and currently the President's special representative on the issues of environmental activities, ecology, and transport.

Measuring natural resources, such as water and human resources, by oil demonstrates the goods and evils of the contemporary global civilization and identifies relations and priorities between humans and nature. The traditional roles seem to have shifted, if not changed. The modernist aesthetics and especially its interpretation by the Soviet Avant-garde through the prism of communist ideology referred to humans as masses and a natural resource, placing the collective ahead of the individual. The people hence became

another resource that had to be mined and refined under the aim of constructing the future that, in the end, had never been fulfilled. However, the attitude towards people as a resource and towards oil as a magic wand or a kind of philosopher's stone, as Kalinin articulates it, has been preserved long past the collapse of the USSR, since metaphorically, oil, as Kalinin continues, is necessary to turn any metal into gold or to prepare the elixir of eternal life. In other words, oil materializes financial capital - a universal political and economic phenomenon (Kalinin, 2019).

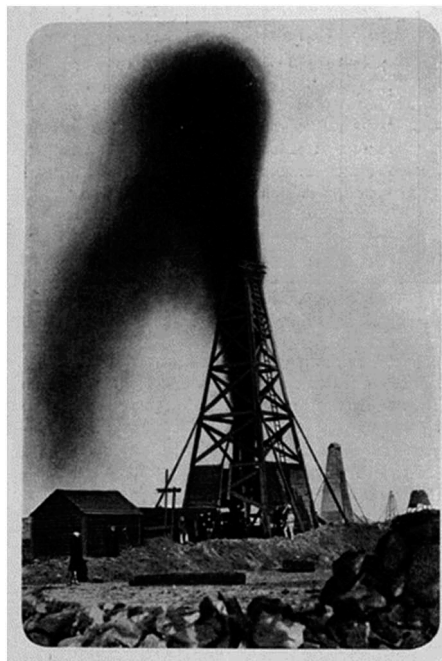


Figure 1. Oil Fountain. Source: Illustration from the Anniversary Edition "Celebration of the Twenty-Fifth Anniversary of Association of Brothers Nobel. 1879-1904." p. 66.

Yet, at the beginning of its transformation from the natural to the cultural resource and political capital, oil severely depended on water. It is hard to imagine more controversial and contradictory liquids from chemical and economical to political and cultural perspectives than water and oil. The heritagization of water began thousands of years ago as it laid at the core of all human civilizations, while oil became the cultural legacy only during the last hundred years. This does not mean that oil was unknown or did not participate in cultural production until the end of the 1800-s. In Southern Caucasus, oil was known for many centuries and used for heating, lighting, and medicine for all sicknesses. Oil was used as raw material, just like water; it was a resource, not a product of refining by humans. Oil was a gift of

2. <https://wwf.ru/about/positions/o-perebrose-vody-v-kitay/>

nature used by locals through extensive mining by drawing buckets from natural or hand-made wells. Hence, the traditional oil consumption was similar to the traditional water consumption, done by gathering what the Earth had exposed to its surface.

## 5 THE MYTHOLOGY OF OIL AND THE ESSENCE OF WATER

Another aspect of oil's cultural legacy is mythological and religious. Yet, what differentiates oil from water in its symbolic value is that water is valued for its own qualities. As articulated by the ancient Greeks, it is one of the four essential elements of life, along with earth, air, and fire. It does not require refining, and all its miraculous transformative qualities of becoming a different substance – solid, fluid, or gas, are given by nature (or God) explicitly, once and for all. These most used qualities of water were not discovered in scientific laboratories; the nature-God demonstrates them to humans every day. This ability of water to transform from one state of matter to another and back numerous times, whether as part of a natural cycle or under human manipulations, as well as its accessibility and crucial importance to all living organisms on earth, has produced a type of mythologization and heritagization of water that is substantially different from that of oil.

In ancient mythologies and religions, oil is not valued as a matter in itself; it is valued for its qualities and ability to support eternal purifying fire - one of the four basic elements of life. Hence the ancient Greek myth of Prometheus, who, as believed, used oil to bring eternal life to the people, employs oil only indirectly or omits to mention oil altogether. Same with the eternal fires spread around the Absheron Peninsula in Azerbaijan that were caused by the natural release of oil and protected by the followers of Zoroaster within fire worshippers' cathedrals as sacred and purifying. In these and most other cases, it was the fire, the source of life, and the symbol of purification that was treasured, and not the oil as the substance that conditioned the fire's eternity, as this condition was either not known or not recognized in favor of the fire's divine origin.

The heritagization of oil and, as a result, its transformation from the natural to a cultural resource began already after its industrial appropriation. It was in that very process of human intervention into the bowels of the earth, the moment of penetration as a symbolic act of nearly sexual acquisition of mother nature, where the core of the new relations between humans and nature lays. It was an industrial-era pragmatic and non-religious appropriation of what the earth had had in its possession and what it did not want to give away willingly. For centuries people were using the excess of oil that the earth ejaculated on its surface, the surplus that was not

needed by its internal organs anymore. Oil was made available for people, but only the earth chose to release its internal pressure. Now humans were not satisfied with using these 'scraps' spewed to the surface anymore. People started penetrating the earth to take from it as much as they needed and next as much as they wanted.

## 6 MOTHER-EARTH AND RAPE OF EUROPE

This metaphorical perception of oil industrial production as violent seduction or even rape of the mother-earth is unlikely to become a leading representative discourse in the foreseeable future, given the dominating masculine representation of oil mining and refining as the victory of science, technology, and generally of the humankind over nature. Hence such interpretation is still limited to seldom feminist artistic practices, such as that of Azerbaijani artist Aidan Salakhova, who, as Maria Engström puts it, imposes all the real transgressive metaphors (sex, oil and religion) in her works such as *Black Stone*. (2011) that replicates one of the main Islamic shrines but with a soft and fluid erotic touch that accentuates the vaginal form of the chasuble, and whereas the black oil drop stands both for the cause and the result of oriental erotic pleasures (Engström, 2019).

The art of Salakhova faced critique and censorship from the Ministry of Culture of Azerbaijan once exhibited at the 54 Venice Biennale. The art objects were covered with fabric and later removed from the exposition representing Azerbaijan (Engström, 2019).

Hence it is not surprising that an explicit metaphor of the violent sexual assault on nature in forms of its industrial and political appropriation once again highlighted rape as the grounds of European civilization since the ancient myth of the Rape of Europa does not meet much appreciation.

Oil, according to Kalinin, can be characterized as an organic substance of the distant past. The actualization of oil leads to the release of energy, which possesses not only physical qualities, but also has a historical and mythological charge (Kalinin, 2019). The gradually developing relations between nature and humans result in the contemporary structure of relations between state, society, and oil in Russia and globally.

## 7 THE BRANOBEL NARRATIVE: THE ORIGINS OF OIL'S CULTURAL INSTRUMENTALIZATION

The brothers Nobel were far from possessing a mystical or sentimental attitude towards oil, 'discovered' by Robert Nobel in the Baku region in 1873. Nobels came to take what they believed should

belong to them and to the people, what was profitable and promising. Yet by establishing a production cycle that required scientific research, the invention, and the construction of the new infrastructures from scratch, they managed to establish a new order of relations between natural resources and their industrial appropriation. Soon it was acquired by other companies in the region, which stimulated the production and replication of the new social order in the late Russian Empire and beyond. The Nobels, being far from conceptualizing their newly developed industrial cycles in any cultural, psychological, or social ways, contributed greatly to the formation and propagation of the new cultural code that still outlines relations between oil and humans.

Nobels saw oil as the new ‘black gold’ hidden deep below the surface, which required their interaction to extract, improve, and refine it to industrial and consumer needs. Oil was turned into a commodity.

The production process and the innovative infrastructure that Branobel developed nearly from scratch was heritagized by the Nobels in a scrupulous historical narrative that recorded the foundation and the growth of their new oil empire within the space of the Russian Empire.

Brothers Nobel, first Robert and Ludvig, who headed the family corporation, built the basis, both in a literal and metaphoric sense, for the modern cultural apprehension and heritagization of oil and the establishment of the new human-nature relations that are still in place today. These relations developed since the industrial revolution began in the middle of the 1800s, transforming from the Renaissance apprehension of nature as a divine source for endless discoveries to a pragmatic appropriation of the gifts of nature in the era of Enlightenment, which established social and cultural norms for the modern civilization. These new relations resulted in invasive and assaulting extraction of earth’s possessions from her bosom.

The historical narrative of the oil industry in Russia still heavily rests on the narrative written by the Nobel family that commemorates the success of their huge oil corporation – the Branobel company, founded in 1879. Since the beginning of the 21st century, the interest in the history of the Nobel family in Russia has grown significantly. Brita Åsbrink focuses on the history of the Nobel’s oil enterprise developed in the Russian Empire before the 1917 Revolution. She is among the chief contributors to the online Branobel History Project and The Branobel History Digital Archives, which collected over 50 000 digitalized documents related to the Nobel’s oil industry and publications on the biographies and inventions of the Nobel brothers (<http://branobelhistory.com>). In 2001, Brita Åsbrink published *Ludvig Nobel: Petroleum has a bright future*, which remains the most exhausting source on the Nobel’s oil business and family life in Baku.

Several monographs that explore the industrial heritage formed by the Nobel family were recently published in Sweden and Russia: *Nobel: the enigmatic Alfred, his world and his prize*, by Ingrid Carlberg (2019); *Immanuel Nobel & Sons. Swedish genius in Tsarist Russia* by Bengt Jangfeldt (2020), and a Russian translation of the 1952 book by Marta Helena Nobel-Oleinikoff *Nobels. The history of my family: a dynasty of scientists, engineers, entrepreneurs* published in 2020.

The story of the Nobels in Russia began in 1837 when Immanuel Nobel came to St. Petersburg to establish a business under the invitation of the Russian government, impressed by his inventions of the underwater mines. Even though Immanuel Nobel later returned to Stockholm, his elder son Ludvig opened a mechanical plant, “Ludvig Nobel,” on the Vyborg side in St. Petersburg in 1862 and later founded an oil industry in Baku with the help of his brothers Robert and Alfred.

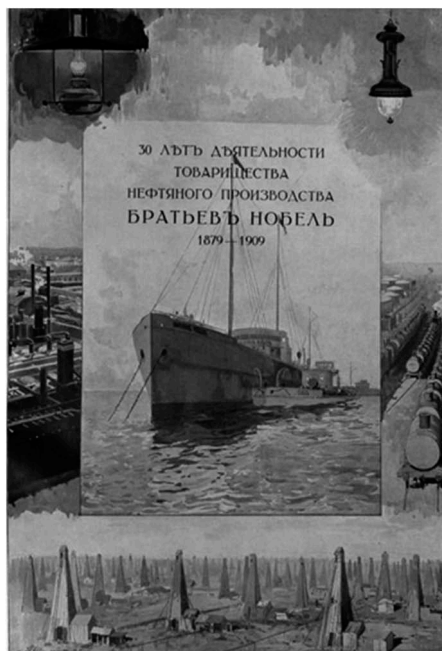


Figure 2. The title page of the edition “The Thirty-Five Years of Activity of the Association of the Oil Production of the Brothers Nobel. 1879 – 1909”.

## 8 BUILDING THE HERITAGE

In 1904 the anniversary edition was published in St. Petersburg for the 25 years jubilee: *Celebration of the Twenty-Fifth Anniversary of Association of Brothers Nobel. 1879-1904*. This edition was the first that aimed to convert the history of the family’s industrial



activity into the national legacy. Despite the political turbulence that shook the Russian Empire with the Russo-Japanese war and social unrest in Baku, the celebration took an unprecedented scale, gathering representatives of the Russian administration, industrialists, financiers, and other noble guests from various parts of the world, including their homeland Sweden. The celebration took place at the so-called “People’s House,” a luxury Art-Nouveau-styled mansion on the Vyborg side, a part of the complex family estate near the Ludvig Nobel Mechanical plant. The venue began with a religious service and an introductory speech by the archpriest Stavrovsky on the importance of the industrial development of the country for the material and moral well-being of the people (Celebration of the 25th Anniversary, 1904, p. 4).

Along with the reprints of greeting cards sent to the company from near and far, the book contained a story of the Branobel company that introduced the foundation and development of the family oil production as a story of success of the technological progress and the genius of its founders: Ludvig Nobel and his brother Robert, who ‘accidentally’ discovered oil in Baku, in 1873, once he was sent to the Absheron Peninsula to search for walnut wood for the guns.

By the time when the first anniversary books were published, it was already the younger generation of the Nobel family that resided in St. Petersburg, well-established and famous. The Nobels consciously interweaved their family legacy and their own entrepreneurial success into the fabric of Russian industrial, economic, and social history. If the 1904 anniversary book was a detailed report on the industrial and business activities of the oil company in the Baku region of Azerbaijan for twenty-five years, then the 1909 edition celebrating the company’s thirtieth anniversary, introduced the Branobel as not only a Russian but a global heritage, highlighting the crucial role that the oil production played for Russia and as global technological development.

*The Thirty Years of Activity of the Association of the Oil Production of the Brothers Nobel. 1879 – 1909* is a very thick and colorful edition that not only reports on the Association’s business achievements but promotes a continuous history of oil, propagating its transformative powers and civilizational importance. Nearly 350-pages of the book tell the story of the oil from primordial times until the book was released. It is, in fact, a history of ‘a civilization’ built by the Nobels within the space of the Russian Empire in only 30 years, which ultimately changed the country’s economic, social, and cultural landscapes. And notably, this change was claimed to be achieved not by political and socio-economic transformations but through improvements entirely of scientific and technological nature.

The book begins with a chapter about the development of oil production in Baku before the foundation of the Branobel (Thirty years of Activity, 1909, p. 1).

The chapter introduces the theories of the organic and inorganic origins of oil and the oil mythology spread around the Absheron Peninsula, the ancient cult of Zoroaster, and the cathedrals of fire-worshippers that dominated the local cultural landscapes.

The Nobels also tell the story of Prometheus, who granted fire, and hence eternal life, to humanity, and was punished for that, nailed to the highest mountain in the Caucasus, hence highlighting the blessing that these lands possessed from the ancient gods. They further refer to the Greek fires, ancient Egyptian and Biblical stories related to oil, introducing them with scholarly rigor in appreciation of the historical legacy of the oil that the Caucasian land was soaked in.

Yet, the contemporary state of land and the use of oil by the locals remained on a primordial level, they noted. The civilizing role of the Branobel was to draw from the mythology to scientific research, from the Black City of Baku with the houses covered in dark soot and with the air filled with black smoke to the White city of paradisaical beauty incarnated in the realized utopia of the Villa Petrolia – the company’s estate and administrative body that served as the materialized model for the future. The very process of refining oil was aimed at purifying it, turning the *black* oil into the *white* oil, just as the city was to be turned from Black (dirty) to White (pure). The Nobel’s scientific innovations demonstrated the competition between the human genius and the divine powers of nature to purify the material and the spiritual and to sustain the eternity of the human being.



Figure 3. The Director’s House of the Villa Petrolia in Baku. Source: Illustration from the Anniversary Edition *Celebration of the Twenty-Fifth Anniversary of Association of Brothers Nobel. 1879-1904*. p. 27.

Yet, the contemporary state of land and the use of oil by the locals remained on a primordial level, they noted. The civilizing role of the Branobel was to draw from the mythology to scientific research, from the Black City of Baku with the houses covered in dark soot and with the air filled with black smoke to the White city of paradisaical beauty incarnated in the realized utopia of the Villa Petrolia – the company’s estate and administrative body that served as the materialized model for the future. The very process of refining oil was aimed at purifying it, turning the *black* oil into the *white* oil, just as the city was to be turned from Black (dirty) to White (pure). The Nobel’s scientific innovations demonstrated the competition between the human genius and the divine powers of nature to purify the material and the spiritual and to sustain the eternity of the human being.

Hence, the oil was introduced by the Nobels as the cultural heritage that provided locals with the “purifying” fire for their religion and the heat and the light for their homes. The fire, the soil that gave birth to the oil, the hot, windy air of Baku – the city of winds, and the waters of the Caspian Sea - all four elements of nature were ready and waiting for rationalization and improvement, which was the main methodology of the Branobel business, and a constructive tool of their Empire founded on the oily lands of the Absheron Peninsula. The idea of improving reality through technological progress and mass industrial production anticipated the emerging aesthetics of modernism.

## 9 BUILDING THE SOCIAL PARADISE

As the oil was found in a raw state in Baku, so was everything else, from the legislature and business relations to roads, infrastructures, and housing. Nobels had to establish a whole new cycle of oil mining, production, and transportation, which substantially influenced the development of existing waterways, industrial use of oil, wood, and water, boosting the economic and social development of the whole Russian Empire from the Caspian Sea to the Baltics.

The narrative of the anniversary books introduces a story of success and a marketing strategy that promotes a business model based on the ideas of fair capitalism, which assumes that all employees participate in the company’s development and benefit from the results of their labor. A substantial percentage of the profit was given as dividends to all employees as if they were the company’s shareholders. Ludvig Nobel, the head of the family industrial empire, developed and implemented an ideology similar to that of the Swedish *Folkhemmet*, ‘the home to all people’ that, in the 1930s, became the policy of the Swedish welfare state. Ludvig Nobel invested in the social security system for his workers, education,

and entertainment, willing to raise his own type of ‘nobelits’ – the modernized people that could continue the company’s development in the future.

The hardships, the grey financial schemes, the political dramas, the protest and betrayals, the quarrels within the family – all that was omitted from the narrative that introduced the story of the successful taming of oil that changed not only the natural but the cultural and social landscapes from Baku to St. Petersburg. The challenges that the brothers faced were mostly of ‘natural’ origin. Their inventions and rational thinking helped them win in this battle for the appropriation of nature and taming the oil; to turn deserts into blossoming gardens, to keep the Scandinavian lifestyle in disastrously hot Baku climate, and to deepen the shallow waters for their ships that were spreading oil around the world. All challenges were overcome with the rational application of innovative technologies and inventions of human genius.



Figure 4. The world’s first oil sea tanker, “Zoroaster.” Source: The Thirty-Five Years of Activity of the Association of the Oil Production of the Brothers Nobel. 1879 – 1909, p. 150.

## 10 THE DIALECTICS OF NATURE

The Volga River and the canals that connected the Baltic and Caspian seas gave oil the way to European Russia and then further to Western Europe. The first world oil tanker *Zoroaster* was designed by Ludvig Nobel, in need to adjust to the Caspian Sea’s harsh conditions and to transport large amounts of oil. The ship’s name reminded people of the innovative thinker, respected the mythological origins of Azerbaijanian oil, and celebrated the inherited reality that Nobels dared to improve through rationalizing thinking and innovative technologies. Soon the private fleet of the Nobel industrial empire was the second largest in the country, after the Russian Imperial fleet. The oil that was sent in tankers to the West returned filled with fresh water to sustain life in the thirsty Azerbaijan lands and to irrigate the tropical gardens of the Villa Petrolea.

The major enemy presented in the chapters in the anniversary books was not the bureaucracy or competitors but the ‘natural’ oil fires that haunted the company’s factories and storage with fountains of fire that demonstrated oil’s resistance to its violent appropriation by humans. At these moments, oil turned from the state of black gold and life-giving substance, from being the *neftar* – the thick purifying water, into the ‘*devil water*’ raising its fires from the underworld (Thirty Years of Activity, 1909, p.78-79). The natural water was the industrialists’ ally, here again, used as a healing and pacifying substance, while the fire-fighters were “boiling in hell” (Thirty Years of Activity, 1909, p. 81).

The Nobels acknowledged the natural and artificial water systems that connected South Caucasus with Northern Russia and Western Europe as the crucial circulation systems of all ‘civilizations’ that rested and fed on their shores.

The written narrative established grounds for the new relationships between nature and culture and started the heritagization of oil while declaring Nobels the legitimate heirs to the multi-century oil legacy. They were the winners over the treasures hidden in the bowels of the Earth, who managed to tame it with the strength of their technological genius. By destroying the myth of the oil that possessed the power of giving eternal purifying fire, they produced another myth that legitimized the ultimate appropriation of nature with the aim to improve the culture by improving nature, whereas the possession over oil gave them power to control the world that they built, and that they claimed could be constructed in any space and despite any existing political and social conditions.

The fact that the basis of the Nobel’s wealth had been formed not by the production of oil but by weapons was not part of their heritage narrative. The underwater mines that brought Immanuel Nobel to Russia, the dynamite invented by Alfred Nobel, the large weapon producing factories in Izhevsk established by Ludvig Nobel, and the military submarines produced in Tallinn on their Noblessner shipyard were supported and boosted by the oil production, by the powerful diesel engines and all sorts of incarnations that oil managed to provide to humanity. Oil turned out to be, once again, not the matter but the means. That ‘black’ side of oil that allows it to turn, at the glimpse of an eye, from the purifying fire and healing medicine to the evil water, raising flames from hell, still fuels wars with the same energy as it fuels science and culture. The dark nature of oil is left intact, still washing the shores and filling the pools of our civilization.

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# Time after time; how did Pessoa-Soares and Hesse-Haller architect time-dimension aesthetically to form modern readers and liminal authors?

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**ABSTRACT:** With the help of Fernando Pessoa's (featured by his heteronym Bernardo Soares) this article reader is summoned to understand the value of artistic sensations and emotions within an aesthetical speech wherein imagination, according to J. Luis Borges, play a distinctive role while configuring a modern literary artwork in order to resist every typical adversity of Man's existence under every contingency. In *Der Steppenwolf* H. Hesse's one sees how such artistic sensations and feelings are delivered to awaken every modern reader's sensitivity and to build deeply a narratee's conscience to prove how valuable the aesthetical emotionality is thus proving that without emotions and no literary word would be configured as well as without a consequent slow time-dimension any human being would not be resilient enough to fight against the frenetic rhythm of our civilization which should be counterbalanced by literary art. Moreover, life within such a literary artwork is to be the true example not only of a temporality consciousness but also of the true typical silence of modernity.

**Keywords:** Inner temporality, Model-author, Model-reader, Text-anti-commonsensitivity

Eduardo Lourenço  
In memoriam

Walking by/ the green Green-bank/ Watching  
the club waving/In the air//And singing/ Along  
the ball curved air//Against the player's despair//  
Led by the wind//I'm still swinging...

Arnaldo Brigue: golplayer's swing 10th  
April 2022 14:53 tmg

Do we understand Fernando Pessoa when, in the words of his semi-heteronym Bernardo Soares, he describes himself as one who appreciates reading theater plays? (1982, II: frag. 374, p. 119) Does B. Soares share with his creator the peculiar love for drama, a drama-within-everyone (drama-em-gente) too, or it's simply the creator who likes to read aloud as he defends what should be done when reading poetry (1982, I: frag. 192; p.219)? Soares-Pessoa will consider literature a form adopted by those who read to "speak out loud" (1982, I: frag. 192 p.218), thus attending, by means of the dramatic genre, to the proximity of truth between reality and dream (1982, II: frag. 374, pp. 117-21). Will he consider such a literary form truth as a never-ending succession of paintings, through which the world attracts every

modern creator (1982, I: frag. 279, p. 313), giving birth to a bigger amazement/astonishment in his mind? Truth seen as a way to give voice to the manifestations of the soul sailing from person to person? (1982, I: frag. 279, p. 313). Awaken by some sort of dreamlike discourse present in everyone's life, gestures, behaviors, and voices in drama will simply project mysteries which will be literally perceived as an act of speech and simultaneously an epiphany of whatever enigmas are part of life itself (1982, I: frag.155, p. 174). May such a way of rediscovering theater turn into a key to accessing the world and soul labyrinths (1982, I: frag. 67, pp. 72-4) of a modern individual's existence whose sequence of scenes occurs inside himself and whose voice expresses the plurality (1982, I: frag. 89; pp. 94; I: frag.125, p.131) every modern man feels when interrogating himself. Whenever asking about his current situation, every modern writer cast obvious doubts on every illusion that facts subtly defined may conceal (1982, I: frag. 283, pp. 318-20; II, frag. 319, pp. 51-2), then the basis of his modern literary discourse turns out to be a sort of a written reviewing of pictures under several and various light gradients focusing on phantom-like characters or objects or scenes (1982, I: frag. 225, pp. 249-50; I: frag. 235, p. 261)! How will such a modern creative process develop itself? May

Soares-Pessoa's contributions be considered; under the disguising of so many interruptions, illusions (1982, I: frag. 87, p. 93) and camouflages, life itself arises "misrepresented," although every modern creator remains conscious of such a reality-matrix. Attentively and randomly, a modern creator searches in everyman's speech the modernity waving out his words, because although taken as a stupid, beaten by life and a «fameless» creator (1982, I: frags.132, pp. 141-2), those words might be taken as «signs» of everyone's normal way of putatively feel life (1982, I: frags. 124-5, pp. 129-34). Is there any better target and way to concentrate on giving expression to mysteries and upgrading enigmas the primeval life is so full of? (1982, I: frag. 87, pp. 92-3; frag. 92, p.97). The modern literary creator makes use of day-to-day real things, everyday happenings and people to create a wondrous reality (1982, I: 279, p. 313-4; 1982 II, frags .313-4, pp. 47; I: frag. 56, pp. 61-4; frag. 62, p.67) which might at first be literally perceived; although such wondrous images – under a sequence of reality frames – may, once attracting the receiver's attention, lead him to a sui generis grammar of emotions; the creator will then lead the receiver almost simultaneously to understand the structuring of such sequences of images (1982, I: frag. 191, p. 216) by which the former will end by making the latter aware of his forgotten range of emotions; literariness will take the lead because the receiver stops understanding the literary discourse literally and because images are loaded by emotions carrying an otherness (outridade) which a modern creator as driven out of day-to-day current life; such a re-configuration makes them a key space for fruition and understanding of the existence of enigmas. How come? Is not imagination thus summoned to help the discourse comprehension (1982, I: frag. 230, pp. 254-6; I: frag. 255, p. 291)? Words spoken out loud get then a new status: key to the «how of the how» literary space (1982, I: frag. 283, p. 319; II frag. 319, pp. 51-2) – the essential condition of every modern literary creation because they:

- 1 - translate mind processes (1982, II: frag. 374, pp.117-21) derived from;
- 2 - frame pictures gathered under sequences (1982, I: frag. 130, p. 139) assumed to be;
- 3 - projections of emotional facts comparable to the discourse of the unconscious, therefore dreamlike reality (1982, I: frag. 192, p. 218) and also;
- 4 - condensed in minimal things, which happen to magnetize long-forgotten emotions (1982, I: frag. 129, p. 138);
- 5 - only by means of chosen words, because new brand invented metaphors are an outcome of and a stimulus to the imagination (Borges, 2000, p. 41).

Words whose organization aims to give form to a discourse wherein current reality appears mediately represented, offering a lively story considered the content of a larger one (1982, I: frag. 200, p. 230)

that turns out to be a meta-story of another story yet to come are a crucial element. The same also happens with characters who come out of proto characters whose characterization becomes literary when they take over their metaphysical content giving voice to the mystery of all existence (1982, I: frag. 212, pp. 129-40). Each story, each character, appears as a continent of an immediate content and vice versa. Modern literary creation, according to Soares-Pessoa, brings up every soul by configuring a mediate discourse-through-images (Fromm, 1982, p. 104; 99) through a dreamlike speech (1982, II: frag. 374, pp. 117-9) to accede to truth, to life too (1982, II: frag. 382, p. 128). A modern literary creator illustrates the peculiarity of practical situations within his whole vision, whose roots lie *mutatis mutandis* in the common world (1982, II: frag. 467, p. 202); his *Weltanschauung* whose unity comes to life by projecting itself in the multiplicity of things and people (1982, II: frag. 447, p. 191) comes reinforced to light. Ubiquity! It will be the condition to be observed by every modern literary creator; especially those who respect the so-called soul-landscape paintings whose action, characters, scenes, acts, and dramas are but parasitized impressions (1982, I: frag. 25, pp. 28-9): obsessions of the creator while assimilating and adapting his «play» to the states of mind perceived in others. He realizes thus the singularity of being another (outrando-se). By analyzing the mind (psyche) (1982, II: frag. 389, p. 135), he makes life alive (1982, II: frag. 505, p. 251) – notwithstanding he simulates everyday life vividly at the same time as he fosters the way to an enriched sensitivity by distinguishing it from the one raised by empirical impressions (II: frag. 389, p. 135). Instead, imagination and spirituality get along with this creation process (1982, II: frag. 430, p. 171) so that the modern literary artist might never seek to externalize his own soul (1982, II: frag. 453, p. 194). His praxis shall lie in the search for the intellectual expression of emotions (II: frag. 514; p. 259) – he organizes his own experience, moving away from subjectivity (1982, II: frag. 453, p. 194) and concentrates on how to give expression to a factitious confession and also lies, though only to himself (1982, II: frag. 450, p. 193) because he only aims to persuade the receiver, that by his mode-of-expression, may get a more solid consciousness with the help of such an act of communication wherein irony is simultaneously summoned and used fully (1982, II: frag. 479, p. 218). This way, the receiver may be feeling only what his feeling competencies allow him to feel - and never what he or whoever else has ever already felt – whenever he is conscious of the value of what he might only feel, especially according to the syntactic rhythms achieved along the literary discourse with the help of perennial emotions driven along the written speech (1982, I: frags. 14-5, p. 15) as the result of rationality upon emotions

appeared as an imagination's outcome (1982, I: frag. 30, p. 32). Seeing more closely, one must refer that nothing is yet to be seen, for nothing is to be described. Nothing can be truly matched to reality because it only gets nearer to a dreamlike dimension (1982, II: frag. 384, pp. 128-30). Therefore, it is expected that the receiver of a modern artwork created by the typical imagination competence of the species may, under a sequence of living situations, experience distinctly every subtlety, which will help every individual stay away from all ordinary everyday situations.

Such a modern artwork refers itself to a wisdom condition that, by instinct and primary emotions (1982, II: frag. 402, p. 149), occur more frequently along the speech of uncultivated and poor of mind individuals using simple metaphors to express themselves quite naturally. Every single human feels how every object is a projection of his unconscious, as well as every object is introjected into the individual, who makes it a feature of his psychic domain: animal or herbal elements like every human being have to share either the spirit or the divinity of the universe (Jung, 1979, p. 63). Every modern literary creator, making use of his ubiquity competence, externalizing himself, parasitizing all others, and summoning all his sensations, generates the artistic ones - both sensations and emotions; sensations are to be converted into objects (Pessoa, 1966, p. 168) and emotions into «artistic emotions» (Pessoa, 1966, p. 192) by means of consciousness, so says Pessoa: first by getting conscious about a sensation and then by upgrading this operation while getting conscious about the consciousness of the former degree. By doing so, the modern artist makes every modern receiver conscious of the artwork's performance. A free speech where words configuration offers a full range of endless sense possibilities emerges naturally; as much as its dreamlike universe richness allows it to enrich them to make every speech expression independent of any external support (1982, I: frag. 25, p. 9). The creator and receiver will configure thoughts and wishes under the influence of emotions while slowly removing every expected natural sensation. The imagination performance becomes then responsible for the birth of every plausible moment in his own and in the mind/psyche of others according to the peculiar rhythm of creativity: «Be plural like the universe,» stated F. Pessoa (1966, p. 64) who, according to E. Lourenço, knew that the imagination victory over the world was the world victory over the imagination (Pessoa, 1982 I: frag. 30, p. 32). All was about the multiplicity over the unity - though Pessoa, according to Lourenço, only discovered the emptiness of such a necessity - the crucial question about which Pessoa was aware of and that he turned into a drama. A vital matter of whose consciousness made Pessoa a paradigm of the true modern literary artwork creator (Lourenço, 2016, p. 290).

What type of space will be the one to be built wherein emotions play such a decisive role within a plausible existence? Pessoa himself was never ambiguous about it: both gods and Man are submitted to *Fatum's* dictatorship: gods are men who differentiate themselves from Man as long as they are more perfect and bigger. The relationship between gods and Man is commanded not by a moral one but by Absolute Arbitrariness (Pessoa 1966, p. 263). Man is not the result of his choices but Contingency (*Zufälligkeit*). Contingencies impose themselves, and Man is to gather what fate will display without being given any other solution than to accept it (Marquard, 2003, p. 160). Our individual course is undoubtedly conditioned by greater "casualties" such as mortality (Marquard, 2003, p. 160). Absolute contingencies will be - among others, birth, death and/or illness - the imponderable laws of nature whose contingencies everyone is taught to accept (Marquard, 2003, p. 157-8). Has not Man, although, enough competencies to face the remnant contingencies so that he can make arbitrariness as much arbitrary as possible to make it the proper realm of potentialities to envision adequate unexpected resolutions as equivalent to the unexpected epiphany moment of the imponderable? Competence-by-experience will respond to the moment-of-contingency because Man is competent enough the make use of his experience to resist the arbitrariness of Destiny. Dignity in Man stands out according to its capability of compassion, as well as his freedom stands out according to his capability of tolerance (Marquard, 2003, p. 161). Both are aspects of his resilience, e.g., competencies to be raised under the direct proportion of his maturity (*Alterserfahrung*).

Man is then given the capacity to interpret the reality woven by Destiny whenever he will be able to build narratives following the needed detachment. What is religion but the consistent response against the inexorability of humankind's existence? Is art anything else but the consequent solution against everyday life imponderables? (Marquard 2003, p. 159-160). Thus, Man recognizes the capacity of his competence to assimilate the variety of options in *presentiae* in the same proportion of the multiple situations real-life presents him - a space *par excellence* of the contingency which pervades Man's existence (Marquard, 2003, p. 162). And if it is Man's characteristic to perceive how exchangeable situations are and how possible it is to establish correspondences, cross readings, and analogies between the facts of life, it will be then also appropriate to declare how such facts improve one's awareness of the wealth inside life's plurality.

Moreover, Man will not cease to become aware of his freedom to assess and ponder whatever situation he must go through; his option will naturally be to choose the most appropriate discourse, which will be

sorted out of the several responses stimulated by the putative imponderability accompanying such a contingency. Man is to accept the siege mounted by overwhelming determinants, whose consistent insistence on his daily life will only strengthen his due freedom – which cannot appear by the hour of his death or during the void of every crossroad of his existence (Marquard, 2003, p. 163). Man's freedom always happens along every *mise-en-scène*, along with his life whose time dynamics – the one of the durations of every action - always becomes a brand new image of his performance (Marquard, 2003, p. 163). The more the management of these determinants will be successful, the more the respective plurality will play a relevant role in his existence. This bond will then be strengthened by basic emotions such as crying and laughter (Marquard, 2003, p. 164). Elementary pathways of Man's existence are these because they are but entrance doors to the realization of Tolerance and Compassion, without which neither Humor nor Melancholy – proper to Man – would look for their expression. Art turns out to be a major configuration of Man's emotions who knows how to resist adversity with the help of freedom and dignity, thus respecting at the same time the cult of humility which is inherent to the undeniable acceptance of his existence (Marquard, 2003, p. 164).

Modern literary artwork is thus defined by the translation of temporality. Moreover, it expresses such competence: configuration of acts under sequential form and every character's existence (Eco, 1989, p. 140-4). Elementary temporality is first to be highlighted as a sequence of facts that are kept within the time-of-the-utterance dimension, in which plausibility will offer the artwork discourse its real existence. Temporality-by-conversion will be the dimension in which facts are presented under a peculiar organization to get to the point of realizing time- of-enunciation that will emerge afterward. In the first case, the receiver remarks the facts building up the story; in the second, he is challenged to welcome a diegesis along which several or various types of narrator's voice, with its specific capacities of expression, make the receiver a dynamic one as a peculiar artwork player. It becomes clear that a literary narrator, a musical performer, a poetry reciter, a theatre director, a film director, or any piece of art does not fail to consider the typical third dimension of every modern artwork - may an artwork be either dynamic or static.

Moreover, it will finally require the respective dialogism between the duration of temporalities from its receiver. The time along which the artwork was conceived, mounted, executed, recited, enjoyed, and the one during which its echoes, reverberations, associations, and understandings were to be thereafter also heard and felt, making the artwork forever a living creation. The third temporal dimension is necessarily one that has to do with the psychic depth

(Eco, 1989, p. 139), i.e., the voice emerging from its silence. Let the extreme example of sculpture be taken: fixed to the pedestal, it will make the receiver turn around it to discover and rediscover what by a single angle – or time – of observation and study could never be fully seen or felt thoroughly. The time of the narration itself will be the more enjoyable the more the narrator will challenge the recipient to decipher the enigmas within such an artwork. Through an exclusive and intentional dialogism present in the literary artwork, the receiver will be pleased to «conquer» his own signification trends and make them part of his realm of emotionality gathered during his literary relationship with the artwork. The degree of fruition of such a modern artwork (Eco, 1989, p. 139) gets higher and higher as far as both historical-cultural macro-dimension and psychological micro-dimension are looked for - though such information might be taken as external, it contributes no less to a better comprehension of it (Eco 1989, p. 144).

Notwithstanding, a modern literary artwork requires a more engaged participation from its recipient both as an active-writing and a passive-hearing player, without which the artwork will fail its idiosyncrasy (Eco, 1989, p. 142-4). Time dimension will not be exhaustively evaluated if it only considers the number of units necessary for its execution on stage, cinema, radio stations, and auditorium. It depends quite a lot on being a conditioning expression of a dynamic perception and will always result from the syntactic conjugation of the presented sequence of factitious facts. Thus, the proto dimension of time within the artwork turns into the potentiation of the value of temporality shown through the sequences of facts that build the whole story. Such a sequence will lead the recipient, on account of its configuration and meta-value, to cause the fruition of the wealth of the literariness measured by its ability to propose the analysis of the tiniest details and subtleties - putative unintentional ambiguities, thus causing the birth of a new artwork aesthetic form. Due to the emerging emotionality, the degree of fruition of any literary artwork itself will be available according to its capacity to trigger an experience-based work-in-progress dimension patent in the aesthetic reception of the work. Plausibility present in a modern literary artwork depends on its capacity to challenge the receiver to seek and develop his curiosity incessantly during the relationship with the work (Eco, 1989, p. 136). The modern literary artwork does not obey a whatever predefined program. On the contrary, every act of creation is committed to the imagination, and its practice (Todorov, 2015, pp. 104-6), rendering allegiance only to the idea of beauty, which in turn attends to the complexity (Todorov 2015, p. 128) proper to Man's existence under a generous, unselfish and mediate way of approaching the aesthetical value of

the whole artwork (Todorov, 2015, pp. 124-8; 98; 101). Such a modern literary artwork aims to assimilate the multiple plausible and live significations found along Man's existence to develop its inner beauty autonomously so that the ethically most important principle might remain:

Mais si l'on aime de cette manière le monde et les êtres qui l'habitent, peut-on encore dire que cet acte est entièrement étranger à l'idée du bien? (Todorov, 2015, p. 107).

Feeling so well-beloved, every receiver may naturally feel challenged to practice the power of his imagination – will it be needed a strict allegiance to pre-determined ethical, aesthetic, and historical principles so that historical veracity, ethical respect, and aesthetic perfection will be required may prove every ideological-formal presupposition along the work? Will it be, although so essentially, decisive to attend to such bias in meaning to attend to the full comprehension of the modern artwork? In order to uncover the emerging meaning of the modern artwork itself, it will be rather necessary to aim to detect the cognitive, aesthetic, and ethical features intrinsically conceived by the imagination of its creator according to a sort of act of love dealing with the search for real-life secrets while looking for more knowledge, truth and beauty under a full singular act of unselfishness, common to the one displayed by every actor during the performance of his character (Todorov, 2015, pp. 127; 131).

Artistic creation has nothing to do with any subjective manifestation: its obsession deals instead with respect for the world, devoid of any possessive egoism (Todorov, 2015, p. 110). Modern artwork looks for its scope: building the constant amazement/astonishment (*pasmo*) before the selected whole human world, whose representation puts forward its dedication to knowledge and wisdom (Todorov, 2015, p. 11).

Modern art creation deals with a major obsession: achieving the best form to recreate real-life under the representation of a fragment of the real world, making it a condensed epiphany of a sensitivity to be upgraded along the recipient's artwork comprehension-exercise. The spirit of the beloved gets higher whenever the spirit of his lover acts under a brighter and brighter and exuberant expression-gesture (Todorov, 2015, p. 111). Words come out easily from the syntax of such a modern artwork: out of those emerges a discrete and/or exuberant meaning as a response to the potentialities essential to whatever detail putatively and randomly selected. Such summoned details will also have meaning, either intentionally or non-intentionally proposed and formed no matter what silence will be provoked about its true meaning. The receiver will be thus compelled to re-read, re-decipher, and re-write (Rancière, 2001, p. 35-6) the whole artwork attracted by the configuration of the plot wherein a peculiar and particular net

of clues will always be heading to the aesthetic truth. The strength of language charged with fortuitousness and contingencies - similar to those seen in real life - is then evaluated: every subliminal detail gains another status by making description, narration, and stylistic configuration of features, only apparently usual and not so important (Rancière, 2001, p. 37). Will then every detail that is not immediately rationally intelligible be dispensable? Should any detail subsume to illogical discourse, expressing though contingencies, be so lightly discarded because one never knows how pertinent they are to interrogate the absurdity of one's existence and way of living seen in every civilization and, above all, in the present European one? Is not such a *Weltanschauung* to be seen in so many modern literary artworks of the 20th century? (Rancière, 2001, p. 38).

Such aesthetic representation depicts our modern way of interrogating reality and showing how any aside word formation configures an alternative to the accepted consciousness and expected signification. Such word configurations are essential to strengthen modern Man's consciousness: "la parole sourde d'une puissance sans nom qui se tient derrière toute conscience et toute signification, (...)" (Rancière, 2001, p. 41).

*Der Steppenwolf* (1927), a novel written by the Nobel prize laureate (1946) H. Hesse (1877-1962), offers its reader both a *Vorwort* and Harry Hallers' *Aufzeichnungen* refreshing a narrative strategy so that the modern reader may follow the various speeds by which the temporality summons him to recognize the respective paradigm of literary modernity. On the one hand, the anonymous *Vorwort* author appears as a third person/omniscient narrator – proper to any extradiegetic narrative -while on the other hand, Harry Hallers' *Aufzeichnungen* is presented as the work of a first-person narrator typical of an intradiegetic narrative. The reader is thus confronted throughout the first thirty pages of the *Vorwort* with an authoritative, reliable representation of a misanthrope, shy, self-described Steppenwolf (Hesse, 1970, VII, p. 198) named Harry Haller, whose suicide tendencies (p. 201) caused a natural and initial distancing for ca. a ten months' time lapse during which the narrator and the novel protagonist shared the same house (p. 188). The reader is first introduced to a genial artist full of imagination (201-202) - a bitter and desperate intellectual who despises the superficiality of his civilized world (pp. 183-191). A character constantly hesitating between the love of his neighbor and his hatred of himself, both appreciating and rejecting the bourgeois life of that time and representing the vivid enigma lived by every bourgeois employee (and possibly by the *Vorwort* the *Aufzeichnungen* – an autobiographical notebook – addressees). These are two different literary perspectives acquainted with Haller's



existence: a man almost fifty-year-old undulating between depression and euphoria, enjoying pleasure or suffering (pp. 190; 202).

Was it a coincidence that such an autobiographical notebook came to the hands of such a fortuitous *Vorwort* author? Did he decide to publish the *Aufzeichnungen* because of the narrative peculiarity wherein he glimpsed the resilience fostered by the protagonist against life's contingencies? Did not euphoria and melancholy felt by Harry, and thus represented in the narrative, attract the notebook editor? Did this happen due to the amazement/astonishment raised by Harry's strategies to defend freedom in a personal existence so full of subliminal experiences whose protagonist also liked to dialogue with his non-logical discourse matrix and wherein emotionality and his unconscious stream played a decisive role? The *Vorwort* author preferred, above all, to present some aspects and personality features of the protagonist so that the reader could autonomously infer any psychological conclusion and, last but not least, take such *Aufzeichnungen* as a document of that time wherein neurosis could be confirmed as the collective evil lived by his generation (p. 203). Curiosity rises of such a narrative as an essential key tool to understand its meaning since its complexity (Fragwürdigkeit), sophistication, and richness of issues related to every modern human life make such a literary artwork a paradigm of modern man's existence (p. 204).

In fact, such an autobiographical narrative is described as an accurate representation of the fantastic experiences lived by the *Aufzeichnungen* autodiegetic narrator on account of the author's strategy to depict the narrative truth to make the reader recognize the sociological value of the psychological wealth of Haller's personality - a lonely and restless individual without any practical sense who was always fleeing and feeling constantly harassed by himself as much as he felt he was haunted by his bad feelings (Hesse, 1970, VII, pp. 192-199).

In such a narrative, the receiver is urged to see both the truth pervading the protagonist's existence and his radical and liberating option - represented in its discourse and adopted to overcome such a collective and personal oppression- to commit suicide.

This modern literary artwork represents Haller's experiences lived through different sceneries, spaces in which the selected moments happen, though according to an elementary time-lapse and under a time sequence without precise chronological boundaries. The receiver is thus asked to accomplish the narrator's discourse while gathering the important features to infer the value and opportunity of Haller's exquisite experiences. The narrative's underlying temporality gradually gets its aimed outline so far as it contributes to uncovering the final enigma resolution (Eco, 1990, p. 155). By

pretending to follow a realistic way of literary representation, the first person-narrator leads the recipient to share the emotions disclosed along the hero's course. From this moment on, the receiver becomes the fruition manager of all emotional dynamics depicted by the respective metaphor: the underlying struggle for survival between the wolf and the human features of Haller's personality.

The author counts on two strategies: 1 – to feel and -see emotions; 2 – to feel and feel through emotions in order to awaken the receiver to be simultaneously conscious of the value of images, metaphors, and comparisons to dynamically reinforce the aesthetic reception he wants to provoke, making his addressee acquainted with an original literary speech fostering the discrete dialogism between the reader and the narrative discourse while giving form to such a modern literary artwork.

Moreover, the narrator challenges his reader concomitantly to solve the mystery of the hero's existence by revealing an action in which several complex questions make part of a compact succession. Why did Haller intend to commit suicide? Why did he feel appropriate to his critical condition the *mise-en-scène* metaphor: the struggle between two reciprocally destructive tendencies: wolf and man? Why did Haller intend to postpone the final coup-de-grâce? Finally, what was the basis for the connection between his case and the real civilization?

The receiver is summoned to ponder, judge, and infer before getting amazed and astonished by following step by step the protagonist's course recorded in an auto-diegetic narration so that he can better feel the influence of contingency in everyone's existence. That would not be the case if, under a *deus ex machina* strategy, a heterodiegetic narrator would serve him an already formatted fiction.

Instead, the modern literary artwork turns out to be a real challenge by functioning as a putatively mere representation of a putatively innocuous and naïve real life because the recipient will then be defied to acquire the pleasure by the construction of a preliminary discourse underlying the succession of narrative facts launched by fate itself. Such a modern addressee is then challenged to ponder the best narrative ending: would a "happy end" be suited that would make such a narrative an established compensation and comfort for every modern recipient? Nevertheless, a greater modern literary artwork investment consists simply of forming a new co-creator out of the reader.

The richer the artwork, the more the latter is considered a creative, active, and engaged narratee (Eco, 1990, pp. 156-7). Such a modern literary artwork will then be taken as a game wherein conjectures, inferences, and silences are essential. Every detail, whether or not taken as obviously essential for the hero's development, will be systematically noted

down since it figures as a representation of every aspect needed to assess the specific value of the temporality as well as the value of emotionality, which ought to reveal the power of the underlying fate discourse immediately or mediately caught by the hero's intuition.

Let then be underlined paradigmatic scenes such as *Zum Schwarzen Adler* (pp. 275-7) and in the Nightclub of Pablo-Mozart (pp. 321-323). The relationship between the hero and his new social milieu stands for a practical way of representing the emotionality he felt and its respective importance to his mental balance. Notwithstanding, such experience-scenes are also to be shared with the recipient to develop his sensitivity more deeply. The narrator opens up the value of the consciousness of the inner time dimension. A natural inference of the deductive kind – which began with representing the protagonist's life in the *Vorwort* and posterior verification along the succession of facts presented in the *Aufzeichnungen* – gets the leadership to depict the paradoxical dimension of Haller's existence. The receiver starts to understand that the rehabilitation through women and art, together with the awakening of the three-way dormant verve - sensitivity, imagination, and sexuality - could be and will be the solution for Haller's middle-age crisis. He begins to perceive how important it is to ponder putative similarities between Haller's and the receiver's own case and how decisive it is to benefit from such an analysis to re-build a new *Zeitgeist*. The dream held in *Zum Schwarzer Adler* and the night lived with Mary are episodes that will clarify the fairness of the interpretation of such an attentive receiver, as well as the fairness within the assumption of a natural induction suggested by such a narrative discourse while reinforcing the active and recreative role imputed to the novel's addressee. Above all, let's underline how well plausibility is detached as the greatest value of such a modern literary artwork (Eco, 1990, pp. 156-7). By underlining such features, the real dimension of the modern literary artwork strategy is sorted out whenever a crucial role is assigned to its addressee. To come to the inference concerning Haller's particular case as similar to his contemporaries' very paradigm.

Notwithstanding, the whole narrative allows to be asked in what dimension is Haller's case to be exhaustively and exclusively seen under the disjunctive «metaphorization»: wolf-human? The enigma will always present: how will Haller's phase – that he went through - be then overcome? What strategical importance will it have for the economy of the narrative? And above all, for the definition of the concept of temporality? What special role will the consciousness of the protagonist's inner time dimension play in the resolution of his paradigmatic existence enigma? Are then any more steps to be undertaken towards a never-

ending succession of the experiences lived along his ten months stay within which he wrote his notes?

Plausibility comes out whenever representing real life along the diegesis of the modern literary artwork. It may appear closely related to the recipient's live existence and whenever the latter's equivalent interest in the way the modern literary creator equates it too. It is raised especially when both narrative entities agree on perceiving and solving the enigmas represented in the hero's life. Let the bridge between the *Vorwort* and the *Aufzeichnungen* be highlighted through a deductive inference and a fortiori its upgrading through induction. The addressee starts to interrogate himself about the value of the enigmatic structuring of the whole work. The main challenge remains: modern literary artwork should appeal to the reader's capability to potentiate an initial inference, leaving behind a rational or logical perspective based on a trivial interpretation leading obviously to a «commonsensicality» whose destination should be naturally rejected (Eco, 1992, p. 42). All is about developing the reader's sensitivity, without which any original interpretation will not occur. Without paying attention to some details related to the hero's existence and the subtle way they are used to foretell his following steps and the subsequent structuring of the diegesis, the value of such a modern artwork will not be fully understood. Therefore, a modern sensitivity will be useful enough to unveil the resolution of the whole interpretation process.

May a modern sensitivity be a sign of the awareness of the subtleties of existence itself, whose details should already foreshadow the interpretation - only apparently unexpected - of the main enigma; the *Vorwort* stands for the first step of observation; the *Aufzeichnungen*, in turn, will stand for both the second step of observation, the first step of the deduction and the first step of induction too, without which any further and more decisive critical literary assessment could not be accepted.

The *Aufzeichnungen* includes a capital subpart illustrating the value of a hypodiegetic text, along which the narrator provides a specular view of himself and a foretelling of what will happen to him afterward. Let not be forgotten how much Haller is a paradigm of the XX century European bourgeois and how the narrative can therefore be taken as one of the most appropriate ways to make modern man a critical citizen who, like Haller, follows a ravaging posture rejecting the way of living his civilization imposes him.

The *Tractat* takes the reader aside and, above all, warns him about how: 1 -creation by art is a way of overcoming the division in one's psyche; 2 - adopting humor and laughter, e.g., the clever distancing, are facilities any man should be equipped with to cultivate his superiority over the dimension of time and conjuncture. One should instead adopt a timeless

dimension of existence by assimilating the perception led by inner time, waving in his psyche: the dimension of divinity symbolized by the immortals.

These issues related to the hero's life experience have then been submitted to observation promoting the respective assessment by deduction-induction just like it goes under a scientific method dealing with any investigation procedure and following the pertinent hints offered by analogy relating every form and methodic procedures driven out of other fields of everyman's live-experience. The reader is consequently facing another kind of an emerging added value. By the ending of the *Aufzeichnungen*, deception also arises in the addressee's mind. Just from the very first sentence of the *Tractat*, the recipient is led to imagine a happy end. As a matter of fact, it begins like a fairy-tale: *Es war einmal* (p. 222). In the final scenes of the *Aufzeichnungen* diegesis, such an appeal is again reinforced, and the reader's fantasy gets aware of the forthcoming fantastic experiences to be lived within the Magisches Theater. Out of real-life time, but completely flooded by the inner dimension of time - without any present, future, and past limitations - the receiver's enthusiasm, led by such a magical environment and behavior, becomes a kind of disappointment according to both the hero and any ordinary reader. As the receiver carries on, his time dimension sounds more and more like an inner harmony respecting the psychic balance. The addressee begins to «conquer» a very different time dimension from the action represented in the *Vorwort* and the *Aufzeichnungen*. Instead of a comprehensive sociological dimension suitable to the rhythm imprinted in a day-to-day individual's or community's life, another one dealing with time duration sorts out. Hermine's homicide, caused by Haller's unexpected jealousy within the Magisches Theater facilities, makes the reader soon perceive the change of the scenario where a radical diegetic interpretation of the whole novel is about to begin. Reality represented in the latter was to be understood not as a sociological one but, instead, as an imaginary one. The detachment joined to the astonishment/amazement finally conquered its respective place. The recipient realizes how much the protagonist was unaware of this peculiarity - as every impressionist reader - e.g., Haller was never conscious of the distinction between sociological and psychological time and reality dimensions. In this scene, the narrator provokes the reader's strangeness, reinforcing irony's power along the diegesis. The narrator is led to re-interpret everything past while assuming the need to find out the archy-narrative itself.

The narratee feels the appeal the narrator had always made to represent facts, details of the action, and several scene-episodes as evidence to assume the interpretation of the narrative as if it were a life-

game, to make the diegesis a challenge both to reader and author, to be re-read re-lived re-played during each respective existence.

The recipient feels then that he is up to the final and definite comprehension of the novel and every living experience - Haller's and his too. Back to the beginning, he restarts to collect naturally the decisive features and details, which will enable him to reassess the novel under a new posture: abduction (Eco, 1990, pp. 158-9). He had ingeniously followed Haller's deceptive perspective of the sociological and psychological reality.

Only by the end of the novel does he feel that he has to stop that former operative method. Instead, he faces a desperate emptiness, which was engendered by Hesse's literary mastery, giving birth to a narrator whose main and discrete intention was to lead any addressee to follow him impressionistically and thus project himself in his hero's behavior without paying attention to unsound subtleties that proved vigorously indispensable to concede special meaning, reinforced using irony.

The *Tractat* detaches art as a solution; Hermine represents not just any woman but a priestess whose warnings always pointed out the perception of the symbolic value of reality inclusive of that double individuality: Pablo-Mozart. These are to be taken only as personifications of a creator whose sudden prestidigitation, with or without the help of hallucinogens, appealed to a magical vision that music, senses, and modern art, in general, stimulate in a needed modern to overcome life contingency. Would not a desperate modern man be the one whose type Haller is a paradigm? And is that the reason why there is even enough room for Haller's confusion between sociological and psychological reality? Should not the addressee accept this new time dimension: an inner one derived from the psychological balance? And is it not fair to interpret the narrative as a combination of discourses loaded with symbolic values essential to understanding it as a narrative of the narrative?

The novel cannot do without the representation of Haller's contemporary existence. However, the narrator's scope exemplifies how much the latter cares to give a picture of such elected facts and scenes underlining its epiphany of another "world" of peculiarities. H. Hesse invested in modernizing the reader with such a big challenge carried out by his narrative. It is not up to the addressee to draw the narrative matrix underlying the literary discourse, which comes out now and then in scenes along the *Vorwort*, *Aufzeichnungen*, and the *Tractat*?

«On stage,» Haller gets Pablo-Mozart's last remark about how Haller should lead his life and behave himself following the judges' verdict. Haller, the reader, the narrator, and the narratee begin to understand such a trial whose signal was to condemn

the ordinary bourgeois moral and truth conceptions, which Haller stands for too. *Harrys Hinrichtung* (Hesse, 1970, VII, pp. 410-13) denounces Haller's and every modern citizen's neurosis, shifting focus to his inability to understand one's existence as a *mise-en-scène* with or without the influence of the Magic Theatre device ever to be displayed.

The novel literary discourse, criticizing bourgeois and philistine morals - of which the immature Haller is a paradigm - stimulates more than ever the reader to understand how his part is indispensable and how his challenge is to be fulfilled not as a reader anymore but rather as a co-author since Hesse admits having taken profit of the novel as a stage (*Schauplatz*) to represent a genial personality (Hesse, 1972, p. 147) aesthetically. Attending to Haller's conviction, the reader feels himself not only as a narratee but also as part of the novel authorship. He must then: 1 - return to the beginning of the work; 2 - resume the respective interpretation by observation, deduction, and induction; 3 - welcome subtle singularities of the narrative; 4 - conquer the beauty of the artwork truth only through rapture, abduction and, 5 - incorporate the value of analogy and realize the way how Haller's "life" in the *Vorwort* author's document: *Aufzeichnungen* is not but a stage-performance offered to let everyone's existence be perceived as a *mise-en-scène* in which reality-within-reality appears to be a reading-clue, not only offered by the author but for sure as a key-of-the-key to be conquered by the reader too. And suppose the reader ponders on the hypodiegetic feature of the narrative literary discourse within the *Aufzeichnungen*. In that case, he will easily realize that the episodes in *Magisches Theater* and *Zum Schwarzer Adler* (dream) fulfill the scope of magnetizing his interest and curiosity, making him a direct addressee assuming the temporality dimension hosted by the hero's soul. In the latter - and *mutatis mutandis* more than just only in the hero's soul but also in the reader's soul too - facts come to the surface with a configured stream of plausible feelings and emotions felt by the hero in his living experiences, which are but the epiphany of a complex and connected stream of episodes forming an enigmatic discourse (Fromm, 1982, p. 112), giving voice to a collective psychic dimension: a space. However, from 19 hundred on, more systematically recognized as the epiphany space of an inner time device, every normal mind is provided with: the Unconscious. A box-within-a-box is the methodology followed by Hesse to highlight the influence of the internal over the external features because each box is always container and content simultaneously of the next one.

The *Vorwort* contains narrative facts, which, in turn, are illustrated along the *Aufzeichnungen* diegesis. *Vorwort* is the big container wherein the *Aufzeichnungen* fits. On the other hand, the *Aufzeichnungen* is a container wherein the *Tractat*

fits as special content. Notwithstanding, the *Tractat* stands for a container wherein the facts belonging to Haller's existence shown along the *Aufzeichnungen* are true examples of the existent frame systematized in such *hors-série* document. A smaller space dimension is always inside a bigger space dimension. Nevertheless, a space wherein existence facts or life experiences shown are a sequence of time lapses (happened during only ten months of an almost half of a century individual life) are effectively the content. A box-within-a-box? A space within a space? Or a space-time-lapse within a space-time-lapse - e.g., time within time? Life experiences represent how much the inner time is foretold and confirmed along the narrative representing facts of the life of a protagonist who narrates it. This is the game to be played between narrator and narratee, who configures the structured rhythm of Hesse's novel and allows conceding then its modern dimension according to whose literariness he pays homage to the richness of language; as well as to the source of the Unconscious present in the singular *mise-en-scène* illustrated by the *Magisches Theater* scene sequence.

Hesse's reluctance to sign his authorship reveals another feature of his conception of modernity. The Swiss author wanted to direct major importance to the novel itself and to show how unimportant it was to keep the focus on the authorship or rather on his way to create objectively fictional facts - though near but never equal to some subjective and personal ones taken out of his personal life - which the traditional literary criticism appreciated so much to unveil. This is by no means the case: the *Aufzeichnungen*, although written under an auto-diegetic discourse - first-hand narrator - is a literary, fictitious document showing how literature is more than a single and specular personal document. Hesse's literary splendor shown in this modern artwork draws attention to the value of both intuition and analogy weapons: modern literary artwork beauty cannot do without them to be enjoyed.

Getting free from the traditional three-time dimension - past, present, and future-imposes itself by recalling synchronicity as a sign of the symbolic richness of every life experience lived during the most bizarre moments and subjected to an immediate analysis, which seems only absurd under a rational perspective. This is the typical brand of Hesse's craft, demanding thinner and deeper scrutiny because it appeals *in extremis* to an original comprehension (Eco, 1990, p.159).

The reality represented along the diegesis is magnificent in its various signification layers. The joy thus triggered by the modern literary artwork magnetizes the reader's attention to an interpretation pattern awesome enough to discard trivial and reductive interpretations of Haller's actions. The overcoming of his tragic existence could not be viewed according to a trivial happy ending perspective as it is expected to happen in an ordinary love story.

Abduction clears the way by making the narrative strategy more accurate through constant use of the detachment needed in a diegesis wherein the reader is to play a more active role during this *mise-en-scène* carried out by the narrator. The former's sensitivity and aesthetical cleverness should always be summoned to share the common good: emotionality (Esselborn-Krummbiegel, 2004, p. 271).

The pathway stands for a feature whose upgrading modernity takes the lead as an original way to live actively real life according to the development of the potentialities inside man (Fromm, 2020). Psycho-sociological-symbolic reality will never cease to be evidence of the plausibility, which narrator and narratee accept as an important literary target to make interactive the way to live real time dimension to make the civilized community more self-confident. Let's remembered that the challenge launched by the *Vorwort* anonymous author ought to be interpreted as the first step to make imagination come on stage.

Strengthening this novel patrimony: 1 - a vast world of potentialities by; 2 - summoning all competencies of the modern literature reader to; 3- highlight the value of time, e.g., temporality, 4 - in what regards to its interaction with emotion to; 5 - underline the aesthetical emotionality as a modern literary feature every modern aesthetic discourse is to develop.

Haller's *Aufzeichnungen* was almost by chance published, so is the novel reader to believe. Its authorship and style show its value, not exactly the empirical author's (Hesse, 1972, p. 106) but the narratee's sensitivity. Most important was to understand what narrative strategies were to make him aware of his competencies to interpret the text richness so that it would put forward «artificially» its own truth and beauty. And how it was, therefore, necessary to draw, using narrative procedures and figures of speech, among others, a network of intertextualities and interactions as some mentioned above (Eco, 1992, p. 67).

According to Eco, referring to an author as an instance in his proto state would also be important. The *liminal author* (1992, pp. 70-1) is a narrative entity who uncovers such strategies to show how essential it is to emphasize the weight put on the literary discourse itself. Such a liminal author would remain the backstage to observe the best ways the whole *mise-en-scène* of the narrative action together with the receiver or/the narratee (Esselborn-Krummbiegel, 2004, p. 272) in order to watch every single detail so that all potential narrative meaning might be well understood and registered in order to come gradually nearer to a hypothetic interpretation of the whole artwork. We have already shown how the *Vorwort* author highlighted the major characteristic of such an artwork by defining it as a document vital to understanding the *Zeitgeist* (Delabar, 2004, pp. 269-270; Hesse, 1972, p. 127). Therefore, its

literariness will not be undermined using colloquial language level or the use of such a narrative strategy as the *mise en abyme* to persuade the narratee better of the value of the work within the work.

Moreover, every moment of the action of such a narrative constitutes *mutatis mutandis*, a way to multiply the several senses driven out of each branch belonging to the meaning stem, just as a synapse is the natural result of its respective neural ramification following the brain stem maturity. Every receiver becomes conscious of the “underground” energy of the meaning stream, whose manifestation will come to the surface in due time. Under the security of an omniscient narrator, the diegesis of the *Aufzeichnungen* would be a sort of confirmation needed by the receiver to prove that his hints and intuitions were the right ones. Thus, confirming those premonitions served by little details that make the difference in viewing the comprehension of the textual dynamics.

Hesse preferred to offer the reader the opportunity to attend so decisively to the generated emotionality and its importance in order to provoke a new interpretative trend and to let such a liminal author unveil thus the variety of hidden meanings lying within a configuration of mysteries and enigmas around which the diegesis is structured.

Let be recorded the joy such a literary discourse can provoke by Haller's recordings and the *Vorwort* author's report. Is the symbolic wealth within 1 - Haller's dream of Goethe-Pablo-Mozart; 2 - Hermine androgyny; 3 - hunting automobiles scene; 4 - Mozart-Haller dialog scenes to be seen otherwise?

More than pointing out the poetic moments of this narrative, it is preferable to emphasize how much they contribute to a network of associations to be woven between the souls of the protagonist of the literary text and the whole text rediscovered by the liminal author, which is all in all synthesized in the poem «Ich Steppenwolf trabe und trabe» (p. 250) written several weeks before Haller's reading of the *Tractat*. The addressee now clearly sees how not only Haller's unconscious stream (*Trage dem Teufel zu meiner Seele*) was already coming to the surface but also how traditional time-dimensioning is but the epiphany of a wider inner dimension which came about to be highlighted by such serendipity-moment. It shows modern literature's abstract and real features, pointing out a language whose wealth lies inside the panoramic and critical view formed in the living dimensioning of time. Every modern artist who creates beauty from his inner life experiences creatively influences his civilization way of living (Pessoa, 1973, pp.: 37; 36; 32; 31; 29; 27).

It will be crucial to stick to the assumptions of the model-text and its textual strategy - wherein the core of literature lies and has nothing to do with the intentions of the empirical author (Eco, 1992, pp. 79; 84-5).

Both the *Model Author* (Eco, 1992, p. 69) and the *Model Reader* as Eco proposes (p. 85) are naturally woven by such textual strategies wherein the differentiating features of modern literature also lie and whose signification heads towards the strengthening of a narrative within and for the world. Haller, who is almost fifty years old, living in the early twentieth century, undergoes an identity crisis and nonetheless does want to play an active role as the paradigm of a bourgeois citizen struggling for his new way of living. What aims such a narrative the most? To be accepted as model-text and not a projection of empirical facts of Hesse's life (Eco, 1992, pp. 84-5). Let be annotated a connection complex put into a stage performance that resumes what is presented and theorized in the *Tractat: the coincidentia oppositorum*. The liminal author perceives immediately where the core of the question lies: how could everyone accede to the reconciliation of the opposites (Ribeiro, 2007, pp. 183-4)? Such a meaning complex would be better understood with the help of a metaphor every addressee will be challenged to perceive whenever a plurality of meanings is to be understood. Perceiving this new perspective, the addressees will feel the aesthetic weight, e.g., thus overcoming the literal meaning (Ribeiro, 2011, pp. 343).

Language is thus at the service of an immanent value every literary speech contains by creating enigmas. Animal and Human nature appear in their full symbolic and paradoxical range to which sociological-rational understanding does not fit in. The model-reader then faces a peculiar reality whose strangeness and bizarre traits will foster the comprehension of such an aesthetic pattern, which he can respond to only with the help of imagination and sensitivity. Such a model-reader approaches a type of understanding whose putative meaning never stops emerging. No matter what form the enigmatic and mysterious character of the ways of expression used by the model author will be, the attention is drawn to the absence of a sort of specific justification. Only if the model-reader is aware of the time inner dimension can he be able to understand the whole of this new literary reality illustrated both by the *Tractat* and Haller's unique pathway: his interior journey to overcome such a struggle between opposite personality features (Jung, 1971, p. 30). The *Tractat* author defines «soul» by quoting the ancient oriental wisdom and uses another rhetorical figure: the onion-metaphor - after peeling an onion layer after layer, only its emptiness is found. Where should be lying the onion wealth? In anything material? The literary artwork always deals with an obsession: to find the right expression to achieve the clearest way to engender several answers to multiple questioning gestures; therein should lie its literariness, which, according to the *Tractat* theorizing gesture, is also to be compared with the nature-garden-

metaphor wherein both useful and useless herbal species are welcome. What would then be the mediate solution proposed by such a model-reader with the help of the narrative diegesis? A Man's interpretation according to which irrational (unconscious) and rational (conscious) dimensions could exhaust his whole wealth would fit. Besides, in his soul, the whole stream of signification can flow and a myriad of not yet imagined metaphors whose comprehension depends on the individual's pathway to maturity and whose duration will always be unpredictable. Therefore, the richness of both form and content present in the diegesis will always depend on the experience of time and its profoundness in the protagonist's existence. Every single interpretation act will then be triggered by the literary speech, its rhetorical codes, and its respective stage-performance using word configuration, as well as by the accurate observation of and ponderation of every use of prosody to be shared by the reader, too (Ribeiro, 2020, p. 386). From such an emptiness pattern feasible in this translated literary form, the addressee's imagination will be constantly challenged, thus generating the latter's greater and greater sensitivity (Eco, 1992, pp.39-41).

The modern literary artwork will then be building a fortress against the ordinary «commonsensicality» (Eco, 1992, pp.42-3), recovering its primeval mission: poetry always meant the expression of the absent side of every human experience (Lourenço, 2016, p. 289). By doing so, such artwork will naturally oppose itself against old and current metaphors and logical comparisons. At the same time, it will host a new stylistic performance directed to any model-reader's competence, which may make him ready to attend the benefits of *otium*.

The modern literary artwork will fight back against every empirical author and his approved tacit or expressed interpretations and every external morality. Haller's verdict makes him: 1 - the subject of patronizing public laughter; 2- aware of the immortality of every inner experience; 3 - aware of not being regulated by sociological morality; 4 - aware of not submitting himself again to immaturity. Would both the liminal-author and the model-reader answer the same way supported by a model- a text whose strength would be worked out towards the text plausibility? Above all, every modern literary artwork has to make use of its transitivity (Oster, 1997, pp. 57-9; Karalaszewili, 1993, pp. 163), may be it either confessional or not; it must count on its reader's aesthetic competence; otherwise, no aesthetic performance takes place (Ribeiro, 2003, p. 81).

Modern literary artwork discourse arises from the constant dynamics between *intentio operis* and *intentio lectoris* (Eco, 1992, p. 64). Its beauty is to be supported by its literary and moral weight, which depends upon a persistent study whose renewal

results from the fact that it should constantly be the object of a systematically remarking and analyzing posture defending the respect for its internal coherence while unveiling its specific truth. The *Vorwort* presents a sociological reality to immediately attract every unaware reader, led by a primary and logical inference confirming the protagonist's situation presented by the handwritten *Aufzeichnungen* speech, which illustrates facts previously presented in it. The initially shown mysteries, truth, morality, lesson, and usefulness would immediately be completely and exhaustively illustrated. The same would happen to the kind of elementary plausibility: everything would sound so nice and objectively verified that no more would be left to be unveiled. The *Aufzeichnungen* would come out as an extended confirmation of what would have been said in the *Vorwort*. Would these characteristics be enough to explain the literariness of such modern artwork? Would it be enough to learn only how to overcome the life crisis represented by a hero like Haller, almost fifty years old, going through an identity crisis whose identity was constantly harassed by suicidal tendencies? Let then be at least learned through such literary artwork how cleverly useful all this *mise-en-scène* performance and subsequent lesson be applied to every citizen. It would be an interesting hypothesis.

Let this judgment by induction prevail over the initial and only putative deduction - all the same common to those attained by any scientist. Would it fit the whole of Hesse's strategy? Would it not be acceptable if emptiness and plausibility were not to be associated with the beauty worked out in Hesse's literary artwork? Had it not ever since provided an interpretation concerning the psychic dynamics metaphorized and configurated through the quoted *mise-en-scène* in order to develop a model-reader and his analysis to succeed in multiplying creatively every potentiality this artwork is a paradigm of? Had it not ever since provided the possibility of giving birth to a model-author - as long as his investigation makes him nearer the archy-text as the real proof of its anti-commonsense plausibility? What will then be the point of such an archy-text? A new kind of sense (Hesse, 1970, XI, p. 53), whose meaning is to be gained, would testify to the real method of this new way of understanding through abduction.

The psyche's dynamics will continue to be the surplus-value of all kinds of human existence whenever its temporality is regarded as the epiphany of the contradiction between opposites and its respective overcoming. This artwork begins to be revealed when the model-reader, while observing such a methodological posture, starts to get more conscious of the unquestionable vigor of such a psychic process: the hero's and his own. Does the diegesis suggest how will be Haller's future? From the last line of the *Aufzeichnungen* on, no one knows what will happen to the hero. The *Vorwort* author has not

revealed much. Probably, Haller gathered sufficient elements during his ten months stay that were essential to comprehending his day-to-day real future life. He had probably (re)gained his aimed splendor since he learned the lesson: let life's natural paradoxes be accepted as long as man will accept existence in whose form a modern literary artwork wants sub-condition to bestow beauty and mystery altogether.

Modern literary artwork discourse cannot do without words-by-speech, one reliable way of converting thought into pleasure, because words are not only tools for hearing and translating concrete reality into the abstract form of man's twofold structure of speech. We perceive sounds produced and/or spoken by hearing as we perceive an image by visioning the description of the concrete reality. Such a physiological process depends on all types of sensations - the first essential dimension allowing every elementary survival behavior. The impressions left in the hearing and seeing organs are to be followed by the individual consciousness making them simultaneously rise to the respective regions of the brain cortex: the "center of the highest cognitive functions," with ca 17 million neurons (Maffei, 2014, p. 26-7). Thus, allowing the consciousness of such a cortical image whose recording allows due knowledge and recognition inside a memory thesaurus activated when needed (Maffei, 2018, p. 116-7). Such patrimony increases with the interaction between the environment and 86 billion neurons and the respective ca. hundreds or thousands of synapses that form the human brain cells (Maffei, 2014, pp. 16-7; 26-33). This act of recognition and knowledge illustrates the cortical operation - which ceases to have something in common with every memory act needed during the survival process - because a vivid experience generating a peculiar emotionality leads to such an act of consciousness. Such a physiological process gets richer and richer as long as a new temporality dimension updates its relevance. From a universal act of hearing and/or - of seeing, the individual becomes now conscious of a personal process wherein the same data is imprinted in his personal memory managed by the psychological dimension of time - which value depends on every man's maturity. Is not every singular interpretation summarized in the maxim: *tot capita tot sententia* a peculiar example of this?

Moreover, will it be necessary to exemplify how many responses retina or superior linguistic systems give astonishingly birth, during sleep, to a surprisingly dream speech while processing its respective electrical activity? (Maffei, 2018, pp. 121-122). Aesthetic pleasure or displeasure are generated cortically - although also under the hormonal influence (Maffei, 2018, pp. 120-30). They are generated by a process of association whose upgrading goes along the emerging synapses

ramification (Maffei, 2018, pp. 116-7). This translational process shows how an elementary and immediate sensation and emotion will be replaced by a more developed one filled with more complex and mediated emotions. In turn, emotions generated in and assembled out of every personally felt and experienced reality will give birth to other more profound and complex since they reflect the several layers of emotions forming an emotionality thesaurus wherein imagination plays an important role while strengthening this sensitivity to temporality recognized by both the model-author and the model-reader. The emptiness found along the narrator's speech appears out of the configured enigmas; these occupy the receiver's memory, although identified through a prosaic image, but soon coming up as a powerful metaphor. In the *Tractat*, the garden metaphor will help Haller imagine what will be the type of the remnant left after peeling the onion layers. By understanding the association between the human soul and the garden image, wherein useful and useless herbal species live in harmony, the narrator represents equally the power of the wealth displayed by an interactive psyche whose indispensable creative center manages the originality of its speech through original naming as a result of an interactive communication language flowing in the individual's mind and originating a deep and dynamic *mise-en-scène*, where a new and unheard-of meaning comes ahead (Maffei, 2018, p. 39-40), thus giving form to an adjustable paradigm of modern aesthetic creation.

Words - or even images - are always photographs whose angle or other represented reality features are unique - becoming particular aspects of an archytext. Now we can understand Bernardo Soares' statement when he defended the *Zeitgeist* as long as it would be represented using photographing-through-words - Mallarmé, too (Maffei, 2018, pp. 115-6). This can thus physiologically be confirmed since the interaction between hemispheres is a recognized process wherein words played a role for about 100,000 years and the language structure for about two million years ago (Maffei, 2014, pp. 48-50). Injuries in the front side of the right hemisphere of our brain confirm our disability to express ourselves with intonation and utter without prosody, which cause the loss of the power to communicate successfully and express any emotion (Maffei, 2014, pp. 40-50). Every usual act of communication is normally identified as the expression of the interaction between thought and language. The meaning is organized as the outcome of neural activity across the cortex (2014, pp. 53-55), wherein all is about specialized neural centers. The right hemisphere (for right-handed) is responsible for the treatment of visual images, which another neural area will afterward assimilate: corpus callosum (ca 200-300 million neural cells) that intercommunicates with the left

hemisphere, whose competence lies in the constitution of the articulated speech (2014, pp. 53-5).

Normally the left hemisphere is a brain area responsible for such a communication of serial events dynamically structured under a time-lapse streaming: the basis of all reasoning (Maffei, 2014, pp. 53-5) and allowing the potentiation *ad infinitum* of all kinds of meanings (2014, pp. 39-42) Even the original ones which shall never be taken as irrational because they are only the expression of a «translational» reality giving response through images which, in turn, may represent a partly universally known reality.

Some of these weird contents might usually be against any logic determined by reason, thus an unprecedented symbolic or abstract, or metaphysical value. In fact, no neural cells generate any irrational meaning (Maffei, 2014, pp. 99-106). Moreover, our brain never ceases to put forward a resilience to the activities of a globalized "brain" and its unambiguous discourse, full of certainties and univocal comprehension (Maffei, 2014, pp. 106-110), also under the form of an aesthetically engaged discourse displayed by every literary artwork whenever its mysteries are gathered in the space of its questioning strategy.

The reader's fantasy may then come to a stage-performance-like expression and enter the scene by creating a single silence capable of challenging the collectively acclaimed loquacity (Maffei, 2018, pp. 106-110) - which every modern artwork wants to fight back in order to make its addressee more and more interactive.

Through the peculiar case of the word, every modern literary artwork will translate such a creative attitude the better, the more it will always transform thought under an interactive language, introducing itself as an epiphany of the Broca's area performance (Maffei, 2018, pp. 39-43; 26-8).

The brain area responsible for the double articulation of language is situated in Brodmann area 44 (*pars opercularis*) and Brodmann area 45 (*pars triangularis*). A part of the front lobe of the left hemisphere of the brain; together with the Wernicke's area - the cerebral cortex area responsible for the reception and analysis of written or spoken language - in the Brodmann area 22 located in the temporal lobe of the left hemisphere too and near the auditory cortex on the lateral sulcus are the centers of language which are in turn connected by the arcuate fasciculus (Maffei, 2018, pp. 26-8).

Without these, man would not produce any kind of language, not to mention a literary discourse only to come about - after the existence of language, a proto-language, and later on - under the form of an aesthetic expression since words are but symbols to call only on poetry, e.g., the poetic speech behind them. The words are but actors to be put on the stage of language (Borges, 2000, pp. 3; 8; 10; 18).



According to Maffei, such centers are the so-called centers of language, more accurately of articulated language, without which human word-speech would not have helped distinguish Man for about three million years now. A mammal whose brain weights ca. of 1,500 kg and wherein its left hemisphere (Maffei, 2018, pp. 26-8), according to Maffei, should be able «the hemisphere of time» (2014, pp. 43;47-8) And why? As the center of rationality, the left hemisphere (for the right-handed) affords every act of producing and receiving communication. During such moments it is accepted and proved that more time is needed for word than image communication (2018, pp. 27-30; 34-41). Therefore, it is for sure accepted that the speech-through-words is born out of the neural processes within the left hemisphere since the reality thus invented is formed, explained, interpreted by re-inventing and correlating several commonly recognized aspects in order to configure a first instance plausibility which will be overcome to differentiate itself from every primeval form of the communication process practiced during every survival strategy (2018, pp. 26-32; 34-41).

For the nowadays globalized society, cultivating the slow pace, the slow time through an aesthetic form belongs to its core mission. It is its must since it provides, above all, better functioning and structuring of brain maturity. It becomes a vital and aesthetic survival process naturally to fight against the speed with which the civilization pressures humankind and tends to weaken the superior cognition of modern man discretely (2014, pp. 58-61). Cultivating patience by hosting such literary modern art strategy is not but a reinforcement of the human slow-paced dimension via an aesthetic device by calling emotionality onto the stage performance by offering a more conscious art spectator a major role.

If the aesthetic discourse reinforces the sparkle of beauty, causing the search for the sensitivity lightness among every creator and receiver of the modern literary artwork, the slowness praised by Maffei will immediately show itself (2014; pp. 81 -83) under the form of astonishing/amazement (pasmó) which Pessoa mentioned throughout his both poetic (orthonymous or heteronymous) and essayistic writings.

Only artistic creation can generate such amazement recovering lost values essential to an everyday decision-taking during a globalized era whose major need is to ponder on the consequences caused by each of its pre-formatted responses and proposing the best way to resist the escape-reflex reaction before immediately or mediately perceived aggression in a hostile riff-raff modern lifestyle (Maffei, 2014, pp. 56-60; 91; 96-8; 100).

Nowadays, artists cultivate fantasy, thus improving their creativity like any scientist hyper-develops at the same time their brain cortex activity by undergoing a process of association wherein every pre-existing

element. In what measure? By offering a Tempo to, under preparation, incubation, lighting, and verification, carry out a single idea born out of a sparkle (Maffei, 2014, pp. 115-19). Man does not have a time sensor as he has others to access space dimensions. He has circadian regulators (epiphysis) (Maffei, 2014, pp. 45). Though he cannot measure the duration of the events, he has live experiences. Waiting generates despair or ecstasy, and during these situations, every man loses time/duration consciousness because it is only possible to measure the speed of information passing through neural fibers, which vary though according to the structure of its tissues, either with or without myelin (Maffei, 2014, pp.45-8).

The longevity of the individual brain is peculiar, too. The speed of content transmission will vary from individual to individual. It will not be necessary to ask whether the succession of events will have the same value from individual to individual (Maffei, 2014, pp. 45-8). However, let's admit: will not emotions determine how long they will persist on and on account of their impact on man's mind? On account of the imprint, impregnation resulting from the way such were life experiences deeply felt?

The depth of emotion will for sure be defined according to the individual's sensitivity, which in turn will be led by its maturity too. The resonance of such living experiences will for sure also contribute to developing a modern temporality consciousness in which every singular artistic expression will feel worked out by a speech performing the silence born before every word (Lourenço, 1973, p. 43) while giving form to an archy-language playing the melody lying in humankind's soul (Brenot, 1997, p. 198-9).

Just like Pessoa, Hesse wanted man to be conscious of his condition akin to every god's status; just like a realist writer, he too counted on the reader to be the co-writer of his novel post-ending. (Hesse, 1972, p. 123; Karalaszwilli, 1993, p. 188).

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# Bertrand Russell on architecture; between territorialization and place-making

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**ABSTRACT:** On the occasion of the 150th anniversary of the birth of Bertrand Russell, this paper aims to highlight his views on Victorian architecture. Russell was a key figure in 20th-century European culture, and his thought was deeply molded by Victorian ideals, even if he would later reject most of them. There was one conviction, though, that he kept throughout his life – the possibility of creating a better world in which humanity could live happily. After some introductory remarks on space, territory and place, we will describe Victorian cities and provide a synthesis of Utopian urban planning, followed by an analysis of Russell’s essay “Architecture and Social Questions.” This text reflects on the conditions that may permit future social change, creating a nexus between space and time, present spatial conditions, future transformations and a political vision for the years to come. As is the case with many of Russell’s writings, one senses a Utopian appeal reverberating throughout the pages. However, this appeal is not mere daydream, as he lays out the practicality of his vision. Well aware of the several functions of spatiality, Russell entertains both the notions of territorialization and placemaking as a means to bring about the desired reform.

**Keywords:** Bertrand Russell, Space, Culture, Architecture, Utopia

Bertrand Russell was one of the most influential writers of the 20<sup>th</sup> century. His work encompasses fields of knowledge as varied as Mathematics, Philosophy, Sociology, Politics and Literature. He was a spokesperson for pacifism and women’s rights, an intellectual who never lost sight of the real life and whose effort in bringing about a reformed society was rewarded with a Nobel prize. As he says in his *Autobiography* (1991), his life was guided by three passions –the passion for love, for knowledge and for happiness– and he spent it trying to extend them worldwide. In 2022 we celebrate the 150<sup>th</sup> anniversary of his birth. It is, thus, appropriate to remember his legacy, namely evoking an essay on which he reflects on how spatial change can create an improved future.

## 1 SPACE, PLACE AND TERRITORY

Spatiality and temporality are keywords for understanding social dynamics. In the past, they tended to be seen as separated categories, the space being considered the most stable notion. With fixed frontiers, it evoked a set of unchanging homogeneous values and practices defining communities across generations. In this traditional view, time represented, by contrast, change, movement and multiplicity. Today, there is

consensus as to the inadequacy of this view and in realizing the heterogeneous and unstable nature of both.

Any reflection on spatiality must start with acknowledging *space* as the key concept or baseline (Duarte, 2017: 3) of any other concept within the same semantic field. Its complexity is clear: it can be studied from several perspectives, such as geography, mathematics, astronomy, philosophy, sociology, literature, urban planning, architecture and the arts. Although it is “most immediately perceived” (Duarte, 2017: 4) and ‘felt’ before it is explained, it should be studied alongside territory and place.

In order to distinguish *place* and *territory*, we may define territory as “the political features that establish power relations over portions of space” (Duarte, 2017: 2). The changing nature of territory is usually emphasized – it is “a process, made and remade, shaped and shaping, active and reactive” (Elden, 2013: 17), as the result of the policies taken by decision-makers. One may argue that the same applies to place, but whereas territory is influenced by politics and is imbedded in imposed values, place is defined by affective values and a subjective relation to the landscape and the way of life of a community. Within this conceptual framework, a wall is a territorial device, but keeping a garden is a place-making practice. Both are subject to continuous transformation in the course of time, but they respond to different stimuli.

The objectives of the process of territorialization vary according to time and space. Haesbaert stresses four main goals: to provide shelter and to ensure the preservation of material resources for the purpose of survival; to create symbolic references related to cultural identity (e.g., frontiers); to promote individualization, enforcing discipline and exerting control through spatial strategies, such as social distancing, lighting, heating and so on; and to build connections through information fluxes for commercial and political purposes (Haesbaert, 2004: 5).

On the other hand, place-making inspires people to collectively reimagine and reinvent public spaces as the heart of the community. Its purpose is to strengthen the affective bonds between the population and the space it lives in. As this goal is accomplished, others ensue: the value of collaborative processes is reinforced, appreciation of sharing the public sphere is increased, and communal values are deeply felt. Furthermore, place is a concept that fosters creativity, acting upon the physical, cultural, and social elements that define and support a way of life.

Whenever city plans are made, all these domains intertwine, and changes take place both in a physical and in a social sense. Spatial features are linked to social reform, but they may exhibit stagnation as well. They also show how we deal with crisis and conflict, what we expect from urban or rural spaces, how we are preparing the future, and what the main elements of our daily experience are.

A close look at Victorian cities offers a glimpse at the legacy that Russell inherited as a son of the Victorian period. It was at the crossroads of this legacy with the future that he imagined ways of acting in order to change the territory and create meaningful places.

## 2 ENGLISH VICTORIAN CITIES

The Victorian period saw the emergence of cities dominated by the railway spirit. They were made of steam and gas, of social restlessness and economic productivity. In order to carry out the industrial achievement, great effort was put into creating and expanding the necessary requirements of successful industry.

Initially, the country was not prepared for the growth of urban populations. The urgency of industrial investment seemed greater than the need to attend to social matters. The result was the formation of urban clusters that were “impressive in scale, but limited in vision” (Briggs, 1996: 5). The rhythm of growth left a large but unsatisfactory social imprint. Even in late Victorian days, the pace of construction did not slow down. A very suggestive image of what happened in those days is given by Sir Walter Besant. According to his account “the houses ‘sprang up as if in a single night, streets in a month,

churches and chapels in a quarter”” (Briggs, 1996: 11).

The change was both visible and invisible. There was a complex underground network of pipes, drains and sewers, hidden from the public eye, preparing the future sanitary system. On the surface, daily life was “fragmented, intricate, cluttered, eclectic and noisy” (Briggs, 1996: 5). Years after, this scenario would still carry bad memories. The more critical eye found in Victorian housing a grim disaster, with its appalling living conditions, bleak houses for the poor, the absence of amenities, the degradation of natural environment. The consequences were felt for a long time, and when, in the 1870s, legislation concerning public health and laborer’s dwellings came forth, mortality rates were alarmingly high, and it proved quite difficult to reverse the course that had been taken. It became clear to everyone that it was more expensive to cure diseases than it would have been to prevent them.

The legacy that was passed on to the 20<sup>th</sup> century was, therefore, heavy and would weigh down on the new generation for some time. Although able to draw more easily on expert skills, the English of the 1900s still had to wrestle with the complex urban problems bequeathed by the Victorians. They considered the ugliness and problems of the cities as a deplorable effect of industrialization. Adding to this, there was a psychological resistance to the city, probably dating back to the Roman invasion (Briggs, 1996, 47). Therefore, when English society featured the exodus of the rich from the city to the countryside, it manifested two of its deeply rooted characteristics: the cultural importance of the higher classes as a hallmark of national values, and the significance of keeping close to natural settings. The abyss between town life and countryside was undisputable, with preference falling on the latter: “Towns were places where men made a livelihood; country houses were places where people lived. Man made the town; God made the country” (Briggs, 1996, 47).

The architectural nature of the industrial buildings concurred to strengthen the preference. The last decade of the 19<sup>th</sup> century was one of the “most creative and complex in European architectural history” (Ford, 1995:66), and England was no exception to this rule. The epoch saw at the same time a backward movement with Gothic revivalism and a step forward with the radical view that buildings were better unadorned and devoid of ‘style’.

Architecture of the second half of the century was primarily concerned with the buildings belonging to commerce and industry: banks, credit houses, insurance companies’ offices, factories, textile mills, foundries, warehouses and granaries, railway stations and railway hotels imposed themselves on the physiognomy of cities. However, the early factories in the 30s and 40s were hardly more than a colossal

aggregate of brick sheds, built by contractors with the advice of engineers specialized in fire-proof construction. The architect came in only when the industrialist began to see himself as an “acceptable public figure, a benefactor to society and just possibly a philanthropist” (Ford, 1995: 72). Architecture was, thus, a way of claiming prestige for the business and its proprietor. On the whole, the intention was to display a sober character, evincing the respectability of the business. By the end of the century, the influence of economic goals dictated stable, austere lines. Factory building “became an engineering rather than an architectural enterprise” (Ford, 1995: 75) and urban rebuilding became largely “an affair of investment in business premises” (Ford, 1995: 75).

These trends were certainly influential in Russell. Before he set up to vindicate architectural reform, John Ruskin and the so-called ‘radical’ architects (C. F. A. Voysey, Phillip Webb and William Richard Lethaby, for example) were contributing to spread a taste for simplicity. Ruskin, in particular, strove to give architecture “a conscience” (Ford, 1995: 66), by putting emphasis not on decorative aspects, but on good building practice and good craftsmanship.

On the social front, Robert Owen, Minter Morgan, James Silk Buckingham and Ebenezer Howard had put down in writing the benefits of living in open spaces, even if near or in large towns. They looked for a high degree of order, symmetry and healthfulness associated with spatial conditions. Underlying their plans, the city should have a central square, which would provide the organic cohesion of the population. It would be the heart of social life, of public lighting, of economic distribution, of government, etc. Besides this feature, it should assure comfort to all classes, not only to the wealthy, offering to the poor the same conditions of pleasurable life that could be found in the countryside. The underlying assumption was that England would not rise to its aspirations to be a leading world nation until city and country and their diverse modes of living combined.

It is easy to find in these suggestions the fingerprint of More’s *Utopia*, whose capital city and towns in general developed under a square plan, in which could be found the main element of social reform: the marketplace. For More, it was crucial to change society from the economic basis, providing equal distribution of food, securing the prosperity of the whole community and safeguarding the existence of similar living conditions to all inhabitants. The uniformity principle is manifest in equal clothing, meals in communal dining halls, equal working hours, and the alternative occupation of houses in the country and in the cities every four years. Russell’s ideas are deeply rooted in this tradition and were especially invigorated by industrialization.

His essay was also written under the influence of the American architect Louis Sullivan, who became famous for his quote: “form ever follows function”.

According to this maxim, architecture and design must serve the purpose of the buildings. It was Sullivan who developed the shape of the tall steel skyscraper in late 19th-century Chicago. The historical context favored architectural change following the great impetus of technology in society. America was ready to accept a new style convergent with the economic boom and the need to shape urban planning in tune with Modernist taste. By the 1930s, Sullivan’s maxim had become a battle cry for Modernist architects, who went as far as to declare all ornament as superfluous.

By the previous examples, we can see the nexus between space and time, space being the domain of settings and surroundings, and comprehending both physical and social values.

Russell was aware of this nexus. As early as 1917, in *Mysticism and Logic and Other Essays*, the author argues that philosophy, as opposed to the applied sciences, must not deal with any portions of space and time. A philosophical proposition is *general*. By that he meant that the knowledge acquired via philosophy should enable the understanding of *general* forms (Slater, 1994). Even if the method leading to the results was that of dividing the problems into separate and less baffling questions, the ultimate goal of philosophy was to grasp the relations between the parts of a unity, since to understand the unity itself would be an impossible task. Consequently, the study of space would provide information about spatial and non-spatial phenomena, such as time, in a complex web of interwoven relations.

In the essay that will be the object of analysis, this nexus is made clear, as Russell sustains the idea that architectural reform would offer democratic opportunities of a better life for everybody, disregard of sex or class.

### 3 “ARCHITECTURE AND SOCIAL QUESTIONS”

In “Architecture and Social Questions” Russell presents his view on the relation between edified space and social change. He finds two purposes in architecture: one utilitarian of “affording warmth and shelter”, and the other political, of “impressing an idea upon mankind by means of the splendor of its expression in stone” (Russell, 1996: 38). For a long time, “everything individual was Spartan and simple,” except the palaces of the higher classes, and “everything communal was splendid and spacious” (1996: 39).

In the 19<sup>th</sup> century, he selects two typical architectural forms. In his opinion they were those that best mirrored the significance of the social change brought about by the industrial revolution: the factory and the “tiny houses for the working-class families” (Russell, 1996, 40). The former represented the economic centrality of machines and the latter stood for the social separateness of an individualistic society.

The author also stresses the nexus of architecture and wealth: the higher the price of land, the larger the buildings. Apartment housing, blocks of offices, hotels and similar large projects require vast, expensive parcels of land. Economic aspects intervene, thus, in the definition of territory. However, the occupants of these buildings don't form a community like the monks in a monastery – they “endeavour, as far as possible, to remain unaware of each other's existence” (Russell, 1996, 40). At the time he's writing, he sustains that communal life is limited to the workplace, which leads him to conclude that social life in modern societies is exclusively based in economic ties, and all non-economic social needs run the risk of remaining thwarted.

Furthermore, modern society is characterized by a great inconsistency (1996: 41):

while production has become increasingly a matter in which large numbers are concerned, our general outlook, in everything that we regard as outside the sphere of politics and economics, has tended to become more and more individualistic.

It's safe to remark that, even if unaware of the subtle distinction between territory and place, the author notices the prevalence of the former in the spatial arrangements that presided over the society he was familiar with and wished to change. The industrial world had brought about territorial changes closely related to political and economic interests. The streets, the houses and the workplaces of the poor were hostile to communal feelings of belonging that would generate wellbeing and a sense of a full, rewarding life.

He goes on to point out that the individualistic outlook can be seen, not only in the daily lives of ordinary people but also in art and culture (1996: 41), where the cult of self-expression “has led to an anarchic revolt against every kind of tradition and convention” (1996: 41). All this may be seen as a reaction against overcrowding, a sign of industrial cities affecting everybody, but having a particularly negative sway on women and children.

Russell is concerned with the poor physical and psychological conditions of life in industrial societies for the weaker demographic groups: mothers and children. On his own account, children live in an environment which doesn't provide them enough liberty or space for activities in the sun; mothers are usually “poor, ignorant and busy”, having to combine the duties of nursing, cooking and looking after the house. Women perform these activities badly, are always tired and burdened by motherhood. In the end, they are “irritable, narrow-minded” and treat their children with harshness (1996: 43); children, in turn, become “rickety, neurotic, and subdued” (1996: 43).

The main argument is that family life could be improved by architectural reform. With the right

type of architecture, women could be relieved of their duties as housewives and mothers, which would benefit all in the family. With that in mind, he argues for the communal advantages of monastery life, without the obligation of celibacy, to secure universal happiness.

In order to implement the reform, he suggests the introduction of a communal element in architecture. The separate little houses, each with its own kitchen and dining hall, should be replaced by large buildings, whose characteristics remind us of the utopian residences in More's narrative (Russell, 1996: 44):

[...] there should be high blocks of buildings round a central quadrangle, the south side being left low to admit the sunshine. There should be a common kitchen, a spacious dining hall, and another hall for amusements and meetings and the cinema. In the central quadrangle, there should be a nursery school, constructed in such a way that the children could not easily do harm either to themselves or to fragile objects: there should be no steps, no open fires or hot stoves exposed to the touch, plates and cups and saucers should be made of unbreakable material [...]. All the children's meals should be in the nursery school, which could, quite cheaply, provide them with a more wholesome diet than their mothers can give them.

The repetition of ‘There should be’ as opening words of several sentences shows the need to emphasize the recommendation. The expected results so determine. Children's health and character would benefit from these changes. Liberty of movement allied to safety would foster adventurousness, and physical exercise would make them more robust. Women would also profit from the architectural transformation. They would hand their children over, throughout the day, to professional women specially trained in the care of young children, in order to devote themselves to the pursuit of a career, just as their husbands did. The time they would spend with their children would equal that of fathers', a brief period in the morning and in the evening, “long enough for affection, but not long enough for frayed nerves” (1996, 45). As a consequence, family life would preserve all that is good – love and affection – and get rid of the encumbrances that destroy joy at home.

In addition to this, large rooms would protect men and women against confined, small, sordid quarters. Just like this reform would erase inequalities between men and women, it would also provide equal opportunities for comfort to all classes. It must be added that, for Russell, the pursuit of happiness (a synonym of wellbeing) “is not significantly different from the pursuit of health” (Monro, 1999: 67).

On the other hand, the social gains are not merely territorial, i.e., the outcome of an economic or

political imposition. They help to configure a place of belonging for the lower classes. As the author says: "Beauty and space need no longer be the prerogative of the rich" (1996: 46).

This reform is clearly influenced by Utopian narratives and plans. The quadrangular shape in urban planning is reminiscent of the design of cities in *Utopia*, all developed according to this shape. The square is the shape of balance and of artificial, earthly perfection, thus tuning with the prospect of improvement and happiness intended for both individuals and the society as a whole. Even though the author never mentions the name of Thomas More (probably in order to avoid being considered a visionary out of touch with reality), he acknowledges the influence of Robert Owen. Contrarily to More, Owen moved from fiction to fact with his "co-operative parallelograms" (1996: 46) and the communal experience carried out in New Lanark was established on "very enlightened principles".

The failure of Owen's undertaking relied not so much on being poorly thought through, but on being "premature in those days of grinding poverty". It must be noted that, even so, Russell makes a point in stressing that "many parts" of what was then conceived "now come much nearer to what is practicable and desirable" (1996: 46).

Except for the excessive stress put on production and its consequent focus on profit and not on consumerism and wellbeing in ordinary life, New Lanark is referred to as a model that should be considered again, in a time more prepared to carry out ideals of social reform. The main obstacle to effective change in this respect is, says Russell, the ideological resistance of married couples themselves. Marriage introduces the "instinct of privacy" (1996: 47) and married people find satisfaction in possessing a 'home' of their own. Monastery life did not raise this problem due to the celibacy of the monks. So, architectural change is not exclusively a matter of intervening upon space, but of acting upon the mind-set of the population, a task that may require time before it is accomplished.

Russell admits that it is difficult to change old habits. Men are particularly opposed to change, since they are not the most burdened by the challenges of married life (1996: 47):

It will not be from men that a desire for the change will come. Wage-earning men, even if they are Socialists or Communists, seldom see any need for an alteration in the status of their wives.

It would be up to women, therefore, to take the necessary steps in order to implement social reform. Architecture is, therefore, just an aspect of the general change that must be effected, and an important

one in order to prepare the future happiness of the coming generations.

In spite of his conviction that universal wellbeing would ensue from his plan, the author is aware of the resistance that his ideas may meet. As he says at the end of the essay: "The health and character of children, and the nerves of wives, must therefore continue to suffer" (1996: 47). The causes of such 'suffering' are an intricate mixture of long-established values as the value of privacy, the prejudice against working women, the fear of unemployment that working women may cause to the male population, and the lack of attention given to the wellbeing of the lower classes.

The architectural reform advanced by Russell would correct these social evils, and "– what may seem even more Utopian –" (such are his words) give "Beauty to the suburbs" (1996: 48). This last aspect, concluding the essay, highlights the author's consciousness of being in tune with the Utopian tradition; however, contrarily to fictional narratives of the utopian kind, his writing is not meant to trigger merely a contemplation of an alternative order; it is also meant to produce actions towards actual reform.

#### 4 CONCLUSION

It is interesting to notice that of all the buildings and architectural structures that were affected by industry and commerce, Russell selected only two: the factory and the tiny houses of the working classes. Leaving aside banks, railway stations and hotels, granaries, warehouses and similar edifices, his selection highlights his concern with the welfare of the most fragile strata of the population.

It is also worth noticing that of the four goals of architecture presented by Haesbaert, only the fourth is absent from Russell's essay. He refers explicitly to shelter and, notwithstanding presenting a second goal connected to cultural identity, the individualization element is present in the analysis he makes of architectural prevailing decisions in his time. Only the fourth goal is apparently absent from his attentive scrutiny. However, on a closer look, we find it lurking in the forces that resist change, since they reveal the weight of discourses, of information engrained in speech and thought, as well as of commercial and political values disregardful of democracy and social reform. Thus, the expression of splendor relates to the symbolic sphere as much as the imprint of an idea represents the imposition of a political ideology.

Another aspect that should deserve our attention is his view concerning beauty and the aesthetic value of architecture. Russell follows Utopian thinkers and Sullivan's motto, as he states that urban planning and construction should bear in mind the need for spacious quarters, ample sun exposure, freedom of



movements and communal lifestyle. He was well aware that aesthetic merit was always restricted to public buildings or private palaces of the wealthy, never available to the lower classes.

In similar manner, he was also conscious that the social ideals of an age can be judged by the aesthetic quality of its architecture – from this principle the author infers that the quality of social life has reached, at the time he's writing, the lowest point in one hundred years (1835-1935). Ugliness, insufficient sunlight exposure, confined quarters and private kitchens and dining halls had led to isolated overworked mothers, living unhappy and unfulfilled lives as well as failing in bringing up healthy and self-assured children.

The aesthetic element is the last one to be put forward. Coming last may lead us to believe that it played a secondary role in the inventory of priorities. But another way of looking at it is to acknowledge it as the ultimate argument, the trump card, left for the end in order to serve as the strongest plea against accusations of cherishing impractical ideals.

As he says, after exhausting all previous arguments, the hideousness of the suburbs is not an inevitability. Saying this equals to putting the previous calls on the same level of importance and practicability. Hideousness is as inevitable as ill-health, poverty, women's subordinate role in society, worry and tiredness – they are all the price paid for giving up hope on a better future.

As a conclusion, we may say that the essay's use of buildings to express hopes and fears is part of a general commitment of the author to human happiness and a feature of Bertrand Russell's approach to culture. The architectural element of space not only constitute a territorial mark, indicating policy makers and socioeconomic priorities, but a vindication of place-making as an aesthetic and

affective necessity in the 20th century. Also, for this reason, it is important to know and remember Bertrand Russell's legacy today.

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# Time of the gypsies and space for the voice of a Roma woman; reading Olga Mariano's *Pedaços de Mim* (2021)

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**ABSTRACT:** The publication of Olga Mariano's *Pedaços de Mim* in 2021 signals the presence of a voice that has systematically been absent from the Portuguese literary field: that of the Portuguese Roma. Within the European context, the almost non-existence of Portuguese Roma literature contrasts significantly with the constitution of substantial corpora of Roma authors published in Eastern European countries, in the former Soviet Union, and even in Western European countries, where these literary corpora have been less expressive but still present in their respective literary markets. The almost non-existence of Portuguese Roma literature strengthens the prevailing idea that Portuguese literature is the expression of a taintless Portuguese cultural homogeneity. This essay argues that the publication of *Pedaços de Mim* is opportune at a time when several Portuguese writers of African descent have also emerged and widened the scope of the discussion on the legacy of Portuguese colonialism as a history of Portuguese exclusion and segregation of ethnic minorities; segregation is also the history of the Roma in Portugal. Mariano's poetry deconstructs literary stereotypes associated with the Roma as explored by non-racialized Portuguese writers. The visibility and encouragement given to ethnic-minority authorship show the extent to which literature can be a privileged space for the acceptance of their humanity and take the shape of reparation of the historical wrongs of exclusion.

**Keywords:** Women's literature, Roma poetry, Olga Mariano, Polyphonic space, Reparation

At the beginning of *Time of the Gypsies* (1988), a feature film directed by Emir Kusturica, lines on a black screen read: "When God came down to earth he could not deal with the gypsies and took the next flight back." Irony apart, this sentence conveys the extent to which the gypsies – the exonym given to the various Roma communities across Europe – have been subjected to widespread marginalization and misunderstanding. *Time of the Gypsies* is the English title used for the international distribution of Kusturica's film, whose original title in Serbian is *Dom za vešanje*, which literally means "Time for Hanging," encapsulating the idea of judgment, wittfully lost in translation. Filming in Romani and Serbo-Croatian languages, Kusturica uses aspects of the Romani folklore that exoticize Roma communities as endowers of passive psychic powers and associates with petty crime to tell a coming-of-age story of a young Roma man. This film and *Black Cat, White Cat* (1998), also by the same filmmaker, are two rare films ever being shown in Portugal featuring Roma actors that tell stories about Roma communities. Kusturica's films have mainly been shown at independent theatres and film festivals, including the LEFFEST.<sup>1</sup> Despite there being 6 million Roma in Europe, the

largest minority originated from northern India, the Roma community is very small in Portugal. Portuguese statistics are not very accurate in this matter because the Portuguese official census does not include any race and ethnicity identification questions, but various studies conducted in Portugal indicate that current numbers of Portuguese Roma do not exceed 60,000.<sup>2</sup> The Roma have been the subject of research in the area of social sciences since the late 1990s, such as that led by late anthropologist José Gabriel Pereira Bastos and sociologists Manuela

1. Emir Kusturica was member of the jury at the 2021 edition of the LEFFEST (Lisbon & Sintra Film Festival) whose program included the viewing of his *Time of the Gypsies* and *Black Cat, White Cat*, as part of the festival's section dedicated to the celebration of the Rom culture. (<https://www.leffest.com/en/download-programme-pdf>).

2. Manuela Mendes, Olga Magano and Pedro Candeias (2014) conducted a national study on the Roma communities in Portugal and give an account of the extent to which numbers various in the surveys involving various institutions, such as the SOS Racismo (2001), and the ACIDI (2013). Nevertheless, numbers range between 40,000 and 60,00 (Mendes, 2014, p. 12).

Mendes, Olga Magano, and Pedro Candeias, showing Roma's condition as social outcasts in Portugal. They face severe economic and social hardships due to prevailing widespread prejudices that still depict them as undesirable people. This present-day picture is a consequence of a long history of persecution against Roma communities in Portugal, marked by successive royal edicts determining their expulsion and deportation that date back to the 16<sup>th</sup> century.<sup>3</sup> By contrast, the production of knowledge led by Portuguese Roma authors has been invisible, and any progress regarding this situation is too recent.

An outstanding case is Portuguese filmmaker Leonor Teles, partly Roma from her father's side and so far the only Portuguese filmmaker claiming her Roma lineage, who became the youngest filmmaker ever to be awarded the Short Film Golden Bear at the Berlin International Film Festival in 2016 for her *Balada de um Batráquio* [Batrachian's Ballad], a short film on the ingrained habit among Portuguese shop owners of placing ceramic frogs at the entrance of their shops to ward off the Roma. In the film, Teles takes an affirmative performance-style action by breaking them. Regarding literature, the Roma have been depicted by consecrated Portuguese writers, but the history of Portuguese literature has never produced any evidence of Portuguese Roma writers. Hence, Olga Mariano's four books of poems, published by a small publisher since 2000, have passed unnoticed among the Portuguese wider readership.<sup>4</sup> The publication of *Pedaços de Mim*, under the auspices of the ACM and Agarrar Exemplos, in 2021, collects those published poems and adds a few other originals.<sup>5</sup> In her poems, Mariano deconstructs many of the stereotypes associated with the Roma, widely promoted in Portuguese non-Roma literature, particularly those involving depictions of

Roma women; it is Mariano's situation as a Portuguese Roma woman that encourages her poetic inspiration. This essay reads Mariano's poems, confronting them with a few others representing the gypsies penned by Portuguese non-Roma poets. It argues that the publication of *Pedaços de Mim* is opportune at a time when a few young Portuguese writers of African descent have also recently emerged in the Portuguese literary market and whose contribution has been one of adding untold stories about the Black Portuguese of African descent, figures who have – like the Roma – been peripheral in consecrated Portuguese literature whose authorship is non-racialized. The danger of a single story, Nigerian writer Chimamanda Ngozi Adichie (2009) argues, is to hide overlapping experiences of minorities and, thus, rob their dignity and humanness because they are reduced to stereotypes. Another consequence of the single-story, I add, is also conveying an almost taintless homogeneous memory narrative of a nation; homogeneous because it remains a monophonic memory narrative. The stories and poems brought by these recently emerged writers show that present-day Portuguese literature can give a significant contribution to the discussion on the historical past of the nation, namely in what concerns a long history of exclusion and segregation of minorities, underestimated as regards the national memory narrative and the extent to which this has shaped their present-day segregation, a situation particularly acute among the Roma. Literature may indeed redefine their visibility and contribute to the inclusion of Portuguese minorities in their own name as far as literary representations are concerned.

## 1 PORTUGUESE LITERARY REPRESENTATION OF THE ROMA

3. Royal edicts determining the expulsion, deportation and segregation of the Roma were issued by Portuguese kings successively since the 16th century. During the Estado Novo (1933-1974), they were also often deported to the colonies. In 2019, José Gabriel Pereira Bastos argued that Portugal ought to offer an apology to the Roma for their historical persecution and present-day segregation; this act, he added, would be far more important than the declaration of the National Day of the Gypsy in Portugal on June 24th, decided in 2019 (Lusa, 2019).

4. *Poemas desta Vida Cigana* (2000), *Festejando a Vida* (2002), *Inquietudes* (2003) and *Tesouros da Vida* (2004), published by Reallmo.

5. ACM- Alto Comissariado para as Migrações [High Commissariat for Migrations] is the Portuguese public institute assigned to the integration of migrants in Portugal. It is also the institute officially designated for improving the integration of Roma communities, showing the extent to which, they are still considered a "special minority" not fully integrated despite their Portuguese citizenship. Agarrar Exemplos is an Association for the Development and Promotion of Gypsy Communities.

Everyday language expressions show the extent to which Romaphobia prevails in Portugal nowadays: young children are often told that if they do not behave, "the gypsy man will snatch them," and if someone fools another, his or her action is compared to "being a gypsy." Moreover, the fact that the Roma have been in Portugal since the 16<sup>th</sup> century is not even mentioned in the curriculum of history taught at Portuguese schools. The Roma are the invisible Other who only become visible in the form of a stereotype, hence fully dehumanized. This is particularly clear in Portuguese literature, but it is not exclusive to Portugal. A noteworthy example is D.H. Lawrence's short novel *The Virgin and the Gypsy*. In it, Yvette, the protagonist, wishes "she were a gypsy. To live in a camp, in a caravan, and never set foot in a house, nor know the existence of a parish, never look at a church" (Lawrence, 1988, pp. 33-34) whereas the gypsy man's first appearance in the narrative is compared to "a kind of dream" (Lawrence, 1988, p. 42). This

character is built upon the exoticized gaze of the white, young maiden embodying her wishes of individual freedom and escape from social constraints. Only at the very end of this narrative, after the gypsy man saved Yvette's life and vanished, does she realize that he has a name that humanizes him: Joe Boswell.

These traits that reduce Roma men to stereotypes of individual freedom and male wildness are similar to those we find in poems written by Portuguese poets Pedro Homem de Melo and Miguel Torga. Melo's poetic inspiration was driven by Portuguese popular folklore, and the people, often capitalized in his poems, meant a celebration of their physical entirety, or, as Vasconcelos puts it, "blood and muscles, it is pure sensuality" (Vasconcelos, 2003, p.466). The figure of the Roma man often conveys this as the epitome of the male body – viriphilia, an essential trait in Melo's poetry (Vasconcelos 2003, p.471) -, as shown in his poem "Cambório": "voice of a gypsy man to another/to your whole stiff body/my hard body has faced in Coral da Moraria" (de Melo, 1972, p. 64); and in his "Espectros": "I have never denied my condition:/ - That of the gypsies, steady, where they are./Feet and hands draining in wounds;/Sweated face, underpaid debts" (de Melo, 1972, p. 52).<sup>6</sup> In an early poem of his, "Ciganos," it is Roma's relentless freedom that is celebrated as opposed to constraints generated by a law-abiding posture: "In you, I hail only your body/inhuman and cruel as that of a beast/ [...] Your life does not belong to the king./You have not butchered real roads./Whoever loves freedom hates the law /That gave land the scythe of the borders! [...] The hands of men denied to you/shiver as you pass. But they clap" (de Melo, 1948, p. 36).<sup>7</sup> History shows that the nomad lifestyle is mostly a consequence of social exclusion and is poetically romanticized to aspire complete freedom, but the Roma are also devoid of humanness. Secluded from society, Roma men are inhuman, beast-like figures and instill fear among men, although their muscled male bodies delight the male gaze.

"Ciganos" is also the title of the poem Miguel Torga published in the inaugural issue of the monthly periodical *Litoral*. In it, the poet uses nature's

elements as metaphors for freedom: "Every flying thing is a bird./From this open window/The rising feather is softer/and the floating leaf is freer" to conclude that "So, another uprising, gypsies!/Another stateless tent farther away/Inhuman/So are the dreams, as well..." (Torga, 1944, p.28).<sup>8</sup> Once again, the Roma are a metaphor for individual freedom and dignity, and their social seclusion emerges as poetic evasion. Published during the Estado Novo, Torga was closely watched by the Portuguese State police (PVDE/PIDE), and most of his poems were author's editions; this was Torga's decision to prevent publishers from suffering the costs of book apprehensions executed by the state censorship services. In view of the state repression of cultural production, the Romani itinerant lifestyle is depicted as a poetic expression of evasion and incompatibility between freedom of artistic expression and the state's repressive system. This idea is also conveyed in his ode "Aos Poetas" when the poet states that – using the first-person plural – poets are those whose art has been persecuted since Aesop's times and urges them to continue creating as their art knows no borders. In this poem, Torga compares poets to "persecuted lazy insects" and to "the hungry tribe of gypsies/Sheltering/Under the moonlight" (Torga, 1951, p. 60).<sup>9</sup>

Torga includes a poem to a gypsy woman in volume III of his *Diary*. In "A Cigana," Torga depicts a fortune-teller who reads palms benignly "Because she was born a gypsy/No border in [her] smile/Her humane word/Knew paradise"<sup>10</sup> The figure of the gypsy woman is reduced to one fundamental trait: her psychic power that is, in its turn, deconstructed to mere illusion feeding as "in the palm of every hand/she disgraced none/nor took out him/her delusion" (Torga, 2010, p. 271).

In 2013, Maria da Conceição Tomé implemented the school project "Encontrar o Outro nos Livros" [Finding the Other in Books] at an elementary school in Viseu, in the north of Portugal, where a Roma community lives. The objective of this project was to discuss literary representations of the gypsies in Portuguese juvenile literature with students and deconstruct their prejudice. It involved the school's librarian and over 40 students, including one Roma student. The literary corpus included four Portuguese novels published between 1995 and 2010

6. Original: "Cambório" (1972): "(Voz de cigano a cigano) /A todo o teu corpo rijo/Que o meu corpo, duro, / Encontrou na sua frente/No Coral da Moraria"; "Espectros" (1972): Nunca neguei a minha condição:/ - A dos ciganos, firmes, onde estão. / Os pés e as mãos a esvair-se em chagas;/Rosto suado, as dividas mal-pagas". Translations are mine unless otherwise mentioned.

7. Original: "Ciganos" (1948): "Saúdo em vós o corpo, unicamente, /Desumano e cruel como o de um bicho!" / [...] A vossa vida não pertence ao rei. /Não mutilaste estradas verdadeiras. /Quem ama a liberdade odeia a lei/Que deu à terra a foice das fronteiras! [...] As mãos dos homens que vos são negadas/Tremem quando passais. Mas batem palmas".

8. Original: "Ciganos" (1947): "Tudo o que voa é ave. / Desta janela aberta/A pena que se eleva é mais suave/E a folha que plana é mais liberta. [...] Outro levante, pois, ciganos! /Outra tenda sem pátria mais além/Desumanos/ São os sonhos, também..."

9. Original: "Aos Poetas": "Nós, a tribo faminta de ciganos/Que se abriga/Ao luar."

10. Original: "A Cigana": "Porque nascera cigana, /Sem fronteira no sorriso, /A sua palavra humana/Conhecia o paraíso".

that included the “gypsy” figure as one of the secondary characters. This project highlighted the persistence of characteristics associated with Roma’s literary stereotype: on the one hand, their traditional clothing and phenotype: black clothing, dark skin; on the other hand, their social behavior: aggressiveness, disorderliness, business sense and poverty. Most novels depict the Roma as the Other, whom the non-Roma majority knows little about. They expose a negative picture of the Roma in general – conveyed in dark fictional characters - grounded upon collective fear and ignorance that result from actual social segregation. (Tomé, 2014, pp.127-128).

The systematic lack of density associated with the literary depiction of Roma figures – including their peripheralization as secondary characters and the outlining of their basic/folkloric identifying traits is indicative of a hegemonic Eurocentric literary subjectivity. In his study on Orientalism, Edward Said argues that the way the Orient is depicted in the West is less elucidative of the reality of the Orient – and, consequently, of its peoples – than of the western perception of the world:

Orientalism is - and does not simply represent - a considerable dimension of modern political-intellectual culture, and as such has less to do with the Orient than it does with “our” world (Said, 1978, p. 20)

This argument has also been explored in Walter Mignolo’s work, as he argues that the Other is a discursive invention of European thought (2017, p.18). The literary depiction of the Roma as Otherness in Portuguese literature is subordinated to the central Portuguese non-Roma subjectivity. Exoticized traits are used to consider the utopia of evasion of the poetic subject and, thus, elude social constraints. This has less to do with the fact that the exoticized – hence, dehumanized - figure of the Roma has a particularly negative or positive connotation; if in the juvenile novels analyzed in Tomé’s school project, the figure of the gypsy has dark intents, the figure of the gypsy man in Melo’s poems is the exoticized celebration of the people. In Torga’s poem, the figure of the gypsy woman is not negative; the fortune-teller is instrumental in reflecting on others’ simplistic life expectations and delusions, and the poem is fully oblivious to her subjectivity. In addition, the fact that the depiction of the Roma lies upon a “stateless” condition ultimately enhances the widespread perception of Romani Otherness as non-Portuguese, thus, contributing to the perception of Portuguese culture as homogenous, “without any national ethnic-cultural minorities” (Pinto, 2004, p.11). The perception of cultural homogeneity is built upon a social construction that denies the space of visibility and expression to the Roma people as a Portuguese minority, and Portuguese non-Roma literature confirms this assumption.

## 2 LITERARY REPRESENTATIONS OF THE ROMA BY A ROMA WOMAN POET

Olga Mariano, born in Évora to a Roma family, was the first Roma woman in Portugal to get her driving license after completing her basic schooling, a fact that enabled her to help her parents, driving them to the fair markets where they were sellers. She has worked as a cultural mediator and was the co-founder of the AMUCIP – Association for the Development of Portuguese Roma Women, and *Letras Nômadás* - the Association for the Research and Dynamization of Roma Communities. In March 2019, Mariano attended the public audition of a report on racism and xenophobia in Portugal in Parliament, and there she became the first Roma personality to deliver a public speech. Her several awards are the public recognition of a lifetime of dedication to human rights in Portugal, particularly those of the Portuguese Roma.

As regards Romani literature, it is noteworthy the fact that poetry is the prevailing genre among the Eastern European Roma authors, whilst among those Western European Roma, novels and memoirs/autobiographies, namely as survivors of the *Porajmos*, the Romani Holocaust (1935-1945), are predominant, as highlighted in Zahova’s research on Romani literature in Europe (2014, p. 56). Despite this prevalence, the only visible Portuguese Roma author has been prolific in poetry, and some of her topics and poetic motifs resonate with those shown in the Eastern European Roma poetry. A noteworthy fact is that Mariano has only published in Portuguese, unlike many European Roma poets, who have written in Romani, although they have also published in the national languages of the countries they come from (Zahova, 2014, p. 91).

*Pedaços de Mim* is a collection of poems whose poetic inspiration stems from Mariano’s situation as a Roma woman, including that as a mother and a grandmother. Womanhood, shown also in the shape of (grand)motherhood, is celebrated, such as in “Sou mãe” and “Ao meu Neto.” Life, friendship, and aging emerge in poems that discuss the importance of belonging to a supportive collective (not necessarily Roma), such as in “Aos Amigos”, “Vida”, “Amizade”, “Festa da Vida”, “O pôr do Sol da Vida”, “Recordações” and “A chegada do Outono”.

Throughout her poems, her frequent use of elements of nature, such as the sea, the snow, mountains, the rain, and flowers to convey particular states of mind resonates with the poetic motifs in the literary works by Roma authors who resource to these comparisons also to explore their image as wanderers in the past (Zahova, 2014, p. 56). The ethos of nomadism is not present in Mariano’s poems to convey love and nostalgia as in the poems Roma poets, such as Alexander Germano, wrote in the former Soviet Union during the 1920s, although this past was also full of insecurity and poverty (Zahova, 2014, p. 15). In Mariano, depictions of itinerancy convey the difficulties faced during

the course of life, which is also a path towards God: “Walk walk walk/without wanting to stop/the unknown envy” in “Fugir” [Run Away] (Mariano, 2021, p. 8); “Could this be the way/To get to You/with so many thorns and thistles” in “Procurando” [Looking for] (Mariano, 2021, p.14); and “That I am climbing now/by the hands of Jesus Christ/We will get there on time/we stop to rest/[...]Ahead I look now/what lovely flowers I see/what a wonderful house/with vegetable gardens with cherubins/in the windows there were angels” in “Que Subida tão Comprida” [Such a long Climb], depicting a celestial version of the typical Portuguese house denied to the Roma subject in life (Mariano, 2021, p.11).<sup>11</sup>

The poems “Ser Cigano” (Being a Gypsy) and “Ser Cigano é Ser Livre” (Being a Gypsy is Being Free), respectively, start and finish *Pedaços de Mim*, as a phrase explored and answered definitely at the end of this volume. These poems constitute significant reverse depictions of the “gypsies” as represented in Melo’s and Torga’s poems. In Mariano’s, the gypsies are compared to free spirits, the running river water, swaying waves, and flying birds, reminding us of the words used by the poets mentioned above and showing us that what is at stake here is not a Roma poetic motif. The references to the uncertain future and a gloomy present emerge to shatter the only apparently poetic image in this poem: “How will the future be?/Which future will we have? With so much to fight for/Without realizing /how difficult and sad reality is” (Mariano, 2021, p. 6); “Voices that sing songs/that sound more like laments/Coming from the soul of the singers” (Mariano, 2021, p. 130).<sup>12</sup> In her poem to the Portuguese Revolution (1974), Mariano’s celebration of democracy is also a stroll down memory lane of a life of resistance and suffering: “her deep wound/wasted resistance/Bad lived experience/Of so many felt deaths” [...] Of conquered joy/On a bed of carnations I was lying/It is April against the flow (Mariano, 2021, p.86).<sup>13</sup> This last verse conveys the extent to which the

revolution did not mean the same to everybody equally; freedom and joy imply odd feelings for the poetic subject, who is already “walking against the flow” (2nd verse). This poem, alongside others, such as those mentioned above, conveys the extent to which the experience of resistance and frustration did not end for the Roma after 1974.

Among various poems celebrating womanhood and (grand)motherhood, two poems, “Longos os Cabelos” [Long Hair] and “Oito de Março” [March 8th], constitute wake-up calls for women in general, and Roma women in particular, whose potential can only be achieved should they overcome patriarchal structures. In “Longos os Cabelos,” using the stereotypical figure of the Roma woman - long hair, red lips, a gay dancer, and a frugal housewife, “the Pride of the race” [Orgulho da raça] (Mariano, 2021, p. 97) –, Mariano deconstructs it to conclude: “You do not even feel, woman/That culture, life/are castrating you” (Mariano, 2021, idem). In “Oito de Março,” the poetic subject celebrates Women’s Day by urging women to take the word and put their life of suffering behind their back: “Today is the day to think about you/To tie the past/To shout out loud/Everything you want/Everything you feel” (Mariano, 2021, p. 100).<sup>14</sup> Mariano’s feminist approach in no way restricts her view to that of a “Roma condition” when she speaks about the social subalternation of women. Although this may be explored from the point of view of being a Roma, the scope of compassion goes beyond the social situation of Roma women. The fact that she is a Roma woman is her point of departure but not that of destination, although it is that particular social peripheral position that enables the poetic subject to explore gender inequality.

### 3 TIME AND SPACE FOR REPARATION

In her article on Spain and Portugal’s Return Laws, Dr. Jinan Bastaki, an Assistant Professor of International Law at the UAE University, argues that the Return Laws passed in Portugal and Spain in 2015 to offer Sephardic Jews citizenship in order to redress the historical wrong of their expulsion from the peninsula, are closely linked to considerations of who is worthy of being granted reparations, i.e., an implicit acceptance of the humanity of the victims and the extent to which this humanity is also associated to the Iberian national memory narratives. In this case, Jews have historically been perceived as a “persecuted minority,” whereas Muslims, who were never granted any reparation, are the “foreign occupiers” in the Iberian memory

11. Original: *Fugir*: “Andar andar, andar/Sem vontade de parar/o desconhecido invejar.”; *Procurando*: “Será que é este o caminho/ para chegar junto a Ti/com tanto cardo e espinho”; *Que Subida tão Comprida*: “A que estou subindo agora/pelas mãos de Jesus Cristo/Chegaremos lá na hora/paramos pra descansar [...] prá frente olho eu agora/que lindas flores eu vi/que casa maravilhosa/as hortas com querubins/nas janelas anjos estavam”

12. Original: “Ser Cigano”: “Como será o futuro? /Que futuro nós teremos?/Com tanto por lutar/Sem nunca nos apercebermos/Que difícil e triste realidade”; “Ser Cigano é Ser Livre”: “As vozes que entoam cânticos/Que mais parecem lamentos vindos da alma de quem os canta”.

13. Original: “Da sua enorme ferida/Da resistência perdida/Más experiências vividas/De tantas mortes sentidas/ [...] De alegria conquistada/Em cama de cravos deitada/É o Abril em contramão”

14. Original: “Longos os Cabelos”: “Nem sentes mulher/Que a cultura, a vida/Te estão a castrar”; “Oito de Março”: “Hoje é o dia de pensares em ti/De amarrares o passado/De gritares bem alto/Tudo o que queres/Tudo o que sentes”

narratives (Bastaki, 2017, p. 117). Similarly, expanding her analysis to the memory narrative of the Holocaust, Bastaki argues that whereas Jews have been granted reparations, the Roma have never been considered for this purpose, despite having been deported and placed in concentration camps. Stereotypes associated with the Roma “have never been truly confronted and have continued after the war,” being widely “coupled with wide discrimination” (Bastaki, 2017, pp. 124-125). Reparation is mostly a question of “accepting the humanity of the victims,” regardless of history showing that victims were/are “part of the fabric of Iberian society” (Bastaki, 2017, p. 118). As regards Portugal, while Jews have been considered a historically persecuted Portuguese minority, the Roma have been treated as a non-Portuguese minority whose historical wrongs have little or no impact on the memory narrative of the nation, despite having Portuguese citizenship.

The emergence of voices of a new generation of Portuguese writers of African descent raised in Portugal, such as Djaimilia Pereira de Almeida, Yara Monteiro, and Luísa Semedo, has been essential to fill the void of a discussion on the legacy of Portuguese colonialism that the Portuguese political and social spheres have been too reluctant to lead since 1974. Much of the discussion on the effects of the Colonial War, for example, has been explored in the literature published after the Revolution, despite essentially centering on the experience of the war veteran up till the early 2000s, while Portuguese politics carefully avoided it. The new generation of writers has been key to widening the scope of this discussion, giving visibility to the memories of the experience of the colonized peoples and, thus, showing the extent to which this legacy is part of the fabric of present-day Portuguese society, a multifaceted experience whose memory is cherished and felt by the various heirs of Portuguese colonialism, a part of the history of Portugal essential to understand present-day Portuguese society. The fact that some of this literature has received literary prizes – as is the case of some of Djaimilia Pereira de Almeida’s novels – is indicative of an incipient process of public recognition of these new voices and the significance of this topic. European colonialism is the history of exclusion and segregation of peoples – the history of Otherness - and the history of the Roma is part of the Portuguese history of exclusion and segregation. The Roma have been the Other whose voice has been unauthorized to participate in the discussion on the Portuguese memory narrative.

Hence, time is opportune, and the space of literature is privileged to deconstruct dehumanization inherent to stereotypes and accept humanity, i.e., the density of subjectivities of racialized voices beyond the centrality of the non-racialized Portuguese subjectivity. In this sense, literature can make a fundamental contribution to the reparation of the historical wrongs of exclusion by encouraging and enhancing visibility to Roma’s subjectivity beyond stereotypes and, thus, convey their

humanity. Historic reparation can take the shape of different forms; this is one of them and very important. Inclusion by respecting differences has also been the argument of the antiracist organizations that include representatives of ethnic minorities. Literature is only paving its way as the celebration of ethnic polyphony. Now that nationalist waves ripple around Europe, fragilizing ethnic minorities even more - and Portugal is no exception in this case - their visibility as producers of knowledge and subjectivity in their own name is the public acceptance of their humanity and a step forward against their marginalization.

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# Space-time and the production of meanings in Nuno Bragança's *Directa*

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**ABSTRACT:** Various disciplines have studied the Space and Time categories over time, both separately and together. For humans, according to Tuan, “The experience of space and time is largely subconscious” (2014, p. 118). As in human experience, these two categories are inseparable in narrative genre because “‘story time’ emerges from the interplay of space, events, characters, and plot structure” (Scheffel, 2014). The inseparability of Space and Time is also present and visible in a city, as shown by several authors. Concerning these two categories, in Nuno Bragança’s novel *Directa*, the author explores simultaneously the potential offered by the city of Lisbon and the narrative genre. In this chapter, we intend to show how the author treats space and time in the novel, especially, how he uses the practice of the city space as an intentional way to establish and treat various times and build essential messages of the work, especially through hero maps and routes, and reflections.

**Keywords:** Space, Time, Nuno Bragança, *Directa*, Lisboa

## 1 INTRODUCTION

Various disciplines have studied the Space and Time categories over time, both separately and together. Kantian philosophy regards time and space as the two fundamental categories that structure human experience (Ryan, 2014), and later Einstein’s Relativity Theory established a relational model between Space and Time.

For humans, according to Tuan, “The experience of space and time is largely subconscious” (2014, p. 118).

As in human experience, in the narrative genre, as stated by several theorists, these two categories are inseparable because “‘story time’ emerges from the interplay of space, events, characters, and plot structure” (Scheffel, 2014). Bakhtin creates the concept of chronotope, according to which, In the literary artistic chronotope, spatial and temporal indicators are fused into one carefully thought-out, concrete whole. Time, as it were, thickens, takes on flesh, becomes artistically visible; likewise, space becomes charged and responsive to the movements of time, plot and history (Bakhtin, 1981, p. 84).

This inseparability is also present and visible in a city, as shown by several authors. According to Roncayolo, one of the characteristics of the city is to bring together multiple experiences at the same time, because it is the different times of the city that are put in the present, articulated through the plan, the grid of roads, the successive networks, the social composition (Roncayolo, 1990, p. 142-3).

Regarding these two categories, in Nuno Bragança’s novel *Directa*, in plot development the author simultaneously explores the potential offered by the city of Lisbon and the narrative genre.

*Directa*, Nuno Bragança’s second novel, was published in 1977, but written in Paris between 1970 and 1972, still during Salazar’s dictatorship, when its publication in Portugal was not yet possible. According to the author, the book itself, its clandestine printing and distribution in Portugal would be acts of resistance and struggle for freedom (cf. Bragança, 1977, p. 11).

Interestingly, in *Square Tolstoy*, the author’s next novel, the protagonist reaffirms this idea and summarizes the plot of the book he is writing, which corresponds to the plot of *Directa*, by saying:

O texto produzido era uma condensação (para mim, danada) da luta clandestina contra o salazarismo, luta perdida, misturada com outro ferimento dos que vão ao osso: O esforço: (igualmente derrotado) para arrancar uma mulher aos comprimidos com os quais se destruíra, pouco a pouco (Bragança, 1996, p. 28).

So, in this novel there are two narrative threads: one related to the clandestine struggle against Salazarism, which concerns the preparation and execution of the escape of a resister against Salazar’s dictatorship; the other related to the struggle to save the protagonist’s wife from depression, alcoholism, and abuse of pills (cf. Loureiro, 2018 and 2021). In the first, the hero has to deal with the false documentation for the

fugitive, he has to find a hiding place for him before the escape and find someone to take him to the border; in the second, he has to deal with his wife's internment and clinic visits, and the situation of his children created by her absence, which takes him back to his parents' house, to the memories of his childhood and adolescence, and brings three generations into contact: he himself, his parents and his children.

The fulfillment of all these tasks mixes with the routines of his personal, religious, professional, and resistant life.

In this chapter, we intend to show how the author treats space and time in the novel, especially, how he uses the practice of the city space as an intentional way to build essential messages of the work and to establish and treat various times, especially through hero maps and routes, and reflections.

## 2 SPACE AND TIME IN DIRECTA

The treatment of time and space in *Directa*, both separately and together, assumes a fundamental role in the construction of the meanings and messages of the novel.

This happens because in *Directa* there is a dive to the deepest of the country and its past, evoked mainly through the space traversed by the protagonist, but also by the descent into the texts that tell that space, the lives and events that took place there. This does not happen for nostalgic reasons, but rather because this corresponds to the author's desire for self-knowledge, which necessarily includes his connection to a space, therefore, his condition of being Portuguese.

This knowledge of the past is indispensable for understanding the present and building the future, because, as the author says, only when a person — or a nation — knows herself, can assume herself, and then choose (1977b, p. 110). Therefore, he says that he wrote *Directa* with the aim of trying to understand what he is, what Portugal is, so that he can be, and that Portugal can be (1977b, p. 110).

He thinks that the past that one seeks to find is the one that is present in the present (1977b, p. 111), and therefore conditions the experience of the present and the construction of the future.

Therefore, the treatment of time in *Directa* corresponds to Saint Augustine's conception, according to which there is the coexistence of three times for man, because "The time present of things past is memory; the time present of things present is direct experience; the time present of things future is expectation (*Confessions*, Book XI).

These three times are inscribed in the space in different ways, both in the city of Lisbon and in the house of the protagonist's parents, and it is up to him

to read them. Thus, it can be said that this novel presents what Ryan (2014) considers the Narrative universe: the world (in the spatio-temporal sense of the term) presented as actual by the text, plus all the counterfactual worlds constructed by characters as beliefs, wishes, fears, speculations, hypothetical thinking, dreams, and fantasies.

However, in addition to chronological time, *Directa* explores other dimensions of time, such as cyclical time (night-day-night) and the liturgical calendar (Lent and Easter), which produce very important messages in the novel.

The use of space and time categories to produce meanings is visible from the beginning of the novel through the title and the epigraph and remains throughout the novel.

These two cases refer both to the experience of time and space and point to the religious field, to times of deprivation and trial, but also of change, redemption, and renewal: Lent and Easter.

The title *Directa* literally means sleepless night, a fact confirmed by the duration of the action of novel's protagonist (31 hours) and by his statement "Eu também estou em directa" (1995, p. 268), however, the epigraph, and in the end, the hero himself, through his words, reflection and action, add to it a religious resonance that gives it important symbolic values to take into account in the interpretation of the novel.

Moreover, he associates his vigil with the scene of the Passion of Christ, evoking the fact that His disciples were unable to accompany Him on His vigil (p. 273, 284; see *Matthew*, 26). Contrary to the sleep of the disciples, the hero of *Directa* claims to have fulfilled Christ's call in his thirty-one-hour mission, addressing Him explicitly in an almost defiant way: "Vigiei trinta e uma horas seguidas. Acho que se não foi conTigo é porque não ressuscitaste" (p. 284).

The epigraph, taken from T. S. Eliot's poem *Ash-Wednesday*, points to the same time of the liturgical calendar and the same meanings, but the chosen excerpt emphasizes the time-space relationship.

Thus, these two paratextual elements point to Lent and Easter, a time of human suffering on Earth, but also of transformation, redemption, and hope. The same should be advocated for the personal situation of the protagonist and of Portugal, which is intended to evolve favorably.

These aspects and other facts that occur in the novel, such as reading the Bible (p. 22) and going to Mass (p. 165), frame the hero's struggle for a free, fairer and more equal society, also in a mission as a Christian, with a certain view of the world (Bragança, 1977b, p. 102), which is that of the author, a progressive Catholic.

As we said, the novel's plot develops two narrative threads that intertwine and sometimes merge: the preparation and execution of the escape of

a resister against Salazar's dictatorship and a problem with the protagonist's wife. In our view, these two narrative threads cover three levels: the personal, the national, and the universal. This plot and the reflection developed by the protagonist show that these three levels overlap in every human being.

However, the scope that is intended to be covered is much wider than what the plot can show, and it is installed at the very beginning of the novel through the protagonist's contemplation of the space from the balcony of his house, in a practice of space that articulates interior and exterior, personal and social life, near and far, earth and sky, local and universal, infinitely small and infinitely large (Pascal). This experience gives rise to a reflection on the position and condition of Man in the universe, where an inspiration in Pascal's thought can be glimpsed. This contemplation and this reflection are doubled by the view and the analysis of Van Gogh's painting *Café Terrace at Night* inside the house (p. 20).

The novel's events last for 31 hours, starting at 4.30 a. m. when the protagonist is awakened by the phone call that summons him to an act of resistance and when he discovers the lamentable state of his wife, caused by alcohol and drugs. So, practically simultaneously, these two narrative threads are installed from the novel's beginning. The efforts to solve these two problems, together with the routines of his personal, professional, religious, and resistance life, will occupy the following 31 hours of the hero's life, which end exactly with his return home the next day at 11 a.m., thus configuring a circular structure of the novel's action. This overlapping of the protagonist's fields of action configures the daily life of a Resistance militant and promotes the definition of a conception of human beings, which implies their commitment at various levels of personal, social, and political life.

In this chapter, we will address mainly the first narrative thread, the preparation, and the escape of a persecuted resistant.

The end of solving the escape problem takes place at 4.30 the following day (1995, p. 242), when begins the protagonist's return journey, which took the fugitive to the border. So, it takes exactly 24 hours to complete a cycle, "noite-dia-noite" (p. 244). On this return trip, between Portugal's eastern border and the Atlantic (p. 276), the protagonist crosses the "Momento fundo, o do rodar do carro pela noite de Portugal dormente" (p. 246), a real and symbolic night and sleep. The arrival in Lisbon takes place at dawn (p. 267), but soon "É dia claro" (p. 271), and this is a sign of hope.

However, upon arriving in Lisbon, the hero "sentia de novo a cidade e o Estuário apertarem-no com milhentos braços" (p. 276), a sign that the fight must go on.

The linear and chronological time, recorded throughout the day and night, often read in clocks

scattered throughout the city, punctuates the protagonist's action, shows the danger and urgency of the ongoing action, and constitutes a structuring element of the syntagmatic axis of the work. However, surprisingly, the space traversed by the hero establishes a paradigmatic axis in this linearity, where multiple temporalities overlap, interpenetrate, and interact, a fact that stems from the condition of the city as a stratified space (Westphal, 2007, p. 224), as a place of memory, space-time(s).

In fact, in this novel, space functions as a device that produces meanings, through which we can witness an intentional and intensive exploration of all the potentialities offered by the city and its condition of accumulating time devices of multiple strata. Furthermore, the location of the protagonist and his processes of capturing space (point of view) also produce fundamental meanings for the messages constructed by the novel.

This treatment of space establishes in the novel a vision in perspective, in space and time, which puts the *here* and *now* and the action of the hero in a historical becoming, thus placing them in a chain that connects past, present, and future, and points to a link between *here* and *somewhere* (Cf. Tuan, 2014, p. 179). The same procedure allows the author to consider the situation of Portugal in the world and its contribution to the development of Western and global society.

The city is simultaneously a *here* but also a *somewhere* because often the hero develops processes of deterritorialization (Deleuze and Guattari) and because some of its strata point to an *elsewhere*, a *metastratum* (Westphal 2007, p. 224), a desired utopia, or an ambitious heterotopia, in the sense established by Michel Foucault. As Westphal writes, the space, whose surface is a *trompe-l'oeil*, is verticalized in time, just as the syntagmatic instant is part of a paradigmatic duration (p. 224).

In other words, the city is a "text," written and to be written, to be read and rewritten.

In short, space is inseparable from time, it necessarily incorporates it, as Bachelard wrote, saying that "space contains compressed time" (1994, p. 8). Roncayolo also believes in the impossibility of separating space and time, in their interweaving that makes the city. He adds that territorial constructions are above all consolidated time (1990, p. 20).

### 3 MAPS AND ROUTES IN *DIRECTA*

In his book *Topophobia*, Robert Tally considers narratives as "mapping machines" (2018, p. 32), devices or methods for mapping real and imagined spaces, but, dialectically, "these narratives, which are also maps, must be understood as themselves territories to be mapped" (p. 32).

The book *Directa* integrates these dimensions, functioning as a map and territory, but it assumes them in a very complex way. In fact, in the novel, it can be seen that the author integrated space in his program of production of meanings, assuming Lisbon as a text and palimpsest that his protagonist reads and gives to be read.

The city integrates the plot and its organization, not only as a setting for the characters' action but also and above all as a producer of messages, elaborated from the dimension of what Westphal calls "asynchrony" and "polychrony" (p. 226-234) specific to spaces, and assuming, at the same time, that the remains remind us that identity is in diachrony and therefore in depth. This diachrony is expressed in the strata that found the places (p. 229).

As already mentioned, in *Directa* the author sought to make a dive to the deepest of the country, to know his own identity also through Portugal's identity, so that one and the other can be who they truly are. This true identity is in diachrony, in the various strata and times that make up the spaces, both of the house and of the city, as well as of the country. It is up to the fictional text to construct it, both regarding the past and the future, because the fictional text not only testifies to a past history but anticipates what the city could be in one of the possible worlds it haunts (Westphal, 2007, p. 233).

This idea implies the coexistence of several times in the city, past, present and future, in the sense that the city is a compossible of worlds defined by their continuity (p. 227), as we can see enunciated in *Directa*, when the hero refers to the "adormecido poder ser" (p. 243).

As they are presented in *Directa*, the elements selected by the novel and its organization in plot, by outlining the acts and routes carried out by the hero, explore the action of the Lisbon city space as determinant in the production of messages in the two narrative threads and the various levels already mentioned. These messages operate both in the present time, as in the past, and especially in the future under construction.

In this novel, the hero's itineraries build a connection of times, combining analysis and interpretation of the present with the memory of the past and the anticipation of a future, which emerges implicit in the text as a possible world in a construction process.

This possible world appears figured in the novel due to a mirror effect produced by the selected past and to certain interpretations of space, pointing both to the creation of a heterotopia (Foucault), an accomplished utopia, a free and democratic Portugal.

Thus, the Lisbon of the past and the Lisbon of the future must be reflected as in a mirror. Between these two times, there is a present that contains them both because in the spatio-temporal logic of the novel, interviewed by the protagonist in the old

basalt stones on Rua Conde Barão, "ali Lisboa em cada quadrado palmo acusa o ser ter sido para ser" (Bragança, 1995, p. 181).

The analysis of the novel reveals that the places (maps) selected for the hero's itineraries (routes) stem from the application of some criteria, such as:

- 1) the location of the space and its historical and symbolic dimension; 2) the existence of monuments commemorating historical events and epochs with strong symbolic potential; 3) the occurrence of significant events in History, namely related to the ongoing struggle, but also related to similar struggles in other periods of History; 4) the existence of buildings representing certain sectors of society and economy, which characterize the present (e.g., Sacor Factory); 5) the existence of a concentration of social and economic practices that enable the evocation of phases in the country's history, with an identity function (e.g., Conde Barão); 6) topographic features that allow a panoramic view of the city (e.g., top of Parque Eduardo VII); 7) toponymy, with a commemorative function, referring to historical figures and specific periods of History (e.g., Liberalism).

In short, if we consider the association of an itinerary with a *speech act*, as proposed by Linde & Labov (1975) and Certeau (1990, p. 148, 175-6), we would say that the choice of places in the novel follows a strategy and is based on their *illocutionary force* and *performative capacity*, in the sense of acting on the real, influence and mobilize the reader in order to transform the present.

Concerning the narrative thread of the Resistance, all the partial itineraries of the protagonist are integrated into a global itinerary, with a circular structure that begins and ends at Terreiro do Paço.

We would say that the organization of all spatial information is done according to two basic strategies: "the map and the tour (Linde & Labov, 1975); "the survey and the route" (Ryan, 2014); "parcours et cartes" (Certeau, 1990). In fact, it develops the double strategy indicated above, that is, it prepares maps and itineraries, which can be represented in maps and diagrams.

We can do so if we apply Tally's reasoning about the common points between the cartographer and the writer to *Directa*, by asking some questions that seem pertinent to us in the analysis of the novel, such as: 1 – Where is the protagonist? (pause, place, map); 2 – Where does the protagonist go? (movement (space), itinerary (tour)); 3 – Why?; 4 – What for?; 5 – With what consequences, in terms of meaning?

The answer to these questions is fundamental to the interpretation of the novel, but only the first two can be represented in maps or diagrams. The last three are extremely difficult and complex and they are not representable in cartographic terms.

Therefore, *Directa* make maps and routes, but they are insufficient for the interpretation of the novel, because each place where the hero passes or where he stops has meanings and tells stories that he wants to share with the reader.

If we consider the criteria for the elaboration of the European Literary Atlas (Setting, Zone of action, Projected space, Marker, Route (Piatti, 2009, p. 183), we quickly find difficulties in its application to *Directa*, first of all, because the categories “setting” and “projected space” often overlap in the novel.

In fact, often the space in which the protagonist finds himself (setting) is simultaneously a space that is remembered, that is missed, and that is dreamed of (projected space), in the sense that a transformation must take place. Thus, in the novel, the practice and experience of space are always simultaneously an experience of time, which involves present, past, and future.

However, the definition of these criteria proves to be effective to show the complexity of the treatment of space in this novel and the ingenious and perhaps unique way in Portuguese Literature to make Lisbon a fundamental element in the production of essential meanings and, therefore, an entity that functions as a character, perhaps the main character of the novel.

Let us see how the city participates in the story(s) told and the maps and routes drawn by the protagonist in *Directa*.

The places and itineraries chosen show that the writer put into practice mainly an activity named presentation, understood as the deliberate creation of “a document meant to communicate with, and have an effect on, others” (Tally, 2018, p. 76).

Actually, the hero's routes, made on foot or by car, connect various spaces of the city, various times and events, thus building supplementary and parallel narratives that frame the immediate action performed by the protagonist and narrated by the narrator, legitimize it and serve as an argument in favor of its pertinence and its success, and therefore must mobilize the reader to join him and take action himself.

The pauses in the hero's movements (place/map) at certain points in the city or its capture in a panoramic view give rise to evocations, interpretations, projections, and anticipations. In doing so, the hero and the narrator fulfill the function of narratives because they “help to shape those spaces into meaningful places and forms” (Tally, 2018, p. 78). Moreover, in narrative, “Each place is not only marked as if on the map but also described, contextualized, interpreted, and woven into a larger geopolitical discourse” (p. 98), exactly as happens in *Directa*, whose narrator tells the story (action) of the protagonist in chronological order; but where the hero's journeys, on foot or by car, tell, through his vision, evocation, and interpretation, a history of Lisbon and of the country, by linking several historical facts that have a common

denominator, the behavior of the people of Lisbon in moments of crisis.

Moreover, these routes tell the story of a Revolutionary Lisbon, proving that “The more or less linear itineraries of the novel's protagonists [...] are set in relation to a much larger geography and history” (Tally, 2018, p. 98).

In *Directa*, we see that the protagonist makes the city speak and, in doing so, he becomes a bard and a rhapsode, just like Ulysses in the *Odyssey*. As a bard, the protagonist creates new stories and worlds; like rhapsode, he “brings disparate places into cognizable relations to one another” (Tally, 2018, p. 78-9).

In this sense, the narrative told through space, through the protagonist's itineraries draws and mirrors a possible world that should be repeated in the near future, being itself a utopia or heterotopia (Foucault), for which the character is fighting.

Overall, the paths of *Directa*'s hero, together with the pauses made, transform space into place, in the sense that Yi-Fu Tuan defines this dichotomy, saying that “What begins as undifferentiated space becomes place as we get to know it better and endow it with value” (2014, p. 6).

This theory applies entirely and directly to the case of *Directa*, whose plot materializes in the hero's routes and pauses at some waypoints in the city, places where he must perform or not some tasks related to the book's narrative threads.

Piatti defines routes as “the dynamic element that links settings or projected places to each other. It can be ‘implicit and explicit routes’” (Piatti, 2013, p. 151). So, we must construct the meanings that derive from these connections and the treatment of space in each waypoint.

In *Directa*, the hero traverses “explicit routes” and stops at some waypoints, defined, and identified in the text with real toponyms.

As we have already mentioned, in our view, these routes of the hero function as *act speech* that fulfill certain objectives related to the novel's narrative threads in which they are integrated: personal life or Resistance activity.

When the hero stops at certain places (waypoints), the space becomes a place due to the treatment given to it. The hero's evocations, reflections, and projections and the application of a set of technical-narrative procedures allow the use and exploration of space as a device to produce meanings and establish multiple temporalities.

For example, let us see the application of these procedures in the case of the starting point of the routes framed in the narrative thread related to the Resistance action. It is the hero's arrival at Terreiro do Paço, at 7.15 (p. 28), where and when the production of meanings is made from the exploration of all his movements (kinetics, kinesis), pauses, positioning (proxemics), spatial orientations, perceptions, memories, reasoning, evaluations, image capture techniques.

In about two pages, the author characterizes the country's situation, defines its past, and projects a future for it, thus building a kind of synthesis (*mise en abyme*) of this narrative thread in the novel.

Thus, taking a break on his way to meet Henrique, another resistant who should bring him up to date on the concrete problem they will have to solve, the hero transforms space into a place (Tuan), as we will analyze below. After parking the car, the character chooses a point of pause and observation, from which he captures what surrounds him, near and/or far away, functioning as a movie camera, panning, and producing “effects of zooming in and out” (Herman 2002, p. 274–77, apud Ryan, 2014).

The observation point chosen is Cais das Colunas, from where the character, at first, captures the Square Terreiro do Paço, focusing his attention on the statue of King D. José and the surrounding buildings. This King and his Minister were the rebuilders of Lisbon after the 1755 earthquake, but they also represent the exercise of absolute power.

These two elements deserve description and comments of a symbolic and even prophetic nature.

In the case of the statue, the reading that the novel promotes, together with the interaction between it and the protagonist, is articulated with Westphal's idea when he states that the artifact does not refer to History and its ever-present vestiges; it refers to what will be, to what should be, to what we would like to be, and which already has been (2007, p. 228). In this case, the protagonist wants to change what the statue represents, an absolute and authoritarian power.

In fact, the interpretation made confirms Roncayolo's idea, according to which the city is never synchronic with itself (1990, p. 143), on the contrary, as argued by Westphal, it is asynchrony and polychrony (2007, p. 222), that is, multiple times simultaneously. Let us see:

e o homem foi até ao Cais das Colunas. Chegado ao alto dos degraus que ligam a cidade à água do Estuário, virou-se para o Terreiro e pôs-se a contemplar o Rei verde-azebre montado num grande bicho da mesma cor, a passo suspenso em direcção ao rio. A meio do pedestal, o Marquês espreitava pelo medalhão, também virado para as águas. «Criaturas previdentes», pensou o homem. «Camarote Real para a chegada de Dom Sebastião» (Bragança, 1995, p. 28).

In a proxemic analysis of the situation, the relative positioning of the character and the monument stands out, which configures an opposition of directions loaded with symbolic values. If in the “King-Horse-Minister” (p. 28), representing D. José, his horse, and the Marquis of Pombal, we can see their movement towards the waters, to the outside, an attitude that symbolizes a period of Portuguese history

(Discoveries); on the other hand, the hero stands and looks in the opposite direction, towards the interior. This attitude, in our opinion, means the proposal of a new project for the country, a proposal that should correspond to a return from the waters and not to a departure; that is, the hero's space-time should correspond to a return to the borders of the continental country.

On the other hand, the commentary on the monument adds new roles to the represented figures, rescues them from their static meaning representative of an era and a work, makes them multisignificant and multitemporal by putting them in a waiting attitude, guiding them to the future and assuming the prophecy of the arrival of D. Sebastião, namely the arrival of a savior who will operate the necessary changes in the homeland, first manifestation of a Seabastic perspective that runs through the novel.

The protagonist, resistant in clandestine action, positions himself in the place of the arrival of this savior, thus assuming himself as someone who precedes him, who works for his coming. At the end of the novel, he will return to Terreiro do Paço (p. 280), closing a circle and a cycle. However, this time he no longer positions himself facing this space but inside, like the characters of the statue, which may well be understood as an attitude of waiting for the result that at that moment should have the action that he has already performed, the preparation and execution of the escape of a persecuted resistant. This one, taken to the land border by the hero, may return one day by entering the river, embodying D. Sebastião; that is, the cycle ended by the character's action inaugurates another, a new day, in a dynamic of cyclical time also established in the novel.

This cyclical time, simultaneously real and symbolic, configures a work in progress in a successive “noite-dia-noite” (p. 244) that frames the “pequena vitória que era um Júlio alcançando a França” (p. 244, but that in the novel opens to a new day. This fact marks an unstoppable continuity and introduces a feeling of hope in the liberation of a “surrounded” Lisbon.

In short, Cais das Colunas, once the place of the “chamamento das águas,” where a centrifugal force operated, assumes itself here and now as a place of arrival and not as a place of departure, the place of a centripetal force that must operate towards a re-entrance into the continental territory and in the restoration of a situation of freedom and justice.

On the other hand, the “edifícios pombalinos, governamentais, que enquadravam o vasto espaço” (p. 30) are interpreted in an interrelation with the statue, starting from the green color common to both.

In this context, the verb “enquadrar” (to frame) can also be understood as “to surround” or “to imprison,” as these buildings, metonymically representing Estado Novo, are equated by the character

with the absolute power of D. José and Marquês de Pombal, present in the statue.

This equivalence is made by the character when referring to the color of both elements, considering that, in an evocation of D. Juan, “Estes dois verdes estão entre si como uma alma do outro mundo está para uma estátua” (p. 28). The allusion made here to the myth of Don Juan, in which the statue and the damned soul are the same people, the Commander, allows us to infer that the green of the statue of the king and his minister, representatives of absolutism, is equivalent to the green of the buildings where the ministries of the Salazar government are housed. Hence, absolutism and Salazarism are identical forms of absolute power and, therefore, repressive, and oppressive.

Thus, through a process of deterritorialization (Deleuze et Guattari) that leads back to the symbolic and the prophetic, this capture and interpretation of Terreiro do Paço allowed him to make a partial portrait of the country's past and present and point to a future, but this portrait is still incomplete because the past and the present are still related to the waters. To complete it, the protagonist then directs the look and goes in the opposite direction, not to the fascination of the Far away, but towards the very close:

Desceu então os degraus de largura variável. Ao fundo da escadaria estavam as duas colunas que davam o nome ao cais, uma de cada lado. A massa escura da vazante deslizava; e as colunas, imóveis e brancas, adquiriam grande nitidez de contorno e cor, vistas contra o fundo dessa massa líquida em movimento. O homem pensou que não se lembrava com exactidão das palavras gravadas nas colunas, e foi olhar (p. 28).

So, in an ideal place to make a panoramic view, the hero decides to zoom in on the columns, together and individually. The growing approximation of the gaze makes a close-up of each one and shows the dimension of a past that extends into the present, but in a traumatic way, subtly also pointing to a colonial war that was bleeding the country. The reading of the inscriptions of the columns, commemorating trips overseas, reminds us of Salazarism and the colonial empire, problematic remains of a glorious time of Discoveries that the columns also symbolize, and Estado Novo exalted.

The theme thus installed, offered to the interpretation of the reader only through this sampling of space, will be the subject of a reflection at an advanced stage of the novel, when, through the hero's current of consciousness, we are invited to share his ideas on the subject:

Quando é que os povos perceberiam – e sobretudo o povo português – que Portugal

estava (ainda estava) na encruzilhada dessa enorme crise humana – crise de crescimento iniciado num recanto obscuro do Velho Mundo que, no século XV, tinha aberto as rotas dos oceanos todos e de todas as terras do planeta? Que uma hipótese de unificação da Sociedade Humana tinha sido aberta pelos navegadores ibéricos dos Descobrimentos? Desse ímpeto restava, para Portugal, o entalço histórico de um engalfinhamento em África (p. 247).

In characterizing the present, the hero leads us symptomatically from right to left, where instead of caravels and great navigators, “viu dois pescadores trabalhando no arrasto” (p. 29), completely focused on the task and immediate objectives, and therefore alienated by the work, therefore unable to think of anything different. On the opposite side, the scene is similar:

Era quase baixa mar. À direita do Cais, espalhadas no lodaçal, várias pessoas de roupa arregaçada curvavam-se para escavar com as mãos na vasa preta, deixada a descoberto pela retirada da maré (p. 29-30).

In short, the glorious vision of the past faded and gave way to a raw reality and a feeling of frustration, to which the “baixamar” (p. 29) also metaphorically points.

Shortly afterwards, when the character looks at the square from the Estação Sul-Sueste, he remembers the moment when the People and the Police had faced each other on May 1, 1962 (p. 30).

Thus, through the protagonist and his interpretation of space with great historical and symbolic significance, the author analyzes the situation that frames and legitimizes the resistance action of his characters.

So, Terreiro do Paço is the starting point of the action of the novel in this narrative thread and will also be the point of arrival, where the protagonist can join the King-horse-Minister to wait for D. Sebastião (the journey with Henrique begins and ends here (p. 41-2)). From here, the characters go into action. Here they must return to reap the fruits of their struggle.

Confirming the novel's prophecy, historically, the liberating military will arrive here on April 25, 1974.

#### 4 PEREGRINATIO AD LOCA SANTA: A REVOLUTIONARY LISBON

From the perspective presented by the novel, the protagonist's immediate action towards the change of the country is linked to a lineage of other actions evoked and invoked here that operate in the same direction.

After this beginning at Terreiro do Paço, the hero's paths simultaneously carry out the present and immediate action but also operate the



presentation of past actions that are directly linked to his own, or others that throughout the History of Portugal affirm a characteristic of the Portuguese people, the refusal of oppression and subservience. This feature definitely points to the near future.

From here and from this moment, the protagonist's immediate actions and other actions evoked and invoked in the novel work towards the change of the country and draw the map of a Revolutionary Lisbon, which has as its main character the people of Lisbon, who receives a tribute in this novel.

These displacements and waypoints are a kind of *Peregrinatio ad Loca Santa*, connecting several places in Lisbon where, in History, there have been events that represent attitudes of uprising and revolt against situations of authoritarianism, repression, and injustice, where the people of Lisbon played a fundamental role. The same with some people or events represented in toponymy.

In this sense, these itineraries gain the status of pilgrimages, activating the values associated with them, both from a religious and historical point of view, because, as D. K. Smith wrote, in the purest sense, the pilgrimage is intended to show the country as a witness to the events of the past. Therefore, material places exist only in the form of pure symbols (apud Westphal, 2011, Pos. 687).

The choice of places of passage is made according to past events and some symbolic value. In this case, those that point to the future and can reflect it.

Together, these itineraries draw the map of a Revolutionary Lisbon, which praises the people of Lisbon.

From a spatial point of view, we can globally highlight three core axes in this protagonist's journey through Lisbon: Baixa\_Terreiro do Paço, Parque Eduardo VII\_Rotunda, and Rato.

All of them make a parade of historical and literary memories in which some individual figures stand out, but in which people's role proves to be decisive for the success of the actions undertaken.

From a temporal point of view, articulated with those places, some dates stand out to be read as symbolic milestones of a struggle for freedom and justice. In the 20th century, they are 1910, implantation of the Republic; 1927 (Revirvalho), immediate opposition to the establishment of the Estado Novo; 1958, the elections in which Humberto Delgado participated and great hope and popular agitation; 1962: the student crisis, the commemorations of the 1st of May, Labor Day, and 8th of May, Opposition demonstrations, commemorating the Fall of the Third Reich, with incidents in downtown Lisbon, which resulted in one dead and four injured. But the retreat goes back to Lutas Liberais [liberal wars] (19<sup>th</sup> century), the 1383-1385 crisis, and even further back.

In fact, the novel encompasses the entire history of Portugal and does so from a reading of space and of some texts that tell the events that took place there. In short, in *Directa*, the production of the essential meanings of the novel is closely linked to the exploration of the relationships between the categories of space and time, which work simultaneously, producing messages that concern the present, the past, and the future.

We can say that this is a never-ending *Directa*, because, like Christ, who is “em directa até ao final dos Tempos” (p. 273), in the end also for the protagonist “Os minutos decorriam e ele não conseguia adornecer” (p. 284).

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# Contemporary Portugal in Mário de Carvalho's *O que eu ouvi na barrica das maçãs*

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**ABSTRACT:** The *crónica* (literally “chronicle,” from the Greek *khronos*) is a Portuguese-language journalistic piece published as a column. It offers a particularly unique record of the present time from an eminently personal perspective, allowing us to learn some aspects of daily life that shaped a given space and time. As an opinion and eclectic text, these columns also take on a pragmatic dimension, seeking to generate some sort of impact on the reader.

Mário de Carvalho is a writer who reflects on the Portuguese national identity in a lucid, ironic, and sometimes caustic way. From novels and short stories to dramatic texts and essays, his work represents and thinks about contemporary Portugal and its fragilities and challenges. The *crónicas* Mário de Carvalho has written for the press are no different in this regard, as he explores several aspects of Portugal's social, cultural, and political identity.

This chapter aims to analyze Mário de Carvalho's *O que eu ouvi na barrica das maçãs* (2019), which compiles several of the columns he wrote for the newspapers *Público* and *Jornal de Letras*, and which won the 2020 Grand Prize for *Crónicas* and Dispersed Literary Texts awarded by the Portuguese Writers' Association (APE). We aim to discuss the aspects of identity Mário de Carvalho highlights and comments on, covering areas such as the society, media, politics, and writing world of a given space (Portugal) and time (1980s and 90s).

**Keywords:** National identity, Mário de Carvalho, Press

## 1 CRÓNICA

Part of the opinion genre, the *crónica* (literally “chronicle”) is a Portuguese-language journalistic piece published as a column. It is a particularly unique text rooted in a specific space and time (the etymological origin of the word is the Greek *khronos*), revealing the experience of a subject in the surrounding world at a given time. This connection to a specific time was already visible in its genesis since the medieval chronicles were predominantly historical texts that recorded facts (Pastoriza, 2006, p. 121). The Portuguese examples include the works of Fernão Lopes (*Crónica de D. João I*, *Crónica de D. Pedro*, *Crónica de D. Fernando*) and Gomes Eanes de Zurara (*Crónica da Tomada de Ceuta*, *Crónica dos Feitos da Guiné*).

From a historical record, these texts have evolved into a subjective portrait of the present in Portugal. In the 19<sup>th</sup> century, authors such as Alexandre Herculano, Eça de Queirós, and Ramalho Ortigão (the latter two in the famous *Farpas*) used them to discuss the society of their time, the top stories of the week, and the media agenda. In the introduction to an anthology of 20<sup>th</sup>-century *crónicas*, Fernando

Venâncio stresses the eclecticism of these columns: “Here we find political analysis, scenes from daily life, ‘elegant nothings,’ cultural notes, criticism of social norms. And also, a lot of nostalgia, quite a bit of lamentation, and even some libertinism” (Venâncio, 2004, p. 6).

Given the clear signs of subjectivity, these columns have become patently opinion-oriented pieces that are not informative and are even controversial at times, as the style guide of the newspaper *Público* highlights in its definition: “Text that is more or less controversial in nature and is regularly penned by a prestigious journalist or a public figure” (*Livro de estilo*, 2005, p. 112). These columns feature, nonetheless, a pragmatic dimension; speaking on their own behalf, authors aim to have some sort of impact on readers either by being entertaining and joyful (often achieving this by adopting a humorous tone) or by drawing their attention to complex issues of contemporary society. This concern with readers is one of the defining traits of this type of text, as Fernando Cascais argues while underlining that the topic of these columns does not have to be personal. The *crónica* is a (printed or audio-visual) piece that conveys the author's perspective, who is free to

choose the topic, as long as it is relevant to other people; this means that it is a personalized text, but its topic is not personal (Cascais, 2001, p. 63).

Unlike literary texts, which are voiced by a fictional entity (the narrator or lyrical subject is autonomous from the actual author), authors take on their own voices in these columns as they speak on their own behalf and assume individually the ideas they put forward.

In contrast to news reports, these columns are interpretative and evaluative in nature, and authors present their perspective on a topic (current or more distant in time) without being conditioned by the fairness and impartiality required by informative journalistic texts. The result is a more malleable discourse, closer to the literary style, with an elaborate aesthetic work on the language and the inclusion of minor or humorous details, making the texts livelier and more attractive (Pastoriza, 2006, p. 122).

## 2 MÁRIO DE CARVALHO'S *CRÓNICAS*: PORTRAIT OF CONTEMPORARY PORTUGAL

Many of the aforementioned aspects can be found in Mário de Carvalho's columns. A polymath whose work spans novels, short stories, dramatic texts, and essays, Mário de Carvalho is also very active in the press, where he has published *crônicas* that have now been compiled into a book. Titled *O que eu ouvi na barricada das maçãs*, it was published in 2019 and includes texts he originally wrote for the newspapers *Jornal de Letras* (1987-1989) and *Público* (1992-1993, 1996, and 2014-2015). It also won the 2020 Grand Prize for *Crônicas* and Dispersed Literary Texts awarded by the Portuguese Writers' Association.

Markedly personal and interpretative in nature, the columns compiled in this volume deal with topics as varied as the character of the Portuguese people – reflected in the various social groups the author comes across in his daily life – and the worlds of media, politics, literature, among others. The author puts himself in the position of someone who observes, of a spectator, and this is revealed by the very title *O que eu ouvi na barricada das maçãs*, a translation of the title of Chapter 11 of Robert Louis Stevenson's *Treasure Island* – “What I Heard in the Apple Barrel.” Much like Jim Hawkins, the young protagonist of Stevenson's novel who heard about the plan for a mutiny on the ship while hiding inside an apple barrel, Mário de Carvalho also observes society from a privileged position as he looks at it and analyzes it without being noticed. Therefore, he is the one who hears and registers what is around him, but he is also the one who analyzes, interprets, and opines about what he hears and

sees. Like Jim Hawkins, Mário de Carvalho takes on the role of a savior who averts disaster and who warns people almost as a prophet, as Manuel Alberto Valente, the book's editor, calls him in his introductory note: “[these columns] illustrate how cyclical history is and how prophetic some authors are” (Carvalho, 2019, p. 9).

The basic personality traits of the Portuguese people are one of his preferred targets, as he singles out what “the members of the same group share in terms of behavior and personality” (Cucho, 1999, p. 71). Providential thinking has been identified by many authors – such as Jorge Dias, Eduardo Lourenço, José Gil, and Miguel Real – as one of the fundamental aspects of the Portuguese character, and Mário de Carvalho witnesses it in two individuals he comes across in his daily life: a “preacher-taxi driver” (Carvalho, 2019, p. 26) and a barber. The former announces the imminent return of Our Lady of Fátima, while the latter tells him about the supposed miracle of the transformation of a single strand of hair into a serpent. Mário de Carvalho reacts with such astonishment to the enthusiastic preaching of the taxi driver that he cannot resist the ironic question (“Will he attack you?”, 2019, p. 27), while the miracle leaves him wondering melancholically:

as we the approach of 21<sup>st</sup> century, with the sky full of space junk, after decades of compulsory education, cultural programs by Carl Sagan and David Attenborough, multiple visits to the doctor, science journalism, concerns about the ozone layer and rainforests, three hundred years after the discovery of the cell, how is it possible that there is a guy in this city of Lisbon who believes and bets on that you can make snakes out of hair? (2019, p. 33).<sup>1</sup>

This proverbial belief in a savior and miracles has been part of Portuguese Culture since the Battle of Ourique (1139), and it peaked with Sebastianism (originally based on the belief that King Sebastian would return after going missing in the battle of Alcácer Quibir, in 1578). This makes citizens refrain from acting, from taking their future into their own hands. Lamenting the ignorance and credulity of the Portuguese, the author recognizes that he has fought against this situation but feels defeated. He does, however, persist in his social criticism aimed at

1. Original text: “como é que é possível, ao aproximar do século XXI, com os céus cheios de lixo espacial, após décadas de ensino obrigatório, programas culturais do Carl Sagan e do David Attenborough, múltiplas idas ao médico, artigos de divulgação nos jornais, inquietações sobre o ozono e as florestas tropicais, trezentos anos após a descoberta da célula, que haja nesta cidade de Lisboa um sujeito que crê e aposta que se podem fazer cobras de cabelos? (Carvalho, 2019, p. 33).

transforming the country; therefore, he analyzes other traits of the Portuguese he deems to be negative and harmful to the development of the country: pedantry coupled with an unjustified sense of superiority (which Eduardo Lourenço also talks about), prejudice against certain social groups (gypsy people, for example), bad-mouthing, envy, and excessive concern with appearance.

Mário de Carvalho also believes that the media contributes to this national state of affairs. In a quest for profit, the media gives in to popular demand, and the rating war is the breeding ground for sensationalist and bloodthirsty news coverage (“repulsive stories, brutality, stabbings, guts on display,” 2019, p. 140) and for shows in which abject and voyeuristic entertainment reign supreme. When talking about a poll on the death penalty (long banned in Portugal) conducted by a TV channel, Mário de Carvalho invokes the “absence of principles and civic education” and the “manipulation of the audience” (2019, p. 87) in Portuguese television. The author calls on TV programmers and journalists to take responsibility to combat the acritical stance of Portuguese society. Otherwise, a “dog-eat-dog journalism” will inevitably lead to a “dog-eat-dog world,” in which authoritarian leaders will manipulate the masses:

Democracy should not be taken for granted. Peace should not be taken for granted. This civilization should not be taken for granted. Don't be surprised if, one shameful day, a charismatic strongman appears and mobilizes childish, brutalized mobs fond of primitive formulas and bloodthirsty cries. Dog-eat-dog journalism will be worthy of a dog-eat-dog world (2019, p. 87-88).<sup>2</sup>

The prophetic tone of this passage is provided by the verb forms that are indicative of a hypothetical threatening future and reinforced by the anaphoric negatives (“not be taken for granted”), which draw one's attention to the fragility of the current social and historical context. Nothing is certain, and citizens need to be on alert and need to seek information and understand the context in which they live, thus avoiding being part of the “childish, brutalized mobs.”

Mário de Carvalho holds the media largely accountable for this state of affairs. They feed illiteracy and alienation and pave the way for the “shadow of commodification” (López apud Moral, 2004, p. 377) to take over information and culture, as Xosé López mentions when describing the evolution of

specialized culture journalism: “Así surgen los productos ligeros, la información de escasa profundidad y la variada oferta de mensajes para el consumo rápido y con el mínimo esfuerzo” (2004, 383). This is the “civilization of the spectacle,” which Mario Vargas Llosa defines as the one in which citizens avoid boredom and what disturbs them and prefer to entertain themselves rather than to get informed and reflect. This is the society of the trivialization of culture, the generalization of frivolity, and, in the information field, of irresponsible journalism centered on gossip and scandal (Llosa, 2012, p. 32). This standardization of behavior and misinformation often generate distorted perceptions of reality and cases of total alienation (Pereira, 2012, p. 83); it is also present in Portugal, and Mário de Carvalho denounces it and aims to combat it in his columns.

Politicians are also responsible for this process. Despite recognizing many flaws in Portuguese politicians (such as corruption), Mário de Carvalho has some hope that those who govern the nation will succeed because, without them, the country would be at the mercy of unscrupulous individuals. Politicians are, after all, the guarantors that everyone plays by the same rules (2019, p. 103).

As for writers, they are underestimated in Portuguese society. However, the author deems them essential for society not to regress (2019, 175). While your average citizen is concerned with everyday problems, writers “watch over” the nation (2019, p. 203).

Mário de Carvalho does not, however, fail to see himself through the lens of the irony he uses to analyze what is around him. In the long column “Writers' Mirror,” in which he lists several types of writers, he identifies the “writers of *crónicas*” as the ones who “are convinced they are very funny and deeply influence the destiny of the country” (ibid, 195). We cannot help but see in this self-deprecating definition the bitter tone of someone who tries – perhaps unsuccessfully in his view – to make Portugal move forward. Irony and humor – sometimes taking the form of caricature and parody – are typical traits of Mário de Carvalho's writings, as he recognized in an interview with Carlos Vaz Marques (2010, p. 34). These traits give Mário de Carvalho's texts a power that subverts and criticizes everyday reality, as they result from an acute and incisive attention to people's mindsets, according to Carlos Reis (2004, p. 30).

### 3 MÁRIO DE CARVALHO: AN INTELLECTUAL COMMITTED TO HIS COUNTRY

As we gather from the analysis of his columns, Mário de Carvalho is an intellectual committed to his country, to the *res publica*, who tries to contribute to a change in Portuguese society with his published (and public) voice. This is the aforementioned pragmatic dimension of this type of column, which in the case of Mário de

2. The slash indicates a paragraph break. Original text: “a democracia não está adquirida. A paz não está adquirida. Esta civilização não está adquirida. Quando, num dia nefasto, aparecer um caudilho carismático a mobilizar turbas infantilizadas, embrutecidas, afeitas às formulações primárias e aos apelos sanguinários, não se admirem. / O jornalismo cão há-de merecer um mundo cão” (Carvalho, 2019, p. 87-88).

Carvalho, also include the writer's social responsibility as he tries to contribute to the development of his country while denouncing its dystopian elements. Equally symptomatic of this is the title of the second part of the book we have been discussing ("Intervening").

In a 1996 column, he recalls the past and chastises the present by drawing the readers' attention to the very strong regression of the mindset (Carvalho, 2019, p. 83) of Portuguese society, which is the root of many of the national limitations. Reflecting on the possible reasons for such a situation and extending his comprehensive diagnosis to various areas and professions, he puts forward several hypotheses, all of which can be found in contemporary Portugal:

Is it the degradation of the education system with the annual production of thousands of illiterates, part of whom will educate thousands of more illiterates? Is it the alienation (a concept that needs to be recovered urgently) caused by the obsession with the circus of a ball game? Is it unemployment, fear, insecurity, drugs, the AIDS pandemic, the syndrome of being under threat? Is it the aggressiveness of capitalism with the deterioration of human relationships that it causes? Is it the perversity of Brazilian soap operas and the infected prime-time TV shows? Is it the prostitution of a good part of the media? (2019, p. 83).<sup>3</sup>

In these columns, we find the diagnosis of a country where Mário de Carvalho sees evil germinating:

I sense there is something evil permeating Portuguese society, and it is coming to light in displays of brutality, inhumanity, selfishness in mundane everyday activities (2019, p. 91).<sup>4</sup>

This is a country where we find signs of decadence that have become visible in several areas of national life, and his analysis is reminiscent of the "Causes of the Decadence of the Peninsular Peoples

in the Last Three Centuries," Antero's famous talk at the Lisbonense Casino Conferences:

The small country we are has a weak middle class; a minuscule group of intellectuals; a promiscuous political sector with fraudsters and controversy-seeking individuals; tenuous and fickle sub-elites; eroded working-class traditions; a well-recognized economic and cultural backwardness. And burdensome legacies. We are very vulnerable. We have no reserves or defenses. There are no niches, no shelters, no resistance, no territories, as others have. Nine centuries of a troubled history are not enough to withstand all this pressure. A civilized society is like thin glass. It can be shattered in an instant (2019, p. 83-84).<sup>5</sup>

The negative characteristics of the adjectives provide a pessimistic and almost catastrophic tone, as they invoke weakness and fragility ("weak," "minuscule," "tenuous and fickle," "eroded," "vulnerable"). This is emphasized by the final metaphor that likens civilization to "thin glass" that easily shatters. It is the portrait of a precarious nation that stands out for what it lacks, as the writer highlights by insistently repeating the negative "there is not."

However, Mário de Carvalho reveals he still has hope in the new generations, represented by a young journalist who, faced with the possibility of airing a television story "portraying a thug calling for a lynching ... defies the pressure of his editors, the sadism of the audience and the interests of his bosses by saying: 'I won't air this!'" (2019, p. 84).<sup>6</sup>

Despite recognizing that this is a highly utopian and perhaps inglorious mission, the author of *O que eu ouvi na barricada das maçãs* does not give up and persists in his social criticism, which we can find in much of his writings and even in his posts on social media. Novels like *Fantasia para dois coronéis e uma piscina* (2003) and *Era bom que trocássemos umas ideias sobre o assunto* (1995) look at the country through ironic and acid lens, and even the historical novel *Um Deus passeando pela brisa da tarde*

3. Original text: "Será a degradação do ensino, com a produção anual de milhares de analfabetos, parte dos quais vai formar outros milhares de analfabetos? Será a alienação (conceito a recuperar urgentemente) causada pela obsessão do jogo circense da bola? Será o desemprego, o medo, a insegurança, a droga, a pandemia da sída, a síndrome da ameaça? Será a agressividade do capitalismo com a deterioração das relações humanas que provoca? Será a perversidade das telenovelas brasileiras e a programação infecta das televisões nos chamados «horários nobres»? Será a prostituição de boa parte da comunicação social?" (Carvalho, 2019, p. 83).

4. Original text: "Pressinto que há qualquer coisa de maléfico a impregnar a sociedade portuguesa e que se vem exprimindo em manifestações de brutalidade, de desumanidade, de egoísmo, ao nível dos pequenos atos do quotidiano" (Carvalho, 2019, p. 91).

5. Original text: "O pequeno país que nós somos tem uma classe média débil; uma intelectualidade exígua; um sector político promiscuo com patos-bravos e lanistas; subelites ténues e volúveis; tradições operárias erodidas; um atraso económico e cultural reconhecido. E heranças oneradas. Somos muito vulneráveis. Não temos reservas nem defesas. Não há nichos, não há abrigos, não há resistências, não há territórios, como outros têm. Nove séculos de conturbada História não dão para aguentar toda esta pressão. As aquisições civilizacionais são de vidro fino. De quebrar num instante" (Carvalho, 2019, p. 83-84).

6. Original text: "mostrando um energúmeno conclamando ao linchamento [...] afront[a] as pressões dos chefes, o sadismo das audiências e os interesses dos patrões dizendo: «Eu não passo isto!»" (Carvalho, 2019, p. 84).

(1994), set in Lusitania in a time when the Roman Empire was already in decline, is clearly a reflection on the intricacies of current politics.<sup>7</sup> Mário de Carvalho himself recognizes this in his column “Time and Truth”:

When it talks about other times, a historical period unveils itself above all. [...] This is how things are – we are always narrating our time, even if we do not want to (2019, p. 209).<sup>8</sup>

Therefore, Mário de Carvalho's columns draw a portrait of contemporary Portugal as they aim to shake up the national conscience, encourage critical thinking, and stimulate a more proactive civic participation: “I think I have the right to demand a little more from life and controversies, and a little less from prostration and indifference” (2019, 128); “what amazes me is this prevailing spineless, sleepy, reverential, genuflected apathy” (2019, 130). His stance comes close to that of José Gil, who identifies Portugal as a country of “non-inscription,” where citizens refuse to inscribe, that is, they refuse the action, affirmation, decision with which individuals become autonomous and find meaning for their existence (Gil, 2005, p. 17).

It is, after all, the position of someone who is adamant in his fight for a more educated, more enlightened, and freer society. In the words of Osvaldo Manuel Silvestre, there is an ethical resonance in Mário de Carvalho's writings (1998, p. 214). In the author's own words, he seeks to awaken Portuguese citizens to the need to reflect on the world and take action: I cannot give up on the idea of seeing my fellow countrymen actually becoming citizens (Carvalho, 2019, p. 83).

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7. Osvaldo Manuel Silvestre considers this to be “a novel for the (civic, not sentimental) education of the reader” (Silvestre, 1998, p. 223).

8. Original text: “Quando fala sobre outros tempos, cada época está sobretudo a desvendar-se a si própria. [...] É assim, conta-se sempre o nosso tempo, ainda que não se queira” (Carvalho, 2019, p. 209).





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# “The clock is grey with dust in the land where time is lost”; time as a narrative dimension in *The Clockwork Crow* series

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**ABSTRACT:** This paper deals with the concept of time as an integral part of any narrative. As such, based on a narratological viewpoint, time is considered at the level of the ‘story,’ as a world-constitutive dimension that “frames the setting for events, characters, and action and is itself shaped by these elements.” (Scheffel et al., 2013, para. 12)

The investigation focuses on literary narratives, bearing in mind that time expresses the shape of events in the story and that in time fantasies, as defined by Clute & Grant (1999), time shapes itself around and gives significance to human and supernatural events. Thus, this study sets out to explore time in a fantasy text set in a known historical period, the Victorian era, that also deals with the otherworld, in this case, Fairyland, focusing on its distinct rules of time.

The case study, *The Clockwork Crow* trilogy by Catherine Fisher, is presented as a text that deals with notions of historical and supernatural time and is heavily influenced by Celtic and Welsh lore. Through a detailed study, this work shows how the temporal settings and alternative time representations inevitably influence the story while also being shaped by it.

**Keywords:** Story time, Historical time, Time in Fairyland, Fantasy, *The Clockwork Crow*

## 1 INTRODUCTION

Time can be defined in a multitude of ways. It can be seen as “a constitutive element of worlds and a fundamental category of human experience” or “the fourth dimension which makes it possible to locate and measure occurrences.” (Scheffel et al., 2013, para. 2) It can be much more than that, it can be something else entirely. Not only is the concept of time not set in stone, but its understanding has also evolved and changed throughout, well, time:

In the Dark Ages of the Western World, the clocking of the passage of Time was understood to be a qualitative endeavour, an effort to explain the significance of the moments, hours and days lived. Time was a form of significant shape, and was often expressed in terms of cycles. Today the concept of Time is radically different: Time can be measured linearly, and the more accurate the measurement the more Time is presumed to be understood (or, at the very least, commanded). (Clute & Grant, 1999, p.946)

Regardless of the definition or view we favor, fact is that time is an integral part of human experience and thus an integral part of any narrative, as “narratives – understood as representations of event-sequences – are

defined and differentiated by their temporality.” (Scheffel et al., 2013, para. 5) Furthermore, within the field of narratology, time is divided into three levels of reference: ‘story,’ ‘discourse,’ and ‘narrating.’ For the purposes of this investigation, the focus will be on story time, specifically as “a world-constitutive dimension,” in the sense that it “frames the setting for events, characters, and action and simultaneously, due to its relational quality, is itself shaped by these elements.” (para. 12) It will also be considered that story time, in this sense, can be “pragmatically linked to empirical historical time.” (para. 13)

Moreover, when dealing with narratives of a literary nature, and in fantasy texts, in particular, there is the sense that, much like what happens with the medieval notion of Time, story expresses the shape of events (Clute & Grant, 1999). So being, this study will also account for the fact that stories in which time is shaped, stopped, saved, speeded up or travelled through are extremely common in fantasy. But time itself is perceived in significantly different ways in different eras and in different contexts; and the sense of time which permeates most fantasy differs as a whole from that which governs in general our sense of the nature of time in other literatures. (p.948)

In this way, the notion of time fantasy, that stands for a fantasy where time shapes itself around and

gives significance to human and supernatural events, as presented by Clute and Grant (1999), will also stand as a base for the investigation. Especially, as this concept accounts for specific manipulations of time that tend to be caused by magic, travel through portals, or via dreams, and the fact that most of such stories are set, at least in part, in this world.

Thus, this study sets out to explore time in a fantasy story according to two parameters. Firstly, regarding the historical time in which the action is set, the Victorian era. Secondly, considering the otherworld of the story, Fairyland, focuses on its particular rules of time. The goal will be to understand how time both shapes the story and is shaped by it.

The work chosen to accomplish this was *The Clockwork Crow (TCC)* series, written by renowned poet and novelist Catherine Fisher. Its categorization as a fantasy story comes mainly from the presence of fairies and other magical elements, which alongside influences from folklore and fairy tales, plus the historical setting in the Victorian era, will be an essential part of understanding how time features in the story.

The series is comprised of three volumes: *The Clockwork Crow* (2018), *The Velvet Fox* (2019), and *The Midnight Swan* (2020), and it follows the journey of Victorian orphan Seren Rhys as she makes her way from the orphanage to a new house and finds herself tangled up with an enchanted talking crow and the Tylwyth Teg (Fair Family).

## 2 TIME OF THE STORY: (NEO-) VICTORIANISM

Starting thus by looking at the time where the story is set, we first need to consider what it means to talk about historical time in fiction. In *The Routledge Companion to Imaginary Worlds*, Marie-Laure Ryan explains that the historical time locates stories in a specific temporal setting, recognizable for the reader through references to real-world individuals and events, or, when none is mentioned, through the kinds of objects and technologies that surround the characters. This does not mean that the past of the imaginary world must be narrowly faithful to the actual past: just as a world can introduce imaginary characters in a historical setting, it can present a counterfactual version of the past, as in alternative history fiction. (2018, p.78)

In this sense, we begin by placing the action of *TCC* in the Victorian era. Though the text presents no absolute temporal markers such as dates, and it is never expressly stated that the action is set in Victorian times, that indication is made in the summary of the work and has been confirmed by the author on several occasions. We get the sense that the action is set in the 1800s through other textual elements such as the general ambiance, the language used, the social norms in place, etc. The most evident of said markers are the characters' titles: Captain, Lady, young Master; the

professional positions: governess, housekeeper, gardener's boy, servant; the activities and customs: attending fairs, balls, being tutored at home, etc. There are also some assumptions made by the characters that would only be plausible in that specific period, such as the supposition of the governesses being evil or the suspicion of there being children hidden away and locked in the attic. There are also some cultural references to the characters of Sherlock Holmes and Alice, and writer Charles Dickens, with the implication that the mentioned figures and the works they originate from are the characters' contemporaries.

Having thus established the Victorian period as our historical time, we now need to consider the implications of that choice, since "written in one period, but evoking another, historical novels always occupy a complex position in relation to the present and the past." (Hadley, 2010, p.5) And even though the work is classified primarily as fantasy, the fact that it is set in a known historical period makes it so that it can also be considered for its fictional history dimension. Moreover, since the action is set in the Victorian era, we can also look at the work as neo-Victorian. But whereas 'historical fiction' encompasses within its title a notion of the fictional imagination, neo-Victorianism is potentially able to be interpreted as offering a different sense of the historical imaginary. (Heilmann & Llewellyn, 2010, p.15)

So being, it is important to keep in mind that "neo-Victorian' is more than historical fiction set in the nineteenth century" (Heilmann & Llewellyn, 2010, p.4). A neo-Victorian work consists of fiction consciously set in the Victorian period, but more than that, it seeks to "re-write the historical narrative of that period by representing (...) generally 'different' versions of the Victorian" (Llewellyn, 2008, p.165). As such, texts must be, in some respect "*self-consciously engaged with the act of (re)interpretation, (re)discovery and (re)vision concerning the Victorians*" (Heilmann and Llewellyn, 2010, p.4, italics in the original). Criticism and critical thought are as much a defining quality of neo-Victorianism as are the creative, re-visionary impulses towards the historical that guide it. (Llewellyn, 2008)

Even though it cannot be said *TCC* was consciously written to challenge preconceived notions about the Victorians, it still manages to do so, making it pertinent to regard it as a neo-Victorian piece, especially if, like Hadley we take neo-Victorian in its broadest sense as a "contemporary fiction that engages with the Victorian era, at either the level of plot, structure, or both." (2010, p.4) As such, some aspects that help read the work as neo-Victorian are, for instance, the fact that the main character is not only female but also a child, and an orphan one at that, representing two of the most marginalized groups of the Victorian era; the fact that the action is set in Wales and highlights Welsh history, culture, traditions, and language also aids in bringing to the spotlight a part of Victorian history that does not focus

exclusively on England; there is also the characteristic motif of referencing famous Victorian personalities, historical or fictional (in this case, Charles Dickens, Sherlock Holmes, and Alice). Though these are apparently small features, they do allow us to think critically about the society represented in the story and how it relates to our own contemporary society, both in what concerns the Victorians and our understanding and representations of them.

Another distinctive characteristic of neo-Victorian works, which deals closely with notions of time due to its retrofuturistic nature, is steampunk. And while there is no intention of classifying the work as a steampunk narrative, it is important to highlight its steampunk qualities, for, even though steampunk is more often related to science fiction, it can also appear in fantasy, as is the case, not as the core of the narrative but rather through some key elements. Generally speaking, steampunk can be defined as being simultaneously retro and forward-looking in nature, having a sense of adventure and discovery, and embracing divergent and extinct technologies to talk about the future. (VanderMeer & Chambers, 2012)

In what concerns steampunk narratives, they usually “combine ideas drawn from the industrialized, steam powered Victorian landscape.” (Llewellyn, 2008, p.181) Thus, steampunk narratives can be identified as works of fiction inspired by 19<sup>th</sup>-century scientific and technological advances, tying the *steam* portion of the name directly to the steam power of the Industrial Revolution. At the same time, as a cultural and aesthetic movement, and accounting for the *punk* portion of the term, steampunk stands for marking a difference, going against the current, and asserting one’s identity through a specific style that combines traditional Victorian and gothic trends with punk elements.

Bowser & Croxall note that this particular aesthetic informs both modifications of machinery and the fetishizations of gadgets, which are key elements in identifying steampunk, like the authors put it, we recognise steampunk generally because of the Victorian technologies – real or imagined – we see within it: dirigibles, steam engines, and difference engines built out of brass rods and cogs, cogs, cogs. (2010, p.15-6)

And these are the precise elements that account for the steampunk facet of *TCC*, the *clockwork* mechanism – featured in the title of the first book, that also gives name to the series and is prominently displayed on the book cover – and the mechanical crow – one of two main characters.

In this way, the Crow, described as being made up of: “cogs and wheels, pins and screws. A pile of small springs” (Fisher, 2018, p.17), is the main contributor to the steampunk dimension of the work. The Crow can stand in relation to time due to the direct reference to the clock, but more than that, he stands as a reminder of the passage of time since he needs to keep being wound up to work. However, while the mechanical components tie the Crow to

steampunk, it is not scientific development that is at the root of its existence.

Contrary to what usually happens in science-fiction narratives, the reason behind the Crow’s existence as a mechanical being is not scientific advancement but magic. In this way, he embodies within himself both technology and magic, which mirrors the relationship between science and the supernatural, a dualism distinctive of the Victorian era since the Industrial Revolution was taking place, but at the same time, the belief in fairies and magic was also very present. Accordingly, VanderMeer & Chambers mention the perpetuation of several successful hoaxes that occurred in the Victorian era, “proving that, during times of rapid scientific advancement, fact and fiction are often indistinguishable to the layperson,” arguing that “in a similar manner, Steampunk writers today must make outdated inventions believable.” (2012, p.25) In the case of this story, the existence of a talking clockwork crow born out of magic is made plausible through this notion of belief in the supernatural, that is made possible by setting the action in Victorian times.

In 1846 William John Thoms, who contributed the term “folklore” to the English language, commented in *The Athenaeum* that “belief in fairies is by no means extinct in England.” (Silver, 1986, p.141)

This notion, very distinctive of Victorian Great Britain, is somewhat overlooked perhaps because the focus often falls on the advances of the Industrial Revolution instead. Still, “many people from all social classes seriously believed in the existence of fairies, elves, goblins, selfies, and dwarfs otherwise known as the little people.” (Zipes, 2000, p. xxvii) Hence, contrary to what could be assumed, “believers were not limited to gypsies, fisherfolk, rural cottagers, country parsons, and Irish mystics” (Silver, 1986, p.141). In fact, among those who would advocate for the existence of the little people there were numerous scientists, historians, theologians, anthropologists, folklorists, artists, and writers.<sup>1</sup>

The Victorians’ fascination with the fairies influenced many aspects of life, namely the cultural productions of the time: from fairy stories, operas, plays, music, and ballets, one of the most prominent examples was the phenomenon of Victorian Fairy Painting that flourished between the 1830s and the 1870s. (Zipes, 2000; Silver, 1999) However, this belief transcended the cultural and artistic, and as new personal and psychological attitudes toward

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1. What is more, even though said belief proliferated in the Victorian era, it was not restricted to it. A well-known example, already at the beginning of the 20<sup>th</sup> century, is that of Sir Arthur Conan Doyle, whose belief in the Cottingley fairies made them famous, especially since he was associated in the public mind with the rational, supremely scientific, and untrickable, Sherlock Holmes, the man who knew everything. (Haase, 2008; Silver, 1999)

belief emerged, the sciences and their techniques were utilized to support or disprove such matters as fairy origins. (Silver, 1986, p.145)

Furthermore, this concern with the origins, a concern aided and abetted by developments in the sciences and social sciences, promoted the serious study of supernatural creatures. (Silver, 1999, p.34)

Moreover, Celtic influences within the British Isles were also a major contributing factor for the propagation of fairy lore, for there were rich Anglo-Celtic enclaves in Cornwall, Wales, the Isle of Man, and the Scottish Highlands and Islands. (Silver, 1999) In Wales, specifically, the fairy faith was an aid to cultural survival:

the ordinary Welsh of the nineteenth century were a persecuted underclass who spoke the Welsh tongue and were often dissenters. (...) Not only the Welsh sustained themselves through fairy faith in various forms. Rural peoples all over the British Isles found in it a separate belief and private knowledge – something they did not have to share with oppressors or repressors, whether represented by the church, the government, or standardized education. (Silver, 1999, p.206)

Accordingly, as our story is set in Wales, this mindset is shared by several characters of Welsh descent and can be seen through their attitude in what concerns the fairies. The Crow, for instance, that is present in the book as the voice of reason, a highly rational being, who is at times compared to Sherlock Holmes due to his highly developed intellect, someone who poses as the children’s tutor, is one of the main believers in fairy lore. We get to see that he sees the fairies not only as real but also as a serious threat through remarks such as: “The Fair Family. The White People. You don’t mess with Them” (Fisher, 2018, p.101) or “‘The Fair Family!’ (...) They are the most dangerous and tricky of enemies to make. Good heavens! Witches are bad enough but those creatures!” (Fisher, 2018, p.115) And when he claims to be a professor, the subjects he enumerates are of a supernatural nature, yet he still evokes them as scientific:

In fact, I happen to be an Emeritus Professor of Alchemy and the Supernatural Sciences at the University of Oxford, with further degrees specialising in Dragonlore, Transformation Techniques and Methods for Control of the Tylwyth Teg. (Fisher, 2019, 188)

Likewise, belief on the part of the house staff is expressed much in the same way. There are several instances when the gardener’s boy comments on the fairies’ nature and shares what he knows of them while displaying clear signs of fear:

He shrugged. ‘The Tylwyth Teg. The Fair Family. Everyone knows that’s what happens. They take

children. (...) We shouldn’t talk about Them.’ He held up his fingers and they were crossed. ‘Don’t ask me any more. They might hear.’ He glanced round, worried. (Fisher, 2018, p.113)

And Denzil, the groundskeeper, also warns against the danger the fairies pose:

‘Keep your window closed and your door shut. There’s a bitter coldness in the house tonight. An icy silence. I can feel it.’

‘You mean The Family, don’t you?’

His face was dim in the candle shadows. He said, ‘Don’t talk of Them. They have the boy, we all know that. All the spells in the world won’t bring him back to us. We should have explained it to you, but we don’t speak Their name now.’ (Fisher, 2018, p.125)

### 3 TIME IN THE STORY: PASSAGE OF TIME IN FAIRYLAND

As a result of this belief in fairies and the establishing of its pertinence within the context of the historical time in which the action is set, we can also focus on another notion of time conveyed in the story: time in Fairyland. Since “one of the main features of Faerie is its timelessness” (Clute & Grant, 1999, p.328), it is also commonly acknowledged that visitors to Faerie find that Time there is subjective, disengaged from real-world clocks and calendars. Years of revel or bondage may occupy one night or one instant of normal time; or years may pass outside during a perceived brief visit. (p.948)

This feeling of the relativity of time that accompanies the idea of Fairyland is spread worldwide. (Briggs, 1978) As such, stories in which time operates differently in Fairyland appear worldwide and are told of various supernatural lands other than Faerie. Such tales account for numerous time distortions where a year spent with the fairies can be but a few minutes in the human world; two months in Faerie can take up two hundred years of mortal time; what appear to be ten minutes or hours among the faeries can translate to ten days or ten years of human time; a single night in Fairyland may be one hundred years in reality.<sup>2</sup> (Briggs, 1978; Cooper, 2014; Haase, 2008)

2. One of the most famous examples of a story in which time is longer in the otherworld while hardly any time passes in the real world is C.S. Lewis’s Narnia series, especially, *The Lion, the Witch and the Wardrobe*, where a decades-long visit to the secondary world corresponds to mere moments of Earthly time, and, at the same time, an Earth year corresponds to many Narnian centuries. (Fimi, 2020; Clute & Grant, 1999)

While this idea of an alternate passage of time in the otherworld is common worldwide, particular cultural traditions also inform its dissemination in specific areas. Thus, considering the Celtic and Welsh influences present in *TCC*, it is important to become familiar with those particular perceptions of Time and Fairyland.

To the Celts, each day began at sundown of what we would consider the previous day, and just as night preceded day, so winter preceded spring, with the beginning of the year marked at the feast of Samhain on November 1. (...) Time was linked to history, which was important to the Celts, who invested effort in memorizing long genealogies, but there was also the otherworld, where time and space were radically different from those in our world. (Monaghan, 2004, p.448)

Thus, this otherworld, home to fairies, spirits, and other divinities, existed parallelly to the human world and had its own rules of existence, “such liminal (literally, ‘shadowy’) places and times were very important in Celtic myth and ritual.” (Monaghan, 2004, p.289)

Such notions are incorporated in the story mainly through Fairyland, which in *TCC* is the country of the Tylwyth Teg,<sup>3</sup> the Fair Family, the “child-stealing fairies of Wales.” (Briggs, 1978, p. 200) According to lore, “the danger of visiting them in their own country lies in the miraculous passage of time in Fairyland” (Briggs, 1976, p.419) and “it may be said that the man who visits Fairyland does so at a grave risk of not returning until long after his span of mortal life has been consumed.” (p.398)

In the same way, one of the greatest difficulties Seren encounters in her quest to rescue Tomos from Their world is the peculiar passage of time there, which is described as follows:

The walk through the meadow might have taken hours or days, but there was no time here. Seren didn’t even get tired. After a while she realised the meadow was gone and she was walking through a wood. When had that happened? It was like being in a dream.<sup>4</sup> (Fisher, 2018, p.139)

The particular temporality of Fairyland in the story is also highlighted and hinted at the beginning of the chapter in which Seren travels through the world of the fairies by opening with the epigraph:

*“The clock is grey with dust/In the land where time is lost.”* (Fisher, 2018, p.130, italics in the original)

3. However, in *The Midnight Swan* the children visit another otherworld, not the land of the Tylwyth Teg, but also a magical country where time is felt differently: “It was so sleepy here. And the sun should have been setting, but it hung in the purple sky, as if Time had slowed right down, or didn’t exist at all.” (Fisher, 2020, p.121)

4. This equating of fairyland to a dream also mirrors a common motif of describing the memory of being in Fairyland as dreamlike, even though the world in itself is rarely portrayed as a dream land. (Clute & Grant, 1999)

Even though Seren is aware that time goes by differently in Fairyland and has experienced it herself, we can also see how easily she can forget about it, having to be reminded:

‘We’ve only been gone a few hours.’

‘Who knows how long we’ve been gone,’ the Crow snapped, circling wildly. ‘Time’s not the same here. Days might have passed back there.’ (Fisher, 2018, p.153-4)

Still, months later (in the last book), Seren is still very aware that Fairyland has its time rules. When considering the possibility of being taken by the faeries, the particularities of the passage of time are prominently featured in her idea of what it would entail:

She would have to be snatched away with the Fair Family, into their country of snow and strangeness, to that icy palace she had been in once before. And there was no time there, so she would live forever in a whirl of dancing and hunting and cold beauty, and there would be no one to talk to and no lessons and no books and no Sam the cat to play with and no Plas-y-Fran. Unless she visited it at night like a ghost and watched everyone else growing older. (Fisher, 2020, p.174)

In addition to these descriptions of the passage of time in Fairyland, there are also many other ideas and beliefs incorporated in the text, namely, what happens to people who can escape the fairies and return to the human realm. In Wales especially, there are many stories about “the return of victims detained among the fairies” (Briggs, 1978, p.18), as is the case in *TCC*. Moreover, even if some of the discussed ways of returning do not occur, various possibilities are still discussed in the story.

For instance, it was believed that to eat or drink in Fairyland would lead to an enchanted sleep during which time would pass at a supernatural rate, and even if they ever managed to wake up and escape, “when people return in this way after a long absence they often fall to dust as soon as they eat human food,” (Briggs, 1976, p.3989) which was true, especially in Welsh stories. Even though none of the characters suffer this fate, Tomos tells Seren that:

‘Any minute now you’ll tell me to eat some of Their food. That’s what They really want.’ He waved a hand at the piled plates. ‘Look at it. All the things I like best – custard tarts, cream horns, syllabub. But I won’t touch any of it, because if I eat it. They’ll have my soul and I’ll have to stay here forever.’ (Fisher, 2018, p.158)

Likewise, the Crow warns Seren of the danger of turning to dust upon a delayed return to the mortal world:

And then, before you know it, a thousand years have passed and you go outside and collapse into a little heap of dust and everyone says, “Seren Rhys? Why she was just a girl in a story who went into the wood and never came out again.” (Fisher, 2019, p.165)

As for the accounts of those who have been to Fairyland and returned, two perspectives are presented in *TCC*, Tomos’s and Seren’s. In line with tales where people drawn into Fairyland were unable to escape when they wished and once they returned, hundreds of years had passed (Briggs, 1976) and in which “a person who thinks they have been away for only three days returns to find that 300 years have passed in the mortal realm,”<sup>5</sup> (Cooper, 2014) we have Tomos’s experience: “I don’t know how long I’ve been here” he tells Seren, who has to explain:

‘I had to find you! You’ve been gone a year...’

His laugh startled her. ‘Don’t be silly. Of course I haven’t! I went for a walk this morning, in the snow. I ran down by the hollow near the lake and then I ... well, somehow I was here.’ He frowned. ‘I can’t quite remember how. But it was only an hour or so ago.’

Seren shook her head. She grabbed his arm and pulled him from the bed, and he was exactly the same height as she was. ‘No, it wasn’t! Listen to me! It was a year ago. A whole year. And your mother... all of them, they don’t know what’s happened to you. They say you’re missing, but some of them think you’re dead.’

His blue eyes were hard with amazement, and then anger. ‘A year?’

‘And a day.’

‘No ... that’s not possible...’ (Fisher, 2018, p.159-60)

Faced with Tomos’s confusion, Seren cannot help but wonder: “How long had she been here? Was another year gone? A hundred years? It scared her, that time might be flitting past in the world out there.” (Fisher, 2018, 161) Though she herself lost track of time and was also tempted by the fairies into staying, she managed to escape and rescue Tomos as well. If on a smaller scale, her situation is still similar to Tomos’s, since when she returns to

Plas-y-Fan after escaping from Fairyland, she believes to have been gone only a short time, but “they told her she had been gone for a whole day and night.” (Fisher, 2018, p.173) Echoing Welsh tales in which “an hour may be a day and a night.” (Briggs, 1976, p. 400)

Likewise, the story incorporates other specific time periods that hail from Welsh lore, namely those that state that “a dance of a few minutes takes a year and a day of common time” and that “the dancer in the fairy circle is nearly always to be rescued after a year and a day.” (Briggs, 1976, p.398, p. 400) This is the precise timeframe that the Crow gives Seren when she asks him, “‘How do I rescue him?’ The Crow sighed. ‘Well, there is one way. You have to wait for a year and day.’” (Fisher, 2018, p.115-6)

On a final note, it is also worth mentioning that besides exploring these particularities of Time in Faerie, *TCC* mentions other time distortions that are still connected with magic but take place in the mortal world. As mentioned by Donald Haase:

In narrative time, time itself can take on a different quality in so far as—under certain circumstances, for instance, within the confines of a hedge of thorns—a beautiful princess and her household can be made to sleep for 100 years at the prick of a needle and an old woman’s curse. This is not a state of timelessness, however, or disregard of time, as has sometimes been suggested, but rather a case of locally suspended time, while the outside world presumably continues in its accustomed human pattern. (...) Similarly, for those humans who deliberately or accidentally enter fairyland, the passage of time may be imperceptibly slowed down, usually in directly relatable proportions to historical time. (Haase, 2008, p.974)

We have already seen that this slowing of time in Fairyland occurs in the story and how it interlocks proportionally with human time, but there is also an instance in *The Velvet Fox* where the Tylwyth Teg cast a spell that suspends time in Plas-y-Fran, in the mortal realm, while the rest of the world remains undisturbed. Not only is the curse extremely close to the Sleeping Beauty one, that very same connection is made at various moments in the text:

Nothing stirred. No one yawned or sat up, the cat’s ears didn’t flicker. There was not even a snore, just the deep, horrible silence. And now, as Seren turned a full circle in the vast kitchen she saw that everything was asleep – the clock no longer ticked, the spit had stopped turning, even the long drip from the tap hung without falling.

‘It’s a magic spell!’ she whispered.

The Crow flapped in and perched on the clothes horse. He glanced around rapidly then shook

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5. Even though the most common experience is that people who believe to have stayed in Fairyland a short time actually stay for what turns out to be centuries of human time, the opposite is also possible. An example is a story of a Welsh boy who entered a fairy ring to dance and was transported to a glittering palace in a beautiful garden and felt he had stayed there for weeks, however, upon his return, he realized hardly an hour of human time had passed. (Cooper, 2014)

his head in disgust. ‘Not a very original one either. Absolutely predictable.’

‘It’s just like Sleeping Beauty!’ (Fisher, 2019, p.132-3?)

He will sleep for eternity – I’m not messing around with that hundred years business. Plas-y-Fran will be forgotten under its brambles, and there will be no little princess coming to kiss him awake. Ever. (Fisher, 2019, p.148)

Thus, reinforcing the idea that these specificities of time are common in stories that deal with magic and time variations.

#### 4 CONCLUSION

So, considering the different uses of time that have been explored, we can see how, by assuming that “in historical fictions the characters’ psychology should derive from their historical period, not that of the writer” (Hadley, 2010, p.17) one consequence of setting *TCC* in the Victorian Era is that the behaviors and beliefs of the characters mirror those of the Victorians. Even though the fairies constitute a fictional component for the readers, they do not do so for the characters. This belief grants the supernatural another dimension within the story.

As previously mentioned, the fictional past the story presents does not have to be entirely faithful to the actual historical period it recreates. So being, even though the historical elements are very accurate, the author of *TCC* focuses on one specific characteristic of that time, the belief in faeries, and in doing so, turns what could be only a historical fiction into a fantasy. Using (historical) time both as an anchor and a bridge, a launching pad into the magical rooted in the factual, so that “the Victorian context does not merely function as backdrop, or costume; rather it is integral to the plot and thematic concerns explored in the novels.” (Hadley, 2010, p.18)

But more than serving as a temporal setting, we must remember that 19<sup>th</sup> century England was the site of major upheavals in how people understood time; due in part to technological innovation, the way time was measured changed, which greatly influenced the way time was felt. (Bowser & Croxall, 2010) So, the text’s focus on the unusual time variations in Faerie and the mortal world relates to the Victorians’ belief in faeries, but it also reflects real Victorian anxieties. Paralleling the fact that the theories that folklorists (supported by the social sciences) postulated to rationalize the irrational, to explain the supernatural and belief in it simultaneously explain the culture itself – exposing fears and fantasies close to the Victorian unconscious. (Silver, 1999, p.4)

In this way, considering the particularities of the Victorian period and the influence of Celtic and Welsh lore, we must keep in mind that each contemporary

fantasy text that reworks Irish or Welsh medieval material belongs to its own time and therefore engages with the “source” material but also with its own, modern sociocultural context. (Fimi, 2020, p.7)

Thus, using Faerie as “a ready-made semi-believable world” (Clute & Grant, 1999, p.329) allows for there to be multiple representations of the passage of time that inform and shape the story, but it also implicates that the text (re)shapes the very notions of time and Faerie it is based on.

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## The concept of space in *Deflagrações* (2021) by José Luís Hopffer C. Almada

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**ABSTRACT:** This chapter is a contemplation of the topic of space in a book entitled *Deflagrações*, by José Luís Hopffer C. Almada (JLHCA). This author writes under various literary names, such as Nzé de Sant'y Ago, Amizé di Sant'y Águ, Ezeami di Sant'y Águ, Alma Dofer, Alma Dofer Catarino and Erasmo Cabral de Almada, Dionísio de Deus y Fonteara, and Tuna Furtado. He prefers the designation of “literary names” to differentiate himself from the heteronyms used by Fernando Pessoa. In this reflection, we will point out certain movements in different spaces (in Cape Verde and abroad), as well as important Cape Verdean figures and rebellions that occurred in Cape Verde between 1822 and 1910, i.e., the uprisings of Monte Agarro and Mindelo, and the revolts of the Engenhos, Achada Falcão and of Ribeirão Manuel. It will begin with a brief background of JLHCA, his work, and the topic under study. José Luís Hopffer C. Almada is an important reference in Cape Verdean literature and has written numerous studies, essays, and poems. He is associated with several cultural initiatives in Cape Verde and Portugal. Among other distinctions, JLHCA has figured in multiple compilations and anthologies of poetry. He has also participated in scientific events in various countries and has vast professional experience.

**Keywords:** Cape Verde, José Luís Hopffer C. Almada (JLHCA), *Deflagrações*, Literary names, Space

In this chapter, we will contemplate space in *Deflagrações*, by José Luís Hopffer C. Almada (JLHCA), a topic which, in our opinion, is rooted in this author's literary work. Born on 9 December of 1960 in Assomada, Santa Catarina, Santiago, Cape Verde, JLHCA earned a degree in Law from the Karl Marx University at Leipzig, Germany, and postgraduate degrees in Juridical Science, in Political and International Science, and Juridical-Urbanistic Science from the Universidade Clássica de Lisboa. He has participated in cultural events in Cape Verde and Portugal, and he figures in several compilations and poetry anthologies. Apart from having held different professional positions and regularly participating in scientific events in Cape Verde, Portugal, Cuba, Senegal, Holland, Mozambique, Switzerland, Belgium, and Italy, he has written numerous studies, essays, and books of poems. His published works include the book of poems and essays *Deflagrações* (2021); *Germinações e outras restituições de março: uma antologia pessoal* (2019); *Sonhos caminhantes* (2017); *Rememoração do tempo e da humidade (Poema de Nzé de Sant'y Ago)* (2015/2016); *Praianas (Revisitações do tempo e da cidade)* (2009); *Assomada noturna (Poema de Nzé di Sant' y Águ)* (2005); *Assomada noturna* (1993); *A sombra do sol*, volumes I and II (1990). (Almada, 2021).

His most recent book, *Deflagrações*, was co-funded by the Instituto da Biblioteca Nacional e do Livro (IBNL) and by the Ministry of Culture of Cabo Verde, through the Concurso Edição organized in 2013, and by *SEPI INNOVATION* (Almada 2021). It was published in Cabo Verde in October of 2021, and launched in Portugal in February of 2022, an event in which we participated as moderator. The book opens with the poem entitled “Autobiografia ortónima (Sétima variação)” (pp. 5-6), and was followed by his first book, *Sombras insepultas (Poemas de Nzé de Sant'yAgo)*, (pp. 9-50); his second book was *Os nós da solidão e outros irreprensíveis poemas e outros antigos textos colhidos e por vezes refundidos à sombra do sol acrescidos de novos propoemas de Erasmo Cabral de Almada* (pp. 51-135); his third book was entitled *Australidades (Poemas de Erasmo Cabral de Almada* (pp. 137-313), which is divided into two parts: “Madrugada dos sons” and “Nomeações da alvorada”, (pp. 299-313); his next work was “Reflexões finais (Cabo Verde: emancipação político cultural do povo das ilhas, discursos da crioullitude, síndromas de orfanidade identitária e alegada (im)pertinência de uma poesia caboverdiana da afro-crioullitude (e/ou da negritude crioula)”, by Tuna Furtado (pp. 315-503); and “Referências bibliográficas” (pp. 505-534).

The first versions of these reflections were published in the online magazine *Buala* and in the work *Afro-rizomas na diáspora negra: as literaturas africanas na encruzilhada brasileira*, organized by José Henrique de Freitas Santos e Ricardo Riso (2013), with the titles “Discurso da crioultitude, síndromas da orfandade e (im) pertinência de uma poesia caboverdiana da afrocrioultitude e/ou da negritude crioula” and “Orfandade identitária e alegada (im) pertinência histórica de uma poesia de negritude crioula: discursos da crioultitude e síndromas de orfandade identitária” (Almada, 2021). This text was revised, rewritten and enlarged. Regarding the last revision, which was done in May 2020, during the COVID 19 lockdown JLHCA stated:

Lisbon, September of 2005, August of 2013, and July of 2015 (revised and enlarged in August of 2017 and March, April, and May of 2018, rewritten for the current version of the second part in the second half of July 2018 and revised for the last time in the first half of October of 2018, in January of 2019 and in April/May of 2020, amid the general lockdown due to the new coronavirus and Covid-19 and a state of emergency declared officially (Almada, 2021, p. 502).<sup>1</sup>

JLHCA is a Cape Verdean author who is must-read. He goes by the following literary names: Zé di Sant’y Águ, Nzé di Sant’y Águ (now Nzé de Sant’y Ago), Amizé di Sant’y Águ, Ezeami di Sant’y Águ, Alma Dofer, Alma Dofer Catarino and Erasmo Cabral de Almada for his poetry; Dionísio de Deus y Fonteana for his works of fiction and literary prose in Portuguese and Cape Verdean; and Tuna Furtado for his articles and essays (Almada, 2021). In his book “*A sombra do sol*,” he explains why he chose some of these names:

Tuna Furtado is me when I am overcome by the desire to theorize and by the freedom of creating [...]. Erasmo and Alma Dofer represent my Germanic ancestry; Tuna is the name of the only grandmother I knew personally (my mother’s mother); Dionísio was the name of my mother’s father; Cabral, Furtado, and de Deus are surnames in my country. Sometimes places of my ancestry and childhood are evoked;

Fonteana is where my mother was born and raised [...]. (Almada, 1990, p. 14).<sup>2</sup>

The author believes that he is both a result of and a transformer of the space he lives in. This space is revealed in the uniqueness of his poetry, whereby we find a physical space (essential for the circulation of the subjects and figures of national and international importance that he proclaims and for showing his perception of settings and geographical allusions), a social space (inseparable for the corporal, involving certain collective environments, usually explained by players of a specific proportion), and psychological space (from the inner essence of the subject and characters mentioned in his writing, revealing his vision of Cape Verde and the world) (Gordo, 1995). Thus, we perceive space in the author in three ways:

[The] topographic (static space comprising a “map” organized in accordance with real ontological principles), the chronotopic (structure imposed on space by temporal categories, such as movement and change), and textual (the structuring that derives from the linguistic nature of the text, especially for the selectivity, linearity, and the point of view (Gordo, 1995, p. 28).<sup>3</sup>

We thereby encounter a space in which the author/subject of the poem emerges as one of the protagonists of certain places, attaining a status of categorized space or place for writing. That (space) is occupied by an attentive subject who records what he sees, whose perspective exposes and sheds light on himself as an observer engaged with a redeeming Universe. See the following passage from the *A sombra do sol*:

The Green of the first Rock, which leans over our historical and telluric reality, our mythical memory, and our daily lives, including marginal aspects. [...]. It entails a look at Cape Verde from afar and self-reflection of the man-poet as a citizen of the world, and thus, distressed by the human condition, with social upheaval that

1. “Lisboa, setembro de 2005, agosto de 2013 e julho de 2015 (revisado e aumentado em agosto de 2017 e março, abril e maio de 2018, refundido para a versão atual da segunda parte na segunda quinzena de julho de 2018 e revisado pela última vez na primeira quinzena de outubro de 2018, em janeiro de 2019 e em abril/maio de 2020, em pleno confinamento geral ditado pela situação de calamidade pública adveniente das ameaças do novo coronavírus e da covid-19 e correlativas Declaração do Estado de Emergência e do Estado de Calamidade Sanitária”. (Almada, 2021, p. 502).

2. “Tuna Furtado sou eu, quando assaltado pela paixão de teorizar a cultura e a liberdade de criação. [...] Erasmo e Alma Dofer simbolizam a minha ascendência germânica; Tuna é o nome da única avó que conheci pessoalmente (a mãe da minha mãe); Dionísio é como se chamou o pai da minha mãe; Cabral, Furtado e de Deus são apelidos dos meus pais. Por vezes são os lugares da minha ascendência e infância que são evocados; Fonteana é o sítio onde nasceu e cresceu minha mãe [...]”. (Almada, 1990, p. 14).

3. “[O] topográfico (o espaço estático, constituindo um “mapa” organizado segundo os princípios ontológicos reais), o cronotópico (a estrutura imposta ao espaço pelas categorias temporais, como o movimento e a mudança) e o textual (a estruturação que decorre da natureza linguística do texto, em especial pela seletividade, pela linearidade e pelo ponto de vista”. (Gordo, 1995, p. 28).

arises with happiness and freedom (Almada, 1990, p. 14).<sup>4</sup>

Other Cape Verdean figures also inhabit this space, along with objects and historical moments that make up the “bones of time” (Butor, 1972, p. 68). JLHC works “the space of the context” (Cosson, 2010), focusing on a dialectic, and a centrifugal motion in the insular geography, suggesting the construction of a road to his concept of inspiration. His poetry, derived from his literary creativity from incessant research work, is also a socio-cultural reflection (Cabral, 1952) of the areas traveled, the reason why he “builds himself up as a multifarious being within Cape Verdeannes and universality” (Almada, 2004, p. 202), and strives to be “a poem that wants to excel for its thematic and formal diversity” (Almada, 2009, p. 5). That is why he is a:

A researcher *par excellence* [.]. [He is a] writer [who] questions, raises doubts and encourages the introduction of solutions using artistic means, creating and revealing the tension of critique as a natural and permanent state of freedom and its multifarious mainstay, which is civil society. (Almada, 1994, p. 95).<sup>5</sup>

Like his Cape Verdean literary predecessors, he is an author of historical circumstances. In *Deflagrações*, he documents several spaces, portraying the nuances of circulation from rural to urban environments to seek new centers of population, substantiated by an approach that transports the hourglass to a time that doesn't let him forget the village where he was born, nor Leipzig, the European city that marked him, in an autobiographical incursion. Born in a mountain village (Assomada, now a city on the island of Santiago), where he was in a half-light, between the light and the shade of the mountains, contrasting with the shade of the “sobrado” house. The recollections of his childhood and the weariness in that space make him turn his back to the sea and look for other spaces, i.e., Leipzig, where he metaphorically kissed “with love,” and perhaps with vehemence and vigor, the “snow” - a symbolic representation of experiences transformed

into a recollection of the city where the author studied. See the following passage from the poem “Auto-biografia ortónima (Sétima variação)”:

I was born in a village/in the shade of a *sobrado*/ and of the austere semi-darkness of the mountains//still a child/I was depleted in the exhausted banks of the streams/I crossed over the humid orography of Assomada/and became a tree of the plateau/[...]/With my back to the sea/I insinuated myself/- beyond the island -/in the slow and transparent/path of the clouds/to Leipzig/madly kissing/with love and with passion/the snow that smells of coal and melancholy/to be pacified from far away Europe [...] [...]. (Almada, 2021, pp.5-7).<sup>6</sup>

The poet refers to the place where he was born and grew up and his departure to the city of Praia and later to Leipzig. While in Europe, he never forgot his African space, the “Americas,” the “enslaved blacks,” according to him, his condition as son of Adam and Eve, and the Pico de Antónia (the highest point in Santiago, with an altitude of 1,394 meters), to the southwest of Assomada, as stated in the following passage:

[...] the snow-white cold/to caress from Africa/ with love and with ardor/with torment and with passion/with tenderness and emotion/the primary ebony of origins/the resilient laughter and contagious rhythm/joy exploding ultimately/before the many abysses/with the many rebirths/of the Americas/I get inoculated and saturated/with ardor and delight/of the rhythms [...] black enslaved voices/[...]/Today I know that I am a mere sign of Adam and Eve/and of their rocky Eden on Pico de António (Almada, 2021, p. 7).<sup>7</sup>

In *Deflagrações*, the author recreates a physical-social-psychological space, making his writing oscillate between poetic discourse and the expressive

4. “O Verde da primeira Rocha, o qual se debruça sobre a nossa realidade histórica e telúrica, a nossa memória mítica, o nosso quotidiano, incluindo aspetos marginais. [...] Ela pressupõe um olhar de longe sobre Cabo Verde bem como a autoconsideração do homem-poeta como cidadão do mundo, e, por isso, angustiado com a condição humana, com as convulsões sociais advenientes da felicidade e da liberdade”. (Almada, 1990, p. 14).

5. “Indagador por excelência [.]. [É um] escritor [que] questiona, suscita dúvidas, favorece o advento de soluções, utilizando os meios próprios da arte, isto é, criando e fazendo desabrochar a tensão da crítica, como estado natural e permanente da liberdade e do seu sustentáculo plural que é a sociedade civil”. (Almada, 1994, p. 95).

6. “Nasci numa aldeia/à sombra de um sobrado/e da suster penumbra das montanhas//ainda criança/exauri-me nas exaustas margens das ribeiras/galguei a húmida orografia da Assomada/e fiz-me árvore do planalto/[...]/De costas para o mar/insinuei-me/- para além da ilha -/na lenta e transparente/caminhada das nuvens/para Leipzig/loucamente beijar/com amor e com ardor/a neve com odor a carvão e melancolia/para da Europa longamente apaziguar [...] [...]”. (Almada, 2021, pp.5-7).

7. “[...] o niveo e silente frio/para da África afagar/com amor e com fervor/com tormento e com paixão/com ternura e comoção/o ébano primacial das origens/o riso resiliente o ritmo contagiante/a alegria explodindo derradeira/ante os muitos abismos/com os muitos renascimentos/para das Américas/inocular-me e saturar-me/com ardor e com deleite/dos ritmos [...] /vozes negros escravizados/[...] /Hoje sei que sou/um simples signo de Adão e Eva/ e do seu éden pétreo no Pico de António”. (Almada, 2021, p. 7).

lyrical self. The reader listens to the word, reads, and travels through different physical, social, and psychological places. He uses the real universe and organizes a poetic discourse as a strategy to build a literary self/name that is also a self that travels across different places, allowing him to carry out his role of *griot* because according to Walter Benjamin: “Whoever makes a journey always brings back something to narrate [...]”. (Benjamin, 1992, p. 29).

JLHCA resorts to memories and becomes an “observer of chance”. He invokes several reminiscences, especially individual ones centered in collective spaces, such as the Cape Verdean; the European; the African; the Caribbean; the American; the religious, through the testimony of “given the senses [...] as something that have significance, that have a truth and can be explained (Lévi-Strauss, 1978, p. 18), as evidenced in the poem “Parábola sobre o castanho sofrimento e a verde ressurgência das criaturas das ilhas”, (written under the literary name of Nzé de Sant’yago), an enlarged version of “Parábola sobre o castanho sofrimento e a verde redenção das criaturas das ilhas”, published in *Sonhos caminantes* (2017):

First part/I//God banished Adam from paradise/  
with a gesture of disappointment/anathematized  
Cain/with the eternity of His wrath/and/taught  
us the penitence of suffering//II//He was fascinat-  
ed by sin/and with the unpredictability of  
shame that God flooded/with the stigma of pain/  
the sparks of sweetness/that/lit/the primordial  
bodies/of love and passion/instanted guilt/in the  
inscrutable heart/of grief/and prostrated himself/  
in atonement/before the merciless sensuality/of  
women/[...]. (Almada, 2021, p. 12).<sup>8</sup>

According to JLHCA, his literary name *Nzé de Sant’yago* is:

[...] my “castiça” (prototypical) and “crioulófona” (Portuguese-Creole) personality, deeply rooted in the telluric [space] of Santiago and Cabo Verde [...]. Sant’y Agu symbolizes the sacralization of the essential elements of our mythology: the saints (in the first place, the Holy Lake, also a character of Shakespeare, and Water; the island, the root of the archipelago (Almada, 1990, pp. 11-16).<sup>9</sup>

8. “Primeira parte/I//Foi com um gesto de desânimo/que/Deus expulsou Adão do paraíso/anatemizou Caim/com a eternidade da sua cólera/e/nos ensinou a penitência do sofrimento//II//Foi fascinado com o pecado/e com a imprevisibilidade da vergonha que Deus inundou/com o estigma da dor/as faíscas de doçura/que/incandesceram/os corpos primordiais/do amor e da paixão/instituiu a culpa/no inescrutável coração/da mágoa/e se prostrou/em expiação/ante a impiedosa sensualidade/da mulher/[...]”. (Almada, 2021, p. 12).

9. “[...] a minha personalidade castiça e crioulofona, profundamente ancorada no [espaço] telúrico de Santiago e de

On the same subject, Maria Armandina Maia argues that:

[...] this literary name of Zé di Sant’y Águ, created in 1978 in Assomada [...] reiterated here as the basis for poetry written in Creole [...] [is changed to N’Zé di Sant’y Águ while] poetry written in Portuguese [both questioners of the] matrixes of the human condition [where we detect) an aesthetic inquiry of the universality founded on the desire for Cape Verde’s historical authenticity. (Maia in Almada, 2005, pp. 109-110).<sup>10</sup>

In the memorialist journey portrayed in the poem, “Parábola sobre o castanho sofrimento e a verde ressurgência das criaturas das ilhas”, the author, as *Nzé de Sant’yago*, mentions certain spaces travelled by Abel Djassi, the pseudonym of Amílcar Cabral (1924-1973), (an agricultural engineer, politician and Marxist theorist) such as Praia – island of Santiago, Cape Verde; Mindelo – island of S. Vicente, Cape Verde; Lisbon – Portugal; Luanda – Angola; Paris – France; Frankfurt – Germany; Bissau – Guinea-Bissau; Dakar – Senegal; Conakry – Guinea-Conakry, (where Cabral was killed on 20 January of 1973), and London – England. He also mentions Madina do Boe – where on 24 September 1973, the PAIGC (African Independence Party for Guinea and Cabo Verde) unilaterally declared independence of Guinea-Bissau. and the mythical city of Atlantis and the Hesperides:

[...] in Praia and in Mindelo/like Amílcar/  
[...]/[...] from Lisboa Luanda Paris and  
Frankfurt/[...]/[...] in Bissau Dakar Accra/Conakry  
Paris and London/in the vast clandestine world  
in struggle/in Abel Djassi/transformed and  
acclaimed/in Madina do Boe/Hero of the  
People proclaimed/[...]/[We will reunite/and  
our obsession/with greenness/- Edenic name for  
peace -/and our *saudade* (longing)/for Atlantis/  
the Hesperides (Almada, 2021, p. 12).<sup>11</sup>

Cabo Verde [...]. Sant’y Águ simboliza a sacralização dos elementos essenciais da nossa mitologia: os santos (em primeiro lugar, o Santo lago, também personagem de Shakespeare e a Água; a ilha, a raiz do arquipélago”. (Almada, 1990, pp. 11-16).

10. “[...] este nome literário Zé di Sant’y Águ, criado em 1978, em Assomada [...] aqui reiterado como responsável pela escrita poética em crioulo [...] [transforma-se em N’Zé di Sant’y Águ enquanto] poesia lusógrafa [ambas interrogantes das] matrizas da condição humana [onde se deteta] uma indagação estética da universalidade fundada na pretensão de uma autenticidade cabo-verdiana, historicamente situada”. (Maia in Almada, 2005, pp. 109-110).

11. “[...] na Praia e no Mindelo/como Amílcar/[...]/[...] de Lisboa Luanda Paris e Frankfurt/[...]/[...] em Bissau Dakar Accra/Conakry Paris e Londres/no vasto mundo clandestino em luta/em Abel Djassi/transfigurado e proclamado/em Medina do Boé/Herói do Povo proclamado/[...]/

The reference to Atlantis suggests a mythical return to his origins in the archipelago of Cape Verde, as a consequence of a sort of Utopian expedition to his origins (Luz, 2013), similarly to what occurred with other Cape Verdean authors, such as Jorge Barbosa (1902 - 1971) and Pedro Cardoso (1890 -1941). See also Barbosa's poem "Panorama," in which he raises a series of questions to try to understand the geological origins of the country:

Wreckage from what continent,/from what cataclysms,/from what earthquakes,/from what mysteries? ...//Islands lost/in the middle of the ocean/forgotten/in a corner of the world/- which the waves cradle./mistreat, embrace ... (Barbosa, 2002, p. 35).<sup>12</sup>

The use of Atlantis fills a historical void through a reinvented reality of the archipelago. (Luz, 2013). Following this line of reasoning, Atlantis referred to by JLHCA in his poem "Parábola sobre o castanho sofrimento e a verde ressurgência das criaturas das ilhas," the archipelago resulted from the disintegration of a homonymous continent, trying to reclaim an imaginary space (Luz, 2013), as we inferred above. Likewise, the space also appears in the work *Deflagrações* as a sort of "exterior experience" and a reflection of the collective imaginary. Another example that corroborates this point of view is the poem "Insula Verdeana," written under the literary name *Nzé de Sant'yago'* and dedicated to the following Cape Verdean intellectuals: Corsino Fortes (1933 – 2015) – judge, writer, diplomat, Carlos Alberto Lopez Barbosa, better known by his pseudonym Kaká Barbosa (1947 – 2020) – poet musician, short story writer, and politician; José Gabriel Lopes da Silva, better known as Gabriel Mariano (1928 – 2002) – writer and judge, João Manuel Varela (1937 – 2007) – writer, neuroscientist, scientist and professor who wrote under the pseudonyms João Vário, Timóteo Tio Tiofe and Geuzim Té Didial, Francisco Varela, better known as Xico Xa, clandestine militant in the struggle for Cape Verde's independence. He was seriously injured in the military repression in the city of Praia on 19 May 1974 (just a few days after 25 April), which is the reason why that day is considered the Municipal day of Praia, and Fernando Monteiro (1951 – 2011) – writer, well-known chronicler, and journalist in Cape Verde. Although he was well known for his work in the newspaper *Horizonte*, his literary work is little known and studied, both in Cape

Verde and abroad (Marchini, 2017). His profession enabled him to learn about daily life all over the archipelago, as Luicana Marchini states in her article "A ilusão do gênero em *O travesti*, do escritor cabo-verdiano Fernando Monteiro":

Working as a journalist and chronicler enabled Monteiro to learn about life and events in the capital and those of his country and its citizens. This experience gave him an advantaged position as an observer of Cape Verdean society. [...] (Marchini, 2017, p. 83).<sup>13</sup>

JLHCA's poem "Insula Verdeana" (under *Nzé de Sant'yago'*) makes reference to other things: the lava flows of the volcano Chã das Caldeiras; corn - a staple of the Cape Verdean diet; the sea that surrounds the islands; to Eugénio Tavares (1867- 1930), a Cape Verdean journalist and poet; to Homer, the epic poet of Greek Antiquity and author of the *Iliad* and the *Odyssey*; and to the Harmattan – a dry and dusty wind that blows from the northeast in the Sahara and affects the Cape Verdean islands from time to time:

A Corsino Fortes e Kaká Barboza/[...]/To the memories of Gabriel Mariano, João Manuel Varela, Francisco Varela (Xico Xan) and Fernando Monteiro//Of the eruptive fire/and of its trails of lava/quivering ashes in sap are born// [...] /from Eugénio to Homer/[...]//Scorching/are the hands of the harmattan/[...] /in the fearless steps of Gervásio e Ambrósio//[...] /from the conch búzio of corn to the black star/in the resurrected martyrdom of Amílcar//[...]. (Almada, 2021, pp. 33-35).<sup>14</sup>

The Harmattan wind is also known in Cape Verde as *Lestada* (wind from the East) or *Bruma Seca* (dry mist) and causes many problems in the daily lives of the locals. Cape Verde is part of the Sahel belt and has a hot, unstable climate. The amount of precipitation in a given year determines whether there will be good agricultural yields and abundant food. As a result of the irregular rainfall, Cape Verdeans suffer

[Reencontrar-nos-emos/e à nossa obsessão/do verde/- nome edênico da paz -/e à nossa saudade/da Atlântida/das Hespérides" (Almada, 2021, p. 12).

12. "Destroços de que continente,/de que cataclismos,/de que sismos,/de que mistérios?...//Ilhas perdidas/no meio do mar./esquecidas/num canto do mundo/- que as ondas embalam./maltratam, abraçam..." (Barbosa, 2002, p. 35).

13. "O exercício da profissão de jornalista e cronista possibilitou a Monteiro conhecer e se inteirar da vida e dos acontecimentos não somente da capital, mas também d[os] seu país e d[os] seus cidadãos. Tal vivência permitiu que ele ocupasse o lugar privilegiado de observador da sociedade cabo-verdiana. [...]" (Marchini, 2017, p. 83).

14. "A Corsino Fortes e Kaká Barboza/[...]/As memórias de Gabriel Mariano, João Manuel Varela, Francisco Varela (Xico Xan) e Fernando Monteiro//Do eruptivo fogo/ e dos seus rastros de lavas/nasceram cinzas frementes em seiva/[...] /de Eugénio a Homero/[...]//São ardentes/as mãos do harmattan/[...] /nos passos destemidos de Gervásio e Ambrósio//[...] /do búzio do milho e da estrela negra/no ressurto martírio de Amílcar//[...]" (Almada, 2021, pp. 33-35).

periods of drought, with dramatic consequences (Luz, 2013). Germano Almeida considers that:

Two important natural agents of erosion are: torrential rains (though rare); winds from the East, probably influenced by the Harmattan. Both natural agents have equally disastrous effects, with the only difference being that rainfall is less frequent, and the winds are more recurrent due to their annual cyclical nature (Almeida, 2003, p. 27).<sup>15</sup>

From the names mentioned previously, we single out that of Eugénio Tavares - a self-taught and well-learned individual, as can be seen by his literary work. He earned a reputation for his commitment to social justice, in reaction to the central government's indifference, and for his militancy in the Republican cause (Rodrigues Sobrinho, 2017). Through journalism, he condemned the profound political and social problems experienced in Cape Verde. Isabel Lobo argues that:

Eugénio Tavares is a reference in Cape Verdean literature. His texts cover a vast range of genres (and are written in) a language very characteristic of that period, in which several sources of influence cannot be excluded, such as Romanticism and the Classicism of the Renaissance. His work allows us to understand better certain social, civic, and literary phenomena that were characteristic of Cape Verde in the 19<sup>th</sup> and early 20<sup>th</sup> centuries. (Lobo *apud* Rodrigues Sobrinho, 2017, p. 25).<sup>16</sup>

Also noteworthy in “Insula Verdeana” is the author’s reference to Gervásio and Ambrósio: “[...] and sculpting the oblique side of the revolt/in the fearless steps of Gervásio and Ambrósio/[...]” (Almada, 2021, p. 34). This alludes to the slave insurrection in Monte Agarro (1835) led by Gervásio, Narciso, and Domingo, hoping to instill a Cape Verdean version of Haiti on the island of Santiago. Ambrósio, “a tall, dark mulatto individual

with green eyes” (Mariano in Laban, 1992, p. 354), a carpenter (by profession) well-spoken and respected among his peers, is a reference to the poem “Capitão Ambrósio” by Gabriel Mariano. This poem was inspired by a popular uprising in the city of Mindelo, São Vicente, on 7 June 1934 under the leadership of Ambrósio Lopes (1878 – 1938), also known in the local language as *Nhô Ambrose*. It consisted of a large group of men, women, and children who went through several streets of Mindelo hoisting a black cloth as a flag symbolizing poverty and hunger to compel the local authorities to call upon the government of that Portuguese colony to take the necessary measures to assist the unemployed population of Mindelo.

Starting in the Ribeira Bote neighborhood, in the periphery of Mindelo, the crowd moved towards the Praça da República and the Pracinha da Igreja, where they demanded the municipal authorities send a telegraph to the governor informing him that the people could not suffer such privation any more and would remain united and solidary, would not disperse, and would wait for measures to be taken to end their predicament. Their plight resulted from recurring droughts and a decline in income from remittances sent by Cape Verdean emigrants living in the United States, Argentina, and Brazil (a reflection of the effects of the Great Depression overseas). Moreover, the deep-water port of Porto Grande in Mindelo, which until then had been the “economic heart” of the archipelago, suffered dramatic reductions in shipping and exports. For a long time, Mindelo had been the capital of economic activity of the country, i.e., shipping, commerce, telegraph and postal services, industry, education, and a submarine telegraph cable. (Luz, 2013).

Gabriel Mariano heard of the aforementioned uprising led by Ambrósio in an informal social gathering over coffee and conversation. (Mariano in Laban, 1992, p. 353). He wrote the poem months after hearing the incident, which he clearly found disturbing, as revealed in the following transcript of an interview with Michel Laban:

- At the time, I felt anger and pride. The story really affected me. So, well, from then on, knowing about Ambrósio’s story and with a critical understanding of the social, economic, and colonial conditions while writing the poem, I was able to see things clearly. Anyway, Ambrósio figures in the poem as a popular leader who, afflicted by hunger and from the difficult circumstances, leads the populace in a rebellion against the established order and leaves a message of freedom (Mariano in Laban, p. 353).<sup>17</sup>

15. “Dois importantes agentes naturais da erosão são: as grandes chuvadas, por vezes torrenciais (embora raras); e os ventos, as lestadas talvez influenciadas pelo Hermatan. A ação destes dois agentes produz, praticamente, efeitos desastrosos semelhantes, apenas com a diferença que num caso (o das chuvadas) a frequência é menor, e no outro (o dos ventos) mais acentuado devido ao seu período anual cíclico”. (Almeida, 2003, p. 27).

16. “Eugénio Tavares é um nome de referência na literatura cabo-verdeana. Os seus textos, ao percorrerem um leque vasto de géneros, uma linguagem muito característica da época, donde se não excluem influências várias como o romantismo e o classicismo renascentista, permitem hoje a compreensão mais consentânea de certos fenómenos sociais, cívicos e literários próprios dos finais do século XIX e início do XX cabo-verdeano” (Lobo *apud* Rodrigues Sobrinho, 2017, p. 25).

17. “- Na altura, o que senti foi raiva e orgulho. A história impressionou-me. E, bom, a partir daí, conhecendo a história do Ambrósio, e já com uma compreensão crítica

The character of Ambrósio, who was given “the rank of captain” by the author of the poem, became renowned for his courage and strong personality, as evidenced in the following extract from the interview:

[...] Ambrosio at the front, with a small back flag, and when the military appeared to suppress them, shots ... His courage when he was arrested and later imprisoned and interrogated by the military officer in charge of the investigation [...] His answer was: «A good Portuguese is like a good codfish (a highly appreciated fish by the Portuguese); he only goes overseas every one hundred years and when the occasion arises! ». That, according to what I was told, was said directly to his excellency, the Portuguese military officer who was interrogating him [...] This shows a very strong personality, very brave, very courageous (Mariano in Laban, 1992, p. 354).<sup>18</sup>

This is a poem with rhythm and vigor, and we find verses that return to the precedent and refer to a progressive movement (Laban, 1992). The people appear walking with zeal and determination through the streets of Mindelo in an “orderly march, of angry rebels.” (Mariano in Laban 1992, p. 356). As punishment, Ambrósio was sent to Angola. He eventually died, but he remained in the memory of the islanders for his heroic attitude. See the following passage from the poem “Capitão Ambrósio”:

Flag/Black flag/Black flag of hunger./In famished lifted hands/Guiding the steps guiding/  
Flying in the free eyes/Flying free and glowing/  
Restless and free glowing/Brandishing a black flag/Clear flag of hunger./2/Lifted hands/In strength, hard, lifted/Feet marking the revolt/  
The people march in the street./Ambrósio is at the front/Mulatto Ambrósio guiding/Holds in his hands the flag.//[...]3/For a minute./The

dos fenómenos sociais, económicos, coloniais, etc., já aí eu pude distinguir, ao fazer o poema, as coisas. Enfim, o Ambrósio aparece no poema como um líder popular que, massacrado pela fome e pelas circunstâncias, lidera, conduz o povo à rebelião contra a ordem estabelecida, e deixa uma mensagem de liberdade”. (Mariano in Laban, p. 353).

18. “[...] – O Ambrósio à frente, com a bandeirinha preta, e quando a tropa saiu cá para fora os reprimir, tiros... A coragem dele... A coragem dele ao ser, depois, preso e interrogado lá pelo militar que encarregado de fazer o inquérito... A resposta que ele deu: «O bom português, é como o bom bacalhau; só vem para o ultramar de cem em cem anos e quando calha!». Isso, ao que me contaram, dito cara a cara, à sua excelência o oficial militar português que o interrogava... Isso revela uma personalidade muito forte, muito valente, muito corajosa...” (Mariano in Laban, 1992, p. 354).

wind came and went./Mulatto Ambrósio was arrested/Tried and imprisoned Ambrósio/Sent far away Ambrósio./Far from the people, Ambrósio./But the flag remained./He died and was buried/But the flag remained.//[...]. (Mariano in Ferreira, pp. 170-172).<sup>19</sup>

Despite the difficult conditions of life in Cape Verde, as portrayed by the character of Ambrósio in *JLHCA/Nzé de Sant'ago*'s “Insula Verdeana,” Cape Verde is also a place of renowned cultural figures, as evidenced in the poem “Saudade vária (O verde da primeira rocha),” also by *Nzé de Sant'ago*. This work is dedicated to the Cape Verdean musicians *Codê di Dona*, whose real names were Gregório Vaz (1940 – 2010) and Orlando Pantera – Orlando Monteiro Barreto (1967 – 2011). In the text, the island of Santiago is depicted as mountainous, inclement, a place of love, sugar cane, and orange trees. It is an island characterized culturally by the *batuque* (drums) and by the *tabanca* (a Cape Verdean musical genre), and the author refers to the famous uprisings of the Engenhos (1822), of Achada Falcão (1841), and Ribeirão Manuel (1910):

You are Santiago/lands of inclemency/and of blossoming loves/in the sugar cane and the orange tree/in the mourning/in betrothal and in death//[...] you are Santiago/*batuco* and adultery of feet/in the stairway of daily life/tree and *tabanca*//[...]//speckled with green suffused with remembrance/of the tenants of the Engenhos and Achada Falcão/and of the rebel women of Ribeira Manuel (Almada, 2021, p. 41-42).<sup>20</sup>

Citing the revolts mentioned above is also an evocation of uprisings that occurred in the interior of the island of Santiago against the high duties, the despotism of landowners, and the extreme hardship of

19. “Bandeira/Negra bandeira/Bandeira negra da fome./Em mãos famintas erguidas/Guiando os passos guiando/Nos olhos livres voando/Voando livre e luzindo/Inquieta e livre luzindo/Luzindo a negra bandeira/Clara bandeira da fome./2/Mãos erguidas/Em força, duras, erguidas/Pés marcando a revolta/O povo marcha na rua./Vai na frente o Ambrósio/Mulato Ambrósio guiando/Leva nas mãos a bandeira.//[...]3/Foi um minuto./Veio o vento e passou./Mulato Ambrósio foi preso/Julgado e preso o Ambrósio/Preso para longe o Ambrósio/Mandado para longe o Ambrósio./Longe do povo o Ambrósio./Mas a bandeira ficou./Morreu e foi enterrado/Mas a bandeira ficou.//[...]” (Mariano in Ferreira, pp. 170-172).

20. “Tu és Santiago/terras das intempéries/e dos amores floridos/na cana e na laranjeira/dos choros carpindo/na núpcia e na morte//[...]tu és Santiago/*batuco* e adultério de pés/na escadaria do quotidiano/árvore e *tabanca*//[...]//salpicada de verde inundada da rememoração/dos reideiros dos Engenhos e da Achada Falcão/e das mulheres rebeldes de Ribeira Manuel” (Almada, 2021, p. 41-42).



subsistence in the countryside. To conclude, we can state that in both revolts, the “rebel women,” as referred to by the author, played a major role, particularly in Ribeirão Manuel, since they were the center of attention and turmoil. In summary, the concept of space is depicted in JLHCA’s *Deflagrações* in a physical, social, and psychological way, as exposed in this contemplation.

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# Time and space configurations in Luís Cardoso's *O Plantador de Abóboras*

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**ABSTRACT:** In the post-colonial literature in which we locate Luís Cardoso's work, there is a concern in recovering and reconstructing individual and collective memories. In an attempt to give voice to the other side of history and to expose political vicissitudes, the narratives present an alternative reading of the past and alert to the direction that the instituted powers are giving to young nations. In the novel *O Plantador de Abóboras* [The Pumpkin Planter], the protagonist tells the story of three generations of her family, against the backdrop of the history of East Timor. This rescue of memories is carried out from a "balcony turned inside out", in a place situated between the real and the imaginary, giving the literary appropriation of time and space takes on a fundamental dimension in revisiting the past and reading the present. With this article, I propose, therefore, to open a space of reflection around configurations that space, and time acquire in the novel, observing how both can be discussed in conjunction with the concepts of memory, heterotopia, and border. The development of our analysis is supported by the work of authors such as Edward Said, Saint Augustine, Michel Foucault, and Bill Ashcroft.

**Keywords:** Novel of East Timor, Post-colonialism, Memory, Heterotopia, Border

Fiction writing based on, and about, historical facts has proved to be a determining factor in post-colonial textuality. Neither fixed nor stable, what is remembered is in a process of continuous reinterpretation: the present look revisits the past, reinventing it. In this context, these authors write narratives in the interest of the present and, of course, the future. According to Said (2000), "l'une des stratégies les plus courantes pour interpréter le présent est d'invoquer le passé. Pas seulement parce qu'on n'est pas d'accord sur ce qui a eu lieu alors, sur ce qu'a été le passé, mais parce que qu'on se demande si le passé est vraiment passé, mort et enterré, ou s'il continue, sous une forme différente peut-être" (p.37).<sup>1</sup> Jean-Marc Moura (2013) argues that "l'histoire, collective et individuelle, devient une métaphore des difficultés actuelles et de leur éventuelle résolution" (p.144).<sup>2</sup> Meaning, reading the past supports the possibility of a better future.

In fact, the idea emerges that the appropriation and rewriting of history through literature is not only possible but also fundamental in the identity construction of nations freed from colonial yoke and imperialism. As Said (2000) states, "les nations elles-mêmes sont des narrations" (p.13).<sup>3</sup> It is necessary to speak of the past, of the war(s), of colonial oppression, of internal tensions, of the direction that the installed powers are giving to the new nations... The recovery of lived experiences and their sharing with those who did not live them through writing emerges as a moral obligation, as a political act. By giving voice to those who were silenced by the hegemonic power of the occupier, access to modalities different from those conveyed by official rhetoric is made possible.

Looking at Luís Cardoso's career as a fiction writer and active member of the diplomatic front during the Indonesian occupation, we realize that writing about the history of Timor-Leste and the struggles and wars that ravaged the country is a priority.<sup>4</sup> The words spoken by the author in November 2015 in this regard are illustrative of this: "Estamos a escrever. Cada um tomou as suas notas, foi busca-las ao baú das memórias. Acredito que, em breve, possamos aparecer aqui para

1. One of the most common strategies for interpreting the present is to invoke the past. Not just because we disagree about what happened then, about what the past was, but because we wonder if the past is really past, dead, and buried, or if he continues, maybe in a different form (Said, 2000, p.37).

2. History, collective and individual, becomes a metaphor of current difficulties and of their possible resolution (Moura, 2013, p.44).

3. Nations are themselves narrations (Said, 2000, p.13).

4. See Pereira (2006), Queiroga and Paulino (2017) and Alte (2019), on Luís Cardoso's political life and work.

o público, livros, histórias, memórias de timorenses sobre este tempo de luta.”<sup>5</sup> More recently, in December 2021, the author highlighted the importance he attaches to literary production: “a escrita é a minha forma de intervenção cívica como cidadão do meu país.”<sup>6</sup>

About *O Plantador de Abóboras*, the words spoken by Luís Cardoso at the ceremony to publicize the winner of the *Oceanos Prize* in December 2021 reveal the episode that motivated the novel:

No ano 2001, regressei a Timor na companhia do Prémio Nobel, José Saramago, que estava de visita a Timor. E, enquanto estava em Timor, fui visitar um local que eu conhecia muito bem, há muitos anos, um local que estava em ruínas por causa das milícias militares que queimaram e estragaram tudo. Enquanto estava lá, passou junto de mim uma senhora que começou a falar da história de Timor, e que começou a contar a sua própria história [...]. Ela estava ali para falar com as montanhas, foi para ali contar uma história para as montanhas, mas, ao mesmo tempo, fui-me apercebendo que a história que ela estava a contar não era para as montanhas, mas era para mim. Na voz de uma mulher, ela estava a contar cem anos da história do Timor, três guerras sucessivas. E, desde aquele dia, pus na minha cabeça que um dia havia de contar esta história num romance com uma voz feminina.<sup>7</sup>

According to the writer, the testimony collected during a visit to East Timor was at the origin of this first-person narrative, which presents a feminine reading of one hundred years of the country’s history.

The protagonist, a woman who welcomes her fiancé after a long period of absence (around 24 years), narrates, in the form of a monologue, her story, the story

of her family, and the history of the Nation, from the pacification in 1912 to the present. Using a narrative rhythm that gives the text a hybrid character (poetic prose), Bellis Sylvestris recalls the Manufahi revolt, Portuguese colonialism, the Japanese invasion, and the Indonesian occupation.<sup>8</sup> She also points out the contradictions and disillusionment that have accompanied the post-independence period, largely marked by an emulation of the behavior of the colonizers by the revolutionary leaders and by the country’s economic dependence on the exploitation of *mina-rai* (oil):

Passaste a vida toda na sombra de pessoas extraordinárias e a última foi aquele fidalgo que podia ter sido uma das mais extraordinárias personalidades de todos os tempos e deitou tudo a perder para ficar com a posse da galinha dos ovos de ouro. Extraordinário, Sancho Pança, é este povo que masca *bua*, *malus* e *ahu* para enganar o tempo e aguenta tudo e todos com extraordinária paciência. Primeiro foram os *malae* colonialistas, depois os *kamikases* do Japão, mais tarde os *komodo* ou lagartos da Indonésia e, por fim, os seus libertadores. Não sabe como se há de libertar dos seus libertadores. (Cardoso, 2020, p.180)<sup>9</sup>

Memory, as a reading of past events, allows the post-colonial subject to understand the world around him and himself. In *O Plantador de Abóboras*, its relevance is, in fact, highlighted by the protagonist herself at the beginning of the book:

Durante o dia partilhamos a memória de pessoas e de acontecimentos. Iluminados pela certeza de sabermos quem somos, donde viemos e para onde vamos. Quando chega a noite é a memória que nos separa e nos distingue. Cada um cobre-se com a memória que tem. Faça frio ou calor. É a ela que me agarro, me entrego e entro pela noite dentro. É com ela que sonho, rio ou choro. É com ela que amaneço. (Cardoso, 2020, p.16)<sup>10</sup>

5. We are writing. Everyone took their notes, went to get them from the memory chest. I believe that soon, books, stories, memories of the Timorese people about this time of struggle will appear here for the public (Cardoso, 2015).

6. Writing is my form of civic intervention as a citizen of my country (Cardoso, 2021).

7. In the year 2001, I went back to Timor accompanied by the Nobel Prize winner, José Saramago, who was visiting Timor. And, while I was in Timor, I went to visit a place that I knew too well, for many years, a place that was in ruins because of the military militias who burned and ruined everything. While I was there, a lady passed by me who began talking about the history of Timor, and who began telling her own story (...). She was there to talk to the mountains, she went there to tell a story to the mountains, but, at the same time, I realized that the story she was telling was not for the mountains, but for me. In a woman’s voice, she was telling a hundred years of Timor’s history, three successive wars. And, since that day, I got it into my head that one day I would tell this story in a novel with a female voice.

8. See Almeida (2001) and Albino (2022), on colonial period and Indonesian occupation of East Timor.

9. You have spent your whole life in the shadow of extraordinary people and the last one was that nobleman who could have been one of the most extraordinary personalities of all time and threw everything away to take possession of the goose that laid the golden eggs. Extraordinary, Sancho Panza, are these people who chew *bua*, *malus* and *ahu* to pass the time and put up with everything and everyone with extraordinary patience. First there were the colonialist *malae*, then the *kamikazes* of Japan, later the *Komodo* or lizards of Indonesia, and, finally, their liberators. It does not know how to free itself from its liberators (Cardoso, 2020, p.180).

10. During the day we shared the memory of people and events. Illuminated by the certainty of knowing who we are, where we come from and where we are going. When

The rescue of these memories, whether recent or not, is always carried out from a present time, being able to change “according to the emerging needs of an individual or a group. Its time-horizon spans the past, the present, and the future: the past is retrieved in the present with a view to providing some orientation for the future” (Caldicott and Fuchs, 2003, p.12).

In this setting, the aporia of Saint Augustine's time presents particularly interesting possibilities for analysis. According to the philosopher, time is lived, felt, and measured by man and, as such, it is in the human spirit that the past, present, and future are found. Now, since everything happens in the present, it is always from there that the past is revisited and the future awaited. Such reflection leads him to advocate the existence of a triple present: the present of the past, the present of the present, and the present of the future. The present of the past is memory; the present of the present is the “now”, and the present of the future is the becoming, the expectation, and the hope (Augustin, 1993).

According to the perspective of Saint Augustine, the reading of past events is conditioned by the current and recent experience and is always carried out in the light of a subjective and distinct frame of references, which helps to explain “why we forget, rediscover, and revise aspects of our personal and collective pasts” (Caldicott and Fuchs, 2003, p.12).

Thus, to visit the past implies reliving and reinterpreting it. Remembering (or forgetting) transforms the past according to what one “is” in the present, conferring differentiated meanings to the facts. These meanings arise from a process of representing feelings and experiences. As the narrator emphasizes, “se temos memórias diferentes teremos sempre verdades diferentes” (Cardoso, 2020, p.112).<sup>11</sup> However, “o passado é um lugar estranho quando se sai dele como se nunca lá se tivesse entrado” (Cardoso, 2020, p.25),<sup>12</sup> pointing out that “não há pena maior do que a falta da memória” (Cardoso, 2020, p.113).<sup>13</sup>

Memory is not limited, as we may observe, to the retrieval of people, experiences, and emotions but establishes a dynamic relation between past, present, and future, accentuating the relevance of time and the relationship between what happened and what was lived and what is remembered, and between the latter and what is to come: “O passado não se adivinha. Não

se conserta. O futuro, sim” (Cardoso, 2020, p.26).<sup>14</sup> Therefore, “memories offer heavily edited versions of the self and its world” (Caldicott and Fuchs, 2003, p.13).

Time constitutes, in this case, a fundamental dimension in *O Plantador de Abóboras*, as it imposes an approximation to the different configurations that the narrative acquires. The novel, with the subtitle *sonata para uma neblina*,<sup>15</sup> is divided into three tempos, as if it were a musical score. Although this partition is not made using the chronological criterion, since analepses and prolepsis are recurrent and break the linearity of the text, it is understood that each movement focuses on a specific moment in family and national history. The first tempo portrays the revolt of Manufahi and Portuguese colonialism from the experiences of the narrator's grandparents. The second movement, recovering the life path of the protagonist's father, focuses on the continuity of the colonial period and the Japanese invasion. As for the third and final movement, it focuses on the most recent period, that of Indonesian occupation and national liberation, based on the experiences of Bellis Sylvestris.

This anachronic option is due to a labyrinthic treatment of time, its organization depending on the narrator's memory flow. The cadence is marked by repetitions, exclamations, and questionings that serve as pauses, but also, and above all, as a bridge between the past and the present, which gives the narrative a musical rhythm:

Tantas as guerras que se fazem nesta terra. Uma para limpar a outra. A última será aquela que nos absolverá de todas as outras

Quem és tu?

Não sei o que te move, se é a paz ou se é a guerra. Não creio que vieste para que te absolva dos teus pecados e te lave as mãos e a alma. Mas voltemos aos tempos que era o tempo dos galos. (Cardoso, 2020, p.36)<sup>16</sup>

We observe likewise that the temporal discontinuity accentuates the perception that the memory of episodes lived and heard are permanently intertwined with the experiences and feelings present without,

night falls it is memory that separates and sets us apart. Each one covers themselves with their own memory. Be it cold or hot. It is the one I cling to, surrender to, and enter the night. It is with it that I dream, laugh, or cry. It is with it that I wake up (Cardoso, 2020, p.16).

11. If we have different memories, we will always have different truths (Cardoso, 2020, p.112).

12. The past is a strange place when you leave it as if you had never entered it (Cardoso, 2020, p.25).

13. There is no greater penalty than the lack of memory (Cardoso, 2020, p.113).

14. The past cannot be guessed. It is not fixed. The future, yes” (Cardoso, 2020, p.26).

15. Sonata for a fog.

16. So many wars are fought in this land. One to clean up the other. The last will be the one that absolves us of all others.

Who are you?

I don't know what moves you, whether it's peace or whether it's war. I don't think you came so that I may absolve you of your sins and wash your hands and soul. But let us go back to the time which was the time of roosters (Cardoso, 2020, p.36).

however, calling into question the intelligibility of the text: “Guardo lembranças do passado que não se ofuscam nem desvanecem (...)” (Cardoso, 2020, p.19).<sup>17</sup>

In the post-colonial context in which we situate the novel under study, the literary appropriation of space is also crucial in questioning the Nation, its past and history, and, consequently, in the construction of identity. In this regard, Bill Ashcroft (2001) states that in post-colonial fiction, “place is never simply location, nor is it static, a cultural memory which colonization buries. For, like culture itself, place is in a continuous and dynamic state of formation, a process intimately bound up with the culture and identity of its inhabitants” (p.156).

Thus, currently focusing our attention on the importance that physical space acquires in the work of Luís Cardoso, it becomes clear that it assumes special relevance from the outset because of the option of placing the narrative on the border between the real and the imaginary, in a place located in the mountains, in the middle of a dense forest where it rains uninterruptedly. Far from the center, this space is described as surrounded by a thick fog and as “uma terra desabitada, inhospita e fria” (Cardoso, 2001, p.69),<sup>18</sup> but, equally and paradoxically, as a “terra de paz e aconchego por não estar assinalada em nenhum mapa das autoridades coloniais” (Cardoso, 2001, p.82).<sup>19</sup>

Manu-mutin was the piece of land chosen by Bellis Sylvestris’ grandfather, Raimundo Chibanga, to settle with the family, after being forced to leave Manu-metan, in the Manu-fahi municipality, following the fire that reduced the farm where they lived to ashes. The escape took them down unknown paths, through strange territories. To get there they travelled a long distance, “perderam-se no espaço e no tempo que no nosso imaginário se pode caracterizar pela expressão *rain-fila* ou terra ao revés. Os animistas dirão que foi a terra que lhes deu a volta. (...) De tanto andarem e cansados da vida errante que levavam, assim que vislumbraram as montanhas brancas que lhes apareceram no horizonte, assumiram-nas como sendo a terra prometida” (Cardoso, 2001, pp.68-69).<sup>20</sup>

Manu-mutin is presented, therefore, as a space that disturbs and triggers a set of questions:

Onde ficava? Seria ao lado de Manu-fahi, de Manu-mera ou de Manu-tusi. (Cardoso, 2001, p.82)<sup>21</sup>

(...) ninguém sabia onde ficava Manu-mutin e que existisse uma terra com tal nome

Manu-mutin?

Um estranho nome de uma estranha terra (...) (Cardoso, 2001, p.81)<sup>22</sup>

In this framework, the transposition of the concept of heterotopia, proposed by Michel Foucault, to the fictional field seems to us to be particularly interesting since it provides an alternative reading of the history and project of the Nation from spaces different from all other places. These are spaces that destabilize, question and challenge and that the French sociologist claims can be compared to a mirror.

In fact, the mirror allows the “I” to see her or himself in an unreal space that opens virtually behind the mirror’s surface. A place without a place is also a heterotopy because, despite being real, given that it is palpable and exists, “it makes this place that I occupy at the moment when I look at myself in the glass at once absolutely real, connected with all the space that surrounds it, and absolutely unreal, since in order to be perceived it has to pass through this virtual point which is over there” (Foucault, 1984, p.3). Heterotopias are, therefore, alternative spaces, places that tie the real to the unreal. They are “counter places,” that may be understood as spaces of the “other” that contradict the “I” and that lead you to question about essence itself.

Manu-mutin does not constitute a mere scenery but rather a universe of manifestation of the interpenetration between consciousness and the world. Away from the center and all the referenced places, since “não havia mapa algum onde constasse o nome de Manu-mutin (Cardoso, 2001, p.105),<sup>23</sup> it appears to be a space that, in a way, is opposed to all other spaces.

The geographical indications that are given to us by the narrator place this heterotopia East of Manu-fahi, since her grandparents and her father, after having abandoned Manu-metan, may have walked towards *Loro-sae*, towards the mountains, a sacred place where the ancestors rest (which is reminiscent of the heterotopia of Foucault’s cemetery). Paradoxism referring to the idea of life and death through the interception of the worlds it provides, Manu-mutin “parecia ficar no fim do mundo, enfiado entre

17. I keep memories of the past that do not overshadow nor fade way (...) (Cardoso, 2020, p.19).

18. An uninhabited, inhospitable, and cold land. (Cardoso, 2001, p.69).

19. Land of peace and warmth for not being marked on any map of the colonial authorities (Cardoso, 2001, p.82).

20. They got lost in space and time, which in our imaginary can be characterized by the expression *rain-fila* or upside down. Animists will say that it was the land that turned them around. (...) From walking so much and tired of the wandering life they led, as soon as they glimpsed the white mountains that appeared on the horizon, they assumed them to be the promised land (Cardoso, 2001, pp.68-69).

21. Where was it? It would be alongside Manu-fahi, Manu-mera or Manu-tusi (Cardoso, 2001, p.82).

22. (...) nobody knew where Manu-mutin was and that there was a place with such name Manu-mutin?

A strange name for a strange place (...) (Cardoso, 2001, p.81).

23. There was no map showing the name of Manu-mutin (Cardoso, 2001, p.105).

montanhas”, “no meio da floresta, da névoa, das brumas e do frio”, in a place “onde dificilmente alguém lá entraria a não ser que fosse para fazer um pedido especial” (Cardoso, 2001, pp.62-67).<sup>24</sup> In fact, it was these characteristics that led the protagonist's grandfather to name the place Manu-mutin:

Manu-mutin!

Anunciou que por ele o local podia ter o nome de Manu-mutin por causa da cobertura branca da espessa neblina que lhe lembrava um ninho de penas brancas. Supostamente de uma ave rara, alva e agourenta que tivesse vindo aqui procriar. (Cardoso, 2001, p.73)<sup>25</sup>

Despite being away from the center, the farm is a place of resistance (where the narrator's grandparents, the Dutch during the Japanese occupation, and the leader of the Timorese armed front during the Indonesian occupation took refuge), but also of enormous violence (rape of the protagonist by the occupiers and liberators, murder of Dom Raimundo and death of the white goose, following the revolt of rural workers and revolutionary students).

Manu-mutin appears, this time, as a place of opposition to the official discourse and of denunciation of the established powers after national liberation, but above all as a wounded space, which contrasts with the characteristics of purity, coziness, and peace that had been initially conferred on it.

However, it is important to mention that, although isolated, the farm maintains a connection with both the capital, Dili, and Indonesia, showing the articulation of spaces and the permeability of the borders between center and periphery. These physical spaces where the characters move are recognizable and identifiable by their description given to us. Taking, for example, the city of Dili, Liceu Dr. Francisco Machado, the seminary in Dare, the boarding school in Balide, and the districts of Taibessi and Manleuana are referred.

Lastly, we are interested in observing the place from which the protagonist leads the narrative, the balcony of Manu-mutin's farm:

Planto-me nesta cadeira de lona a ouvir o grasnar de um ganso, apesar de desaparecido há tanto tempo, ainda se pode escutar a sua voz,

24. Seemed to be at the end of the world, tucked between mountains, in the middle of the forest, the fog, the mists and the cold, in a place where hardly anyone would enter unless it was to make a special request (Cardoso, 2001, pp.62-67).

25. Manu-mutin!

He announced that for him the place could be named Manu-mutin because of the white cover of the thick fog that reminded him of a nest of white feathers. Supposedly from a rare, white, ominous bird that had come here to breed (Cardoso, 2001, p.73).

nesta varanda. Como é bom ter uma varanda virada para dentro de mim. Olho os corredores extensos que me atravessam o corpo inteiro, de uma ponta à outra. Vejo a sala iluminada que está na minha cabeça. Espreito o quarto escuro do meu coração que não sei onde começa e como acaba. (Cardoso, 2021, p.15)<sup>26</sup>

Bellis Sylvestris presents herself as the shadow or the ghost of Manu-mutin (recalling the verses of Fernando Pessoa, “Neste mundo em que esquecemos/Somos sombras de quem somos”)<sup>27</sup> and finds herself “planted in a chair on a balcony turned inside out,” the point from which she claims to see the world:

Quem sou eu?

(sombra ou fantasma)

Não sei se sou mais sombra do que a minha própria sombra por estar aqui há tanto tempo, sentada nesta varanda... (Cardoso, 2021, p.17).<sup>28</sup>

The narrator's connection to Manu-mutin and to the farm, and the balcony, in particular, is evident, in a very intense way, in these words. The appropriation of the place is evident, the articulation between the outer and the inner space (literal and metaphorical) is notorious and clearly fluid the line that separates them.

The conceptualization of the balcony as a space of transgression and openness evokes the concept of the border in the sense proposed by post-colonial studies, as threshold spaces that act “to problematize and so dismantle the binary systems which bring them into being” (Ashcroft, Griffiths, and Tiffin 2007, p.36). In the text, this “balcony turned inside out” gives us access to a disquieting and disturbing universe, where the very notions of past and present, real and unreal, conscious and subconscious are mixed and diluted.

This border space thus assumes an important symbolic meaning for the access it provides to the secular memory of a woman, who tells us the story she carries and offers us her reading of the history of

26. I plant myself in this canvas chair listening to the squawk of a goose, despite having disappeared for so long, its voice can still be heard on this balcony. How nice to have a balcony facing inside me. I look at the long corridors that cross my entire body, from one end to the other. I see the lit room in my head. I peek into the dark room of my heart that I don't know where it begins and how it ends (Cardoso, 2021, p. 15).

27. In this world in which we forget/We are shadows of who we are.

28. Who am I?

(shadow or ghost)

I don't know if I'm more of a shadow than my own shadow for being here for so long, sitting on this balcony... (Cardoso, 2021, p.17).

a country and its people: a history marked by wars and occupations, by enormous violence and by a strong disbelief in the future.

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# The houses of Gabriel García Márquez; the chronotope or a literary analysis of time and space

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**ABSTRACT:** This article proposes an analytical perspective on time and space in three works of Colombian author Gabriel García Márquez *El coronel no tiene quien le escriba* (1961), *Cien años de soledad* (1967) and *El otoño del patriarca* (1975). More than the axis of narrative structure, time and space embody the nuclear core of the narratives in the house as a symbol, motif, and theme. Such corresponds to the notion of chronotope, as Mikhail Bakhtin studied it. In every narrative of this Colombian author, the houses intersect time and space, thus influencing decisively the threads and knots of the plot. Following the studies of Mikhail Bakhtin and his *Dialogic Imagination* and Gaston Bachelard's *La poétique de l'espace*, this article offers a literary view on the relevance and impact of time and space in Gabriel García Márquez's universe.

**Keywords:** Narrative Time, Space, Chronotope, Literature, Gabriel García Márquez

## 1 THE HOUSES OF GABRIEL GARCÍA MÁRQUEZ

As we step into the literary universe of Gabriel García Márquez (1927-2014), we open doors and windows, walk through halls and indoor alleys, enter balconies and tread luxurious rooms, stumble on unknown travelers, and cross our paths with ghosts from the past and lost times. As we open the pages of any novel or short story by the Colombian author, we are invited to go inside the houses and homes within all his narratives. However simple it may seem, the houses in García Márquez's works are more than places where characters live or walk through – the houses cross time and space, becoming the intersection of every plot and every story each character lives no matter its relevance or impact. It so happens in *El coronel no tiene quien le escriba* (1961), *Cien años de soledad* (1967), and *El otoño del patriarca* (1975), among other titles. In many of these narratives, the diegetic perspective is narrated from the protagonists' home, as if, at the same time, the whole plot fell into one house only. The rituals, memories, events, and stories of the characters take place in the daily rhythms of the house, simultaneously mysterious and predictable. That is how the house breathes. It is the house that defines the rhythm of departures and arrivals, of birth and death, of madness and solitude.

The house, as a symbol, is the center of the world, a reflection of the universe. More than a space, in these works, the house is the inaugural and integral time of the narrative core. Time and space are united – time as the fourth dimension of space, and space as a sign or concept that transcends itself. The house is a primordial space that brings together all the elements and stages of knowledge, crossing within itself the diverse timelines that unite the characters' life stories.

Opening doors – analyzing the *incipit*

From the *incipit* and beginning of *El coronel no tiene quien le escriba*, we read:

El coronel destapó el tarro de café y comprobó que no había más que una cucharadita. Retiró la olla del fogón, vertió la mitad del agua en el piso de tierra, y con un cuchillo raspó el interior del tarro sobre la olla hasta cuando se desprendieron las últimas raspaduras del polvo de café revueltas con óxido de lata.

Mientras esperaba a que hirviera la infusión, sentado junto a la hornilla de barro cocido en una actitud de confiada e inocente expectativa, el coronel experimentó la sensación de que nacían hongos y lirios venenosos en sus tripas. Era octubre. Una mañana difícil de sortear, aun para un hombre como él que había sobrevivido a tantas mañanas como ésa. Durante cincuenta y seis años – desde cuando terminó la última guerra civil – el coronel no había hecho nada distinto de



esperar. Octubre era una de las pocas cosas que llegaban. (García Márquez, 1992, 7-8).

During the action here transcribed, the morning ritual of making coffee is the starting point of a never-ending wait that the colonel stands, patiently expecting a letter containing his long-deserved allowance. It is at this house that the colonel, along with his asthmatic wife, decides and speaks about the uncertainty and absurdity of the future, as dark as the memory they have of their dead son. Each object is sold to deceive famine with some *pesos*. On the other hand, at don Sabas' house, the village's usurer, money is a tool that guarantees the political corruption of friends and foes, as we read afterward. However, it is from the house, revealed in the morning routines, that this whole journey begins, starting a new axis of time and space: the main one.

Taking into consideration the beginning of *Cien años de soledad*, we can also recognize the house as the intersection of time and space:

Muchos años después, frente al pelotón de fusilamiento, el coronel Aureliano Buendía había de recordar aquella tarde remota en que su padre lo llevó a conocer el hielo. Macondo era entonces una aldea de veinte casas de barro y cañabrava construidas a la orilla de un río de aguas diáfanas que se precipitaban por un lecho de piedras pulidas, blancas y enormes como huevos prehistóricos. (García Márquez, 2010, 9)

It is also inside the house of Ursula – taken as a model of the other houses of Macondo, and over time suffering successive additions and changes to its initial plan, so many are the new characters it receives (living or dead) – that the destinations, stories, and journeys intersect.

A plethora of quotations could be presented to illustrate the hundred years of solitude and the myriad of stories that cross and stumble at Ursula's house: the entrepreneurship of José Arcadio Buendía in Macondo, the absence of Ursula when he leaves home in search of his son José Arcadio, making the house huge and empty, through which the ghost of Melquiades wandered. Other examples are: when Rebeca's memory, upon arriving at Ursula's house, is restless, for she feels that her parents are still unburied; or the open doors of the house in the resumption of contact with Pilar Ternera; the breath of joy that Remedios Moscote brings after beginning her married life with Aureliano Buendía, reviving and reordering the house, appeasing conflicts; even the Ursula's prohibition towards Rebeca and her son, José Arcadio, forbidding them to tread the house after they were married, denying them from the family; or the house full of children, for Santa Sofía de la Piedad and her children had been invited to live there after the shooting of Arcadio,

etc. This is the house of Ursula, closely related to the events of Macondo. I refer to the "house of Ursula" and not of another character, since it is Ursula, as a mother, wife, and chief of the family, who restructures the house, opens windows, cleans, washes, straightens and cooks, persuading her husband to raise their children. It is Ursula that sustains the world. Men are dedicated to adventures, inventions, travel, alchemy, goldsmithing, and wars and feasts. The house belongs to her because it is Ursula that makes the house breathe – the rhythm unfolds from her hands, active and wise. Ursula's house is, in fact, and even more so than Macondo itself, the space center of the whole novel – the diegetic perspective is narrated from there, as the starting point and arrival of vagabonds, travelers, and workers, origin, and destination of each family member, no matter how far they might be. When the Gypsies arrive every March, it is José Arcadio Buendía who greets them and receives and experiments with the inventions they bring: the magnet, the magnifying glass, and other oddities. The plague of oblivion is narrated from the house, as well as the flood, in addition to the rampage of people who bring the "banano fever" or the tragic revolutionary outlines of the fate of Colonel Aureliano Buendía – stories lived from home, from Ursula. Not only the living occupy the house, but also the specters that, wearied of death, decide to visit and walk through Ursula's house, such as Prudencio Aguilar, Melquiades, and, later, José Arcadio Buendía, incorporating the past and present in the same space, *the non-being* and *the being* within the same *being*. Among hallucinating inventors, Remedios la Bella, the naked nymph, retired colonels, fervent believers and occasional travelers – everything dwells onto Ursula's house, a *casa de locos!* as this is several times exclaimed. All the events, adventures, mysteries, and puzzles are lived from the house, in the house, and around the house. It is worth mentioning, in this regard, the episode in which the murder of José Arcadio, son of Ursula, is narrated – the only unsolved mystery in Macondo:

(...) Ese fue tal vez el único misterio que nunca se esclareció en Macondo. Tan pronto como José Arcadio cerró la puerta del dormitorio, el estampido de un pistoletazo retumbó en la casa. Un hilo de sangre salió por debajo de la puerta, atravesó la sala, salió a la calle, siguió en un curso directo por los andenes desaparejos, descendió escalinatas y subió pretilles, pasó de largo por la Calle de los Turcos, dobló una esquina a la derecha y otra a la izquierda, volteó en ángulo recto frente a la casa de los Buendía, pasó por debajo de la puerta cerrada, atravesó la sala de visitas pegado a las paredes para no manchar los tapices, siguió por la otra sala, eludió en una curva amplia a mesa del

comedor, avanzó por el corredor de las begonias y pasó sin ser visto por debajo de la silla de Amaranta que daba una lección de aritmética a Aureliano José, y se metió por el granero y apareció en la cocina donde Ursula se disponía a partir treinta y seis huevos para el pan.

- ¡Ave María Purísima! – gritó Ursula.

Siguió el hilo de sangre en sentido contrario, y en busca de su origen atravesó el granero, pasó por el corredor de las begonias (...), y salió a la plaza y se metió por la puerta de una casa donde no había estado nunca, y empujó la puerta del dormitorio y casi se ahogó con el olor a pólvora quemada, y encontró a José Arcadio tirado boca abajo en el suelo sobre las polainas que se acababa de quitar, y vio el cabo original del hilo de sangre que ya había dejado de fluir de su oído derecho. No encontraron ninguna herida en su cuerpo ni pudieron localizar el arma. (García Márquez, 2010, 162-164)

José Arcadio and Rebeca lived far from the family of Ursula's house, whom they had never contacted again (because she felt disrespected and dishonored by marriage between their cousins), receiving only the visit of brother Aureliano Buendía and Rebeca's friends. José Arcadio was, therefore, totally isolated from his mother, Ursula. The thread of blood that runs through the whole village, crosses houses, curves on the corners, and returns to the streets will be destined to Ursula, who then takes the reverse path to her son, already dead. This thread of blood may have an interpretation consonant with the thread of Ariadne, which Ariadne uses to get Theseus out of the labyrinth of Minos, or with the umbilical cord, the inviolable and intimate maternal connection between mother and child. Both interpretations can be taken as the pathway that allows the connection to the root, to the first source of life, to the beginning of life, to the light. In this sense, José Arcadio lived under a regime of isolation and solitude impelled by Ursula, a labyrinth of solitude imposed by the law of family honor, so the blood thread had made this journey of returning to the origin, jumping the frontier of solitude, in search of the recovery of the maternal bond: the first love life gives, the light out of the labyrinth. Blood, an internal and codified record of life in common, was, of all things, the one that most directly and intrinsically linked José Arcadio to Ursula over any existing disparity – the blood thread would, as such, make this association both with the myth of the Ariadne thread and to the symbology patent in the umbilical cord. The central point is the house of Ursula, as already mentioned, and given the inviolable connection between mother and son, Ursula follows the thread of blood to the source: José Arcadio, the son, already dead.

A third opening we must consider is in *El otoño del patriarca*:

Durante el fin de semana los gallinazos se metieron por los balcones de la casa presidencial, destrozaron a picotazos las mallas de alambre de las ventanas y removieron con sus alas el tiempo estancado en el interior, y en la madrugada del lunes la ciudad despertó de su largo letargo de siglos con una tibia y tierna brisa de muerto grande y de podrida grandeza.

Sólo entonces nos atrevimos a entrar sin embestir los carcomidos muros de piedra fortificada, como querían los más resueltos, ni desquiciar con yuntas de bueyes la entrada principal, como otros proponían, pues bastó con que alguien los empujara para que cedieran en sus goznes los portones blindados que en los tiempos heroicos de la casa habían resistido a las lombardas de William Dampier. Fue como penetrar en el ámbito de otra época, porque el aire era más tenue en los pozos de escombros de la vasta guardia del poder, y el silencio era más antiguo, y las cosas eran arduamente visibles en la luz decrepita. (García Márquez, 2014, 7)

*El otoño del patriarca* begins with the entry into the presidential house made by numerous people since the verbal marks indicate a plural perspective. Notice the temporal vertigo of *El otoño*, and as time is encased with all the space occupied by the house: during the weekend, the *gallinazos* removed with their wings the stagnated time inside, and in the early hours of Monday, the city awakened from its lethargy of centuries – there is a time when *the* time happens, removed, or awakened. Later it is reported that the entrance to the presidential house was like penetrating the space of another era – that is, the presidential house consisted of a clepsydra frozen forever in the same moments, in a time isolated from another time, the time outside the house. When the plural subject enters the house, coming from a temporal plane in which the days of the week and the phases of the day still follow each other, all the time inside the house is removed and sprays itself on the rubble of memory, as it collides with the time outside it. However, the phrase “en la madrugada del lunes la ciudad despertó de su largo letargo de siglos” carries out the junction between the two temporal spheres that collide with each other – the early hours of Monday, that is, the initial stage of the day of the first working day of the week encounters the awakening of the city from a lethargy of centuries, as wide as eternity. Lethargy ceases to be considering that the city awakened from it on that first day, in the early morning that marks the beginning of another time, still unknown, because it is uncertain – it is the future. This lethargic time of centuries had preserved everything within the presidential house in the antiquity of silence, in the faint air of memory, and in a dust that, through the rays of light, almost reopened the invisibility of things. Hence the

grotesque and immense dimension of time and memory throughout this novel, in addition to the powerful force that characterizes the presidential house and its inner space, that keeps and isolates all within an old memory.

This poem about the solitude of power, as Gabriel García Márquez described *El otoño del patriarca*, was inspired by the political history of Latin America, filled with endemic violence and conflicts. It is woven from legends, rumors, testimonies, and other versions in the form of multiple monologues, a polyphonic narrative, creating a monument to the memory of the patriarch. This is not the memory that truly exists as an archive of voices but the imaginary substance in the collective history of the people, the one that left the indelible marks of a cruel and absurd regime. All this narrative, or this poem or meditation, is told as the house of power, or house of solitude, or house of a “kingdom of disgrace” (“reino de pesadumbre”) is paced by the various steps and voices of the people who suffered from the despotic regime of the patriarch. In the house of power fits the entire Caribbean. It fits the whole of Latin America. Because everything fits: the deceased, the abductions, the abuses, the portraits of the patriarch’s holy mother, the cannibal meals, the domino games, the twilights of a sealess horizon, the lovers, the ministers, the prostitutes with their seven-month children, the lepers, the paralytics, the blind, the cows, the oxen, the chickens, the stories of all the lives that have suffered the lethargy of centuries, as if it were a house of death, of ghosts, sustained and supported by the “exquisite shit of glory” («exquisita mierda de la gloria» in García Márquez, *Cien años*, pp. 294). This house is also the chimera of all the power of the patriarch general – his mansion or palace is also a “presidential stable” (García Márquez, *El otoño*, pp. 134) and appears often characterized as a farm or a corral, crowded with cows, chickens, and gallinazos. The government’s home becomes a home where all vices and abnormalities take place. One of these abnormalities could be considered anthropophagy, which leads the patriarch to assassinate his defense minister Rodrigo de Aguilar by accusing him of treason. He then decides to roast him with cauliflower and parsley, serving him at the table of his ministers. The patriarch is, in fact, the chimera of power, a beast devouring human flesh, chained to the rotting solitude of his presidential house. In the realm of his power, the brutal force of authority without limit nor responsibility predominates – an authority only feasible in the selfish appetite for more, more power, more respect, more fear. The house ends up becoming equally victim and accomplice of this rotted loneliness by corrupt power, initially resistant and heroic (akin to the beginning of the despotic regime), but whose doors effortlessly open once it is abandoned (after the death of the patriarch).

## 2 UNDER THE ROOF: A CHRONOTOPE IN GARCÍA MÁRQUEZ

The house becomes, therefore, the designated *topos* right from the beginning of the narrative *chronos*, be it where an action or ritual occurs or in the description of the landscape surrounding the action happening in the foreground (like the time of the shooting of Colonel Aureliano Buendía). In fact, more than inaugurating the diegetic or narrative time, the house *becomes* the first time and the first space that embodies a determined time or a concrete moment – a memory (that of Aureliano Buendía), a ritual (the coffee by the colonel), a discovery (the entrance to the house of power), as can be seen by the first sentences of each work. Because it is simultaneously and reciprocally *time* and *space*, the house can be considered, according to Mikhail Bakhtin’s definition, a chronotope. A chronotope is a point of crossing and intersection of time and space sequences as if the narrative nodes are tied and untied at that point. Bakhtin calls the chronotope a “formal constitutive category” for it defines and constitutes the entire formal and internal structure (characters, plot, finale, *pathos*) of the narrative.

In a solid and concrete plan, the most varied destinies, thoughts, or stories are merged: it is in their home that the colonel and his wife weave uncertain projects to overcome poverty; it is around and through the house of Ursula that the hundred years of journeys and stories take place; it is in the presidential house, or “house of power” or “house of solitude” to which we are invited to enter and remain, from the first to the last page, and listen to all the voices of all the mirrors and shadows that tell us the stories and legends of the patriarch.

In his *La poétique de l’espace*, Gaston Bachelard states that the house is a body of images that give man reasons or illusions of stability – it is from the house that we build reality. More than a body of images, the house is a kaleidoscope of stories, mirrors, and voices since it regroups the links and knots between the characters and their intrinsic relationships – in it, the core of the action flows and radiates, and to distinguish these links and knots would be to uncover the soul of the narrative. Each house is a *microcosmos* of the outside world, representing in each room (the kitchen in *El coronel*, the goldsmith’s workshop, or the dining room in *Cien años*, the bedroom and the meeting room in *El otoño*, for example) the imagery, oneiric or reflective projections of each character and what surrounds it.

Mikhail Bakhtin emphasizes a series of chronotopes (the road, the castle, the city of the province, the porch, among others), and some could be applied to this trio of García Márquez’s work. Regarding the house of *Cien años*, this could be, to some extent, equated to the halls and ballrooms of nineteenth-century works of fiction, like the novels of Stendhal

and Balzac, because only there, Bakhtin states, “does it achieve its full significance as the place where the major spatial and temporal sequences of the novel intersect.” (Bakhtin, 246) This intersection of time and space points takes place effectively in the three houses here examined.

The patriarch’s presidential house is the signified and signifier of the whole work – space and time are tied in a narrative knot dependent on the narrative core. Inside the walls of the presidential house, the patriarch watches the decay of his own kingdom, plays domino games with his doppelgänger Patricio Aragonés, murders his minister Rodrigo Aguilar, revisits the portraits of his mother as he embroils himself in the absence of Manuela Sánchez, and then marries Leticia Nazareno; and, in the final chapters, entrusts José Ignacio Sáenz de la Barra to organize the country for him. Lastly, it is in this very house that the patriarch dies the last of his deaths, taking with him the eternity of the regime. The stagnant time in his palace stumbles on the analepsis (flashbacks) and prolepsis (flashforwards) created by the polyphonous stream of consciousness of those who invite us to enter the house, along with the consciousness of the patriarch, who is constantly perplexed by the consistency of his power, increasingly resembling the chimera that he is.

The characters model the house to suit their needs and dreams, as we can read in *El coronel*, in which each object belonging to the house is sold in order to yield some money to buy food. Or in *Cien años*, when Fernanda del Carpio, taking advantage of Ursula’s blindness, creates her own rituals for the house routines, closing all windows and changing a number of habits; still, in *El otoño*, the patriarch feels that, of all the authority that was taken from him, only the nocturnal rituals of putting the house to sleep remained as his own. This can be linked to the words of Gaston Bachelard:

(...) la maison natale a inscrit en nous la hiérarchie des diverses fonctions d’habiter. (...) Le mot habitude est un mot trop usé pour dire cette liaison passionnée de notre corps qui n’oublie pas à la maison inoubliable. (Bachelard, 1998, 33)

The habits and rituals reveal the intrinsic and dependent relationship between each character and the house, as this is the primordial space of one’s gestures.

Gabriel García Márquez stated that, not only in the book-interview *El olor de la guayaba* but also in previous statements or interviews, that *Cien años*’s initial sketch was titled *La Casa* – because the author had thought that the whole story should take place inside the Buendía house. The first sentence of his autobiographical work *Vivir para contarla* is “My mother asked me to accompany her to sell the house.” In the children’s literary piece *La luz es como el agua*, the adventure of the two brothers and friends happens indoors amidst a flood

of light. In the short story “Monologue of Isabel as it rains in Macondo,” the whole story is told from Isabel’s house, and all her thoughts float in the liquid atmosphere of the house. Etc. From this, we can infer that the author would be aware of the vital importance of the house within a story.

The chronotope of the house can also indicate an intratextual reading of the literary microcosmos of the Colombian author’s work. From the house everything departs, and to it everything returns. All these characters end their uncertain destiny in the house: the colonel and his wife keep waiting for that letter, holding off their future; the fate of the Buendía-Iguarán lineage ends its solitary despair, while Macondo scatters into the hundred years of oblivion; the death of the patriarch concludes the eternity of a ruined time by unraveling a new dawn, unknown. Like the works themselves, these houses are a literary *microcosmos* of Latin America, or Indo-Afro-Iberoamerica (as Carlos Fuentes and other philologists assert), diverging history and time in the vast labyrinth of multiplicity, uncertainty, and their own mystery. The house is a universe because it unites all these labyrinths, thus uniting the diverse and deviated.

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# Considerations about time and space regarding hospitality development

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**ABSTRACT:** This paper intends to present a short reflection on the issues of time and space using thematic in which the information and quality of communication in hospitality have their basis. Our research on these subjects is mainly based on a literature review, focusing on authenticity's correlation with the usefulness of heritage and data in hospitality. We focus on technology use in tourism communication systems, referring to virtual reality, big and small data analytics, and metaverse reality. A positive perspective on the use of technology guides us to understand it as a part of sustainable human development, concerning the educational process, integrating helpful means for comprehension of realities in all their complexity.

**Keywords:** Authenticity, Time, Space, Usefulness, Hospitality

## 1 INTRODUCTION

Time and space are concepts subject to different interpretations in several dimensions. This brief incursion on these topics reflects on questions of a diverse philosophical nature. Our purpose is to understand the logic of the post-humanist era coming in the near future. We attend, essentially, the present moment, where the amount of information limits the consumer's capabilities of selective analysis for quality communication.

Our challenge in writing this paper, in times where data limits and expands the capabilities of making the right choices, focuses on the quality of the use of metadata, namely concerning its absolute reliability, on the part of managers of hotel units, as well as users of tourist products.

The theme of authenticity of communication guides our research.

## 2 BRIEF CONSIDERATIONS OF SPACE-TIME

Not intending to include in our discourse the holistic approach, namely in different scientific areas about time and space that parameterize our activity, from neuroscience to psychology and physics, we can focus on those concepts that commonly serve as elements of interpretation.

To reflect on time, we have the concepts of simultaneity, succession, and duration of events in the spatial axis where individuals develop their activities that we can classify as profane, and the disruptive moments created with intent can be seen as marks of

remembrance, where emotional and sensitive sublimations charge symbolic means.

Travel, which implies a dislocation, and the immersion in destinations for touristic purposes, can be seen as (Pereira Neto, A., 2014) an abandonment of a profane axis of quotidian time and space, marked by the anonymity the grant of experiences in a different space and time- the sacred, where freedom can be experienced.

Due to Einstein's relativity theory, space-time visualization transcends our perception. All the issues that concern determinism and aleatory and continuous are still open to investigation and imaginary freedom of thought. Simultaneity is a notion that cannot be true to the identification or time-space; to the participants immersed in these dimensions, each one can have its parameters, its markers of identity.

By this, the notion of being identified by space-time markers is in the symbolic dominion, in all its richness of meanings. The notion of existence can be seen as an essential refuge for believing.

Diversity comes out as, maybe, the true reality. Its comprehension transcends belief. The primordial exorcism of time control, by magic and belief, relies upon an intangible sphere of marginal concepts. The space-time that depends on between the margins of profane and sacred, reasoning we all can comprehend, beyond abstractional thought, in a nearby space-time, with artificial intelligence.

The number of classifications in modern and post-modern societies exceeds the order of the norms of physical determinism. The scales are seen due to ignorance (Popper, K., 1996). True nature is yet to be

understood in all that was suppressed by exceeding the economy of gestures and the emotional state that, subsequently, is yet to be discovered.

Thus, the process of choice is embedded in anguish. Manichaeism reigns in a world where the economy of time prevails. Technological advances, symbolically, accelerate the process of creativity, putting it outside of total human intelligibility. For this one, the final product will be what really matters.

As symbolic meanings are significant system-generated, thus not being pre-existing to the individual or the group, all this logic embeds the process of constant symbolic construction. The use of space by the user and the consequent enjoyment of the goods that it includes create in themselves the images and the style of those who enjoy them.

Recreational experiences by the reinvention of time and space with technological support enrich the quality of life, generating a dynamic dialectical system in which the imagery recreation builds into reality.

In this logic of reasoning, the culture appears as something that has its constitution in almost artistic - or creations - placed on a surreal plane. Today's society bears a loss of sense of reality. Nostalgia for veritable sensations is present in the use of the daily space.

If the tourist phenomenon seems to dilute traditional culture concerning the host populations or agents responsible for welcoming those who come from outside, this phenomenon devalues the genuine belief of the participant/performer of the ritual.

The consumerist phenomenon will establish, in our part, these beliefs through the challenge of the search for individual satisfaction and distinction in the human mass, so characteristically plural and sometimes indistinct.

In this challenge of seeking satisfaction, which transcends simple, functional activities, the individual is enchanted by the social. Authenticity is never thus directly experienced, and although the experience exists, one can no longer say what the proper understanding is.

The search for emotions is transposed to the real world many times through virtual realities, operating this search in the private or individual sphere.

In the cultural approach to space, we can refer to the importance of proxemic studies, which addresses the whole set of relationship issues between individuals in space, focusing on the public, personal, and intimate spheres (Hall, E.T, 1990). The methodologies proposed in this work are still critical today, although the means for analysis are different due to technological advances.

In the present, we commonly understand social time as the time of physics, as a space parameter. Time mediates the actions of desire and its fulfillment. Furthermore, the impossibility of its realization is the dream of each one.

The media, promoting the places of destination for the consumer/tourist, use a particular set of images associated with emotions and objects practically

forbidden every day. In this way, they update in a daily context, through consumption rites, the initial myths that took place in an almost paradisiacal nature, moments before the fixation of culture in the profane/terrestrial space.

The time devoted to consumption or recreation is, in its essence, inscribed in the individual's body through all an immediate ambiguity, provided by the multifunctionality of the offers and the consequent plurality of possible choices. In the reading of the signs inscribed in the bodies of others, each one can make their own choices of relationships and habits or lifestyles.

Sensorial interpretations, namely visual and acoustic, implicitly related to emotions are also symbolic. By this logic, time and space are superfluous elements (Ernst, W. 2015).

There are no connections in terms of space and time for players in a virtual environment. The freedom to initiate a link to a virtual space, in gamification, to choose their body movement to imprint their attitude and disconnect virtually also prevails for them (Anderson, S. L. R.,2019).

Transposing the movement embodied in reality to the virtual and its use is still based on the individual perspective.

It is precisely in these choices, in its contextual interpretations, and in this following of trends, based on modal frequencies and fashions of specific space and time, that a whole novelty emerges, gaining the status of attractions, in the tourism system.

### 3 TOWARDS THE METAVERSE

The immersion in a technologically based reality, where trade is made, in several uses of space-times, and where emotions still lead to consumption choices, organizes knowledge in an assortment of freedom of options that can transcend the time of social-cultural dynamics.

However, the importance of individual freedom of choice to connect and disconnect technology, and media-based knowledge (Kaun, A.2021), is seen as a civic virtue (Baykurt, B., & Raetzsch, C. 2020). Free will belief is a positive way to face digital culture and accept AI narratives. In a way, there is common knowledge that the consumer has a role in AI semantics and its process of learning.

Communication happens, and knowledge gets its augmentation into an infinite space-time. Thus, in posthuman mystics, accepting existence can endure as part of believing in the sacred. For Christian believers, the posthumanism mystic can embrace different spaces, humans, machines, and avatars in a creative communion of attractive evolution (Bolger, 2021). Liminal space-time between this sphere and the profane tends to be blurred.

However, the humanist era is not yet accomplished. Data quality must be a concern in all the possible

connections concerning forms of information on tangible and intangible heritage (Pereira Neto, Ana & Runa, A., 2022), vehiculated for touristic purposes.

With technology reducing time for hospitality management decisions and for the tourists as consumers, we can say that time is concentrated on what seems to be the basic or essential in information or data. Like the theatrical narrative and literature, the time of the narrated events is concentrated to capture the audience's attention.

Informed daily decisions are fundamental in saving time and financial resources. Nowadays, successful entrepreneurship mainly relies on big data analysis converted into business insights. However, it is not only the capture of attention that matters for decision making in hospitality management but, essentially, to transform data monitorization into helpful knowledge. This way, facilitating media customers' posts monitoring is beneficial to valorize their opinions on the service use, whether positive or negative.

In the enormous reality where massive data relies, big data is not yet intelligible to joint hospitality managers. Human time for integrating the cultural dynamics accelerated technology is out of reach in decision-making management time.

They are more commonly accommodated with small data use, using helpful tools such as channel manager or excel. The information purge is selected for finance, revenue management, data tools, and data sources. However, the reliability of data analytics still passes through the filter of human knowledge.

Educational function by interaction, using these means is not possible yet in other contexts, such as live stream audiences (Ross, A. S., & Logi, L., 2021). These interact almost simultaneously; Thus, the ludic ways of engagement seem to be considered a good investment in time expenditure through this kind of interaction.

The excellent use of time with technology as a means of information for leisure or economic issues is seen as applicable whenever the consumer makes decisions based on the information quality (Størup, J. O., & Lieberoth, A. 2022). Vicious use of time can be seen not as a benefit in terms of quality of information but a loss itself. These issues concerning novelties' time uses seem like a recurrence in the dynamics of culture itself.

Self-discipline and control of time in work and leisure, in the everyday use of the digital nomad's concept, despite all the ideas of freedom associated with it, burden responsibility and anguish concurrently (Cook, D. 2020). The uses of time working in marvelous places, associated with leisure practices that are a mix of tourism and residential vacationing, are an encounter that seems not to fulfill the need for discovery and, at the same time, seclusion.

The sense of belonging to a community seems essential for breaking that feeling of anguish to the

solo digital nomad traveler. Productivity is still in the profane axis where work happens, but sacred liberation is proximal by only switching off the computer button. All this can be a fact that we face the humanist era, which explains the sense of consciousness (Murray, J. H. (2020), being in real-world or virtual ones, and freedom of choice. Virtual reality includes brain perception and sensual information, non-dissociated with interpretational cultural codes.

However, the sense of living reality by virtual mediation is still disruptive in terms of physical immediacy. The crossing of the borders of profane and sacred are still conscious. For guests' and hosts' purposes, professional mediation, in terms of data interpretation and knowledge, is still needed in the hospitality system.

Providing hype emotional immediacy experiences immerse customers in a real phantasy world. Interaction occurs in the disruptive axis of time and space identification for recreational purposes.

For educational purposes in the tourism system, concerning heritage knowledge, virtual realities still face disruption matters in the context significance. The tourist symbolic intelligibility is, in a way, controlled by the informative limit of the product.

Virtual worlds can be instrumental, namely as products, if there is a belief in the results. However, these systems can be deceptive, concerning authenticity, to the user (Huggett, J. 2020). The total immersive reality and the natural feeling of being present in other times and space is a reality yet to come.

In virtual reality products, time profitability also limits the consumer's experience utility. Time and spatial use of information, through this kind of technology, encapsulates disjunctions. To believe or not to believe in this kind of information is a consumer's dilemma concerning the learning processes.

In this kind of reality, interaction exaggeration also has an alluring effect for many of those who want more thrill in less time. Based on local memory, the authenticity necessary for intangible and tangible heritage does not always seem attractive to product manufacturers. The expenditure of time and resources on all the necessary procedures makes its viability extremely unfeasible.

However, the facilitation of reinvention happens with the tourist's freedom of choice on conjugations of signs they like most.

The tendency to annihilate gaps in communication systems and differences seems to be a kind of utopia to become real in a metaverse reality, out of time and real space. A share foundation of knowledge, and reflections on challenges for future practices, focusing on data, are nowadays in the discussion, especially in whatever concerns its production, visualization, and use (Nash, K., Trott, V., & Allen, W. 2022).

More immersive ways to share real experiences in a shared virtual world where all senses are really



helpful for informed choices. Being inside the experiences and having better use of time is at the same time alluring to users, but it can also be a factor of the distraction of self-identity construction byways of thought based on reflection.

#### 4 FINAL NOTES

In the present day in which we are emerging, the construction of empathy through personal connections is relevant for the practical construction of negotiations and management concerning the tourism/hospitality system.

We may question whether the intelligibility of spaces, through the symbolic readings, that the senses serve as mediators of interpretation will change considerably over time with the advancement of technologies.

For those too immersed in technological work, a disruptive search for nature also seems pertinent. The imponderability of factors related to the senses and their direct individual interpretation, such as emotional intelligence, still prevails and can be considered a factor of resistance to the decision based on the logic of the technology in use.

The valorization of the individual, or the singular, seems to be still the current scenario of communication based on empathy. In the post-humanist era, the ideal scenario centers on collective empathy in future time and space.

Time and space and the underlying logic related to the economics of their use still prevail in the business world. The valuation of businesses and people requires and will require in the future mediation through continuous learning processes in a cultural dynamic of aggregation of differences accelerated by technology. In this way, the already announced the advent of the metaverse reality will be accomplished.

One of the future challenges for the manager will increasingly be multicultural negotiation, and its success will continue to be based on the ability to manage information. The big difference will probably be an increase in business due to the time savings used in making reliable decisions.

Knowing how to use immersive technologies processes related to creativity will be at a level for more sustainable development through better time use.

However, there will always need time to adjust to all the dynamics of the cultural change process. Each culture has its rhythm of enculturation.

Thus, we believe that the overestimation of the expected results in a time and space of an announced future, with the use of products associated with immersive technologies, will be satisfactory for those who see in diversity and authenticity the guarantee of the quality of the tourist product.

It remains for us to question whether leadership in the future will be emotional and wait for the results.

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# For a new museology; the aura, the place and the museum

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**ABSTRACT:** Even though museological institutions have been following the same set of rules for one hundred years or more, people who visit exhibitions nowadays are different from the ones who did so one century ago. Therefore, it is necessary to examine the museographic practices that have been used throughout Europe in the last decades, as well as their founding premises. In order to reach this goal, I will focus on the postulations of Walter Benjamin and his considerations on mechanical reproduction as per the beforementioned museographic practices. I thus hope to shed some light on how this issue can be properly addressed in the twenty-first century museological *praxis*.

**Keywords:** Museology, Authenticity, Aura, Archeology

## 1 INTRODUCTION

In this article, I intend to critically examine pedagogical methodologies and perspectives within the scope of museology. Throughout this text, I will progressively reduce the scope of my analysis from the museological framework to the archeological and megalithic context – the academic subject which is the basis of the thesis project that I plan to write in the next years. My conclusions will be drawn within this context.

Archeology is a science in which the production of knowledge relies mainly on the interpretation of ancient artifacts. That said, preservation and conservation are two key concepts in this field, namely, to compare already excavated objects with forthcoming artifacts. Hence, two questions become relevant: Why museums? Why today?

The new information and communication technologies have developed significantly and proliferated in each household in the past few decades. Media evolution is one of the factors that Marc Augé considers responsible for both “spacial superabundance” and “superabundance of events” (Augé, 2016, p. 40), a proliferation of existence that has brought bigger exposure and sensibility to our multicultural environment. A sense of community that does not match the individualistic and liberal narratives that humanity has been following over the last decades. Museological institutions have increasingly reflected a spirit that does not correspond to contemporaneity as they try to attain international reach. The illuminist spirit is:

born of reason’s victory over superstition and then corrupted by all the doctrines of racial and cultural superiority, is not well fitted out for today, let alone for tomorrow (Cameron, 1995, p. 48).

It is urgent to consider the museological question:

Neither high technology nor more sophisticated techniques, neither the refinement of strategies nor finesse, will save the modern museum as we know it. Only a consummate metamorphosis will meet the demands of change (Cameron, 1995, p. 48).

Let us first understand the current museological dynamics.

Considering that one of the primary objectives of a museological institution is the exhibition of artifacts, and that one of the major concerns of archeologists and conservers is the correct preservation of objects, it becomes all the more relevant to understand the role of the copy in these two universes.

Regarding the copy and the reproduction of an artifact, I will look at Walter Benjamin’s work. As an academic of Frankfurt’s school, he explored the consequences that the mechanical copy would bring on a social and cultural level. To begin with, I suggest an analysis focused on the central concept of the “Benjaminian” discussion on authenticity – the aura and its intrinsic relationship with the rite. I will then clarify how these concepts will be used in the course of this article to have enough grounds for a study of the copy itself - a brief discussion about the role of the copy and of authenticity in the

educational context. This will later be articulated with the premise of knowledge dissemination underlying museological exhibitions. Lastly, I will conclude by conjugating the rite with museography - to comprehend the different forms of understanding and experiencing the object and the place; an approach that aims to understand the role of the ritual and its relevance in contemporaneity. I hope to contribute to develop a new way of thinking and participating in the museum.

## 2 BENJAMINIAN AURA

### 2.1 *Contemplation and understanding*

The concept of “aura” can be understood as an effect attained only through experience in an intersubjective way. The aura is a key concept in *The Work of Art in the Age of Mechanical Reproduction* (1935), the Benjaminian text this article will draw on. In that work, the aura is explained to us in the following way:

Lying back on a summer’s afternoon, gazing at a mountain range on the horizon or watching a branch as it casts its shadow over our reclining limbs, we speak of breathing in the aura of those mountains or that branch (Benjamin, 2008, p. 9).

In another moment, it is put as:

Derivation of the aura as the projection of a human social experience onto nature: the gaze is returned (Benjamin, 2006, p.148).

We are apparently looking at a perception phenomenon – an experiential dialogue between the observer and the object. Even though semiotics goes beyond the scope of this essay, it is still relevant to provide a short definition of signs. Pedro Alvim indicates that perception is understood, essentially, as a flow of biological sensory data that provides sensory information to the mind, which in turn will make sense of the world’s configuration (Alvim, 2021).

The gazing and contemplating act seems to be responsible for the assimilation and signification either of the landscape or of a work of art.

Implicit in the mental processes that are responsible for the assimilation of our environment and the objects that surround us, the “here and now” (Benjamin, 2008) emerges – the singularity of something in the moment and place in which it is found. These are some of the characteristics responsible for conceding the object a characteristic that is *suus generis* and unrepeatable – the value of authenticity.

Walter Benjamin also points out that, with the possibility of reproducing an object technically, the qualities previously mentioned are jeopardized (Benjamin, 2008).

The author’s analysis focuses mainly on two new methods that were proliferating at the time - photography and, in a second moment, film.

It would be through the lens, and its implied capacity of reproducing the photographed motif, that the decline of aura would happen (Benjamin, 2008). According to the author, the lens would not be capable of capturing the necessary dichotomy between observer and the motif observed, putting in question proper contemplation and assimilation of aura.

### 2.2 *Creation and rite*

As regards the theme of artwork production and its criteria of authenticity, we must consider not only its value as an original work but also the context in which it was created. We then bring to discussion the group of aesthetic and moral values existing in the period of the object’s creation. Let’s also pay attention to the experience of a community whose values do not follow those of the piece in question. Walter Benjamin exemplifies that, even in a Christian and medieval Europe, classic statues would have some attributed value (Benjamin, 2008) – even if that value carries a repudiation of underlying paganism. The question is not necessarily concerned only with the superiority of a moral and aesthetic tradition in comparison with another, but with its existence in the first place, with the tradition being intrinsically related with the rite<sup>1</sup> – responsible for its significance in the moment of its conception.

The ‘one-of-a-kind’ value of the ‘genuine’ work of art has its underpinnings in the ritual in which it had its original, initial utility value (Benjamin, 2008, p. 11).

The ritual, as a constituent element of an artistic object’s production, would be one of the agents responsible for the significance of its sacred nature.

There has been an inclination to attribute meaning to artistic objects since the beginning of humanity. Spaces that are less accessible inside caverns – with less oxygen renovation and therefore uninhabitable (in a more continuous meaning of the word) – were the hosts of the twenty-first century’s great rock art discoveries. In these spaces it is possible to verify the act of signification through the motifs engraved on the walls. The religious connotation has been perpetuated throughout the classic period – whose main sculptural representations would be of divine entities, emperors, or ancestors, these last two having a strong sacred and religious component as well – and medieval ages until the modern period.

1. We understand “rite” as the primordial act of signification. Something that happened in a “mythical time” and is responsible for the first meanings. This gesture, repeated in time in countless different ways, will make the ritual one of the main forms of giving meaning to something, like the landscape or an object.

Certainly, during some of the previously mentioned eras, technological reproduction would happen as well. Even Greek communities would produce coins using a cast. However, a great part of the most relevant statues, on a sociocultural level, would be made of stone, which makes them unique and technically non reproducible<sup>2</sup> (Benjamin, 2006) – a way of being, in the moment of contemplation and creation; a way of being, from which something peerless is born and cannot technically be reproduced.

Walter Benjamin argues that there is evidence of a departure from tradition and the cult value of an object (Benjamin, 2008), stating its main consequence:

Rather than being underpinned by ritual, [art] came to be underpinned by a different practice: politics (Benjamin, 2008, p. 12).

This is one of Benjamin's most pertinent predictions, considering the triumph of uncontrolled neo-liberalism in the west and its annual production of blockbusters<sup>3</sup> in Hollywood.

In the present chapter, I look forward to defining a concept already postulated by Walter Benjamin - the aura. I aim to get an understanding of the Benjaminian postulate, relating it with the notion of an object's authenticity. For it to be reliable, contemplation of that object must consider the characteristics of the "here and now", as well as the fact that its creation must be connected to a rite, the act of signification.

### 3 MUSEOGRAPHIC EDUCATION

#### 3.1 *Museological institutions*

Having clarified some key concepts in Walter Benjamin's work in the field of production and authenticity, let us have a look at museological institutions. At

times, these will be forced to reproduce a certain object, either because the original artifact cannot sustain the climate conditions of exposure rooms or because of a necessary intervention in order to conserve the object itself.

It is relevant to identify the main methods and expositive objects (for now, in the European context). Not considering private collections, it is possible to make a first approach to what I currently consider an exhibition looking at the French salons of the seventeenth and eighteenth centuries. Here, for the first time, one can understand an object's placement with the purpose to be contemplated<sup>4</sup> by a considerable number of people. In 1857, still riding the wave that made the first Universal Exhibition of 1851 possible, the entity that is today called Victoria & Albert Museum (Kemp, 2017) was born. Besides being an entrepreneurship project, there has been a strong pedagogical component to it, not only in the first years of the institution but also in the current days, with many initiatives associated with teaching, like workshops and residencies («V&A - Learn», n/d).

People here do not want nebulous theories of the chronology and history of Buddhism. These they can frame for themselves easily enough. They want the material evidences from which speculation and theory may start, such as plans, inscriptions, casts, sculptures, and all the fruit of original research in fields ... which have been comparatively unexplored. (Kipling *apud* Kemp, 2017, p. 14).

These would have been some of the principles that led to the construction (divided into two, because the building could not have an object with almost 40 meters of height inside) of a Trajan's Column replica, as well as other examples of artistic productions considered eximious, like the Portico of Glory, in Santiago de Compostela, and even Michelangelo's David.

Now, considering Benjamin's work, there are some reflections to make. Firstly, the assumed copies will be completely empty of aura, distant from any meaning rooted in the ritual and tradition responsible for the originals' creation. As Walter Benjamin indicates, the possibility of the mechanical copy will cease to make "art underpinned by ritual", only for it to be "underpinned by a different practice: politics" (Benjamin, 2008, p. 12) and will make it supported by another practice: politics" (Benjamin, 2008). One can say with some security that the foundation of the Victoria & Albert Museum had, in a first instance, a strong political connotation<sup>5</sup>. The objects replicated and

2. The Greek statues of stone were most likely reproduced, since the majority of the copies that we see weren't produced by Greek populations but by Roman artists. Still, this way of doing, which implies the same constructive technique, doesn't have the same implications as a technical copy – using, for example, a mold. For example, the Shinto temples in Japan, which are reconstructed every twenty years. In sacred Japanese constructions of this nature, not putting in question the building's authenticity for however as many times as it has been "reproduced" throughout the last centuries, the materials are not strictly the same, but the method and the intention are. In this case, the rite of reconstruction is equivalent to the rite of the primary construction of the building – a considerable difference between reproducing and reproducing technically.

3. It's important to stress that – not taking away the value of pure entertainment – the exhaustive repetition of narratives and lack of innovation are common facts in the production of a generous fraction of all contemporary cinematographic productions.

4. Even though the almost overlapping of works in those very filled up walls made contemplation difficult, I believe it to be legitimate that general public appreciation was one of the premises implied in the creation of the halls.

5. The first Great Exhibition (1851) happened in the peak of the British Empire's expansion, and it had an

exposed at this institution are free of a more profound meaning and were erected strictly to meet the practices and political ideologies of that time. Besides the fact that the exhibited copies are empty, there's another consequence of their nature: there's a prevalence of material evidence, while theory loses emphasis and relevance. This inevitably takes the visitor – the being in formation – to project these creations as distant and exotic. Replicated and non-contextualized pieces are understood as something exterior to the visitor more easily, created in a far-away land by a distant community. *The others* are projected in these pieces, the ones that belong to the *periphery*, while the visitors of the V&A Museum put themselves in the *center*. There's a detachment that, when not properly and theoretically contextualized, creates segregation between the community being "educated" and the *other* – a third party from a distant land or culture, whose materialization of rites and traditions is technically reproduced and located within London.

Let's focus on another example.

In 1893, by royal decree, the Portuguese Ethnographic Museum was founded. This institution was later on installed in the Jerónimos Monastery with the name it has had until today – the National Archeology Museum. Leite de Vasconcelos – founder and first director of the institution – made his intentions clear. His goal would be to create a permanent exhibition composed by objects from all periods of time, according to the author, this would further and strengthen the character and life of the Portuguese population («Serviço de Inventário e Coleções», n/d)

The intention of knowledge dissemination was supported by the creation of the magazine *O Arqueólogo Português* (The Portuguese Archeologist), founded by himself and still edited today<sup>6</sup>. In the museographic context, the pedagogical part would be present through the presentation of historical and ethnographic artifacts combined with a title or a small written contextualization. In current days, the National Archeology Museum is one of the most important institutional authorities not only due to the relatively big reach of its archive – partly because of its localization in the country's capital – but also because it does an important job in the conservation of its collections.

It wouldn't be too bold to assume that some work's conservation conditions can't be replicated in an expositive context. I won't go that far. Would it be legitimate to make a copy of a piece during the inevitable time in which it has to be away from the public for a conservation intervention?

It is possible to argue that, with the replicating act being separated from the meaningful creation act, the aura of these objects would be put into question. There is, however, a previous instance – an intervention in the existence of the object that threatens immediately the legitimacy of the contemplation of what's before us.

*In situ* and *ex situ*

We are now able to consider that there are two different methods to understand and assimilate archeological objects. On the one hand, *in situ*, a method that has expanded with the qualification of archeological spaces with legally protected monuments, and on the other, *ex situ*. This one is in accordance with the archeological methodologies already presented in this article. The act of taking an object from the context in which it was found to a center of investigation/museological institution (generally located in great cities) where it can be properly studied in order to get information such as an approximated date of production, to identify materials, etc... We can't argue here that this is necessarily a wrong procedure. However, considering the centralization of these institutions in great metropolises, the only two options seem: either one questions the aura of the object, or one leaves it in its proper environment, in which it will inevitably deteriorate.

Let's make the framework a bit clearer and focus on the prehistoric archeology area. One can divide the elements that are part of this age's patrimony into movable artifacts (tools, little votive objects) and immovable artifacts (menhirs and dolmens). The first, even though framed in proper museography, are particularly distanced from its production and rites, which is implied because of intervention from the curatorial team and museum visitors. When it comes to prehistorical immovable patrimony, we can't say the same since it's not expected to be moved – unless for some type of reconstruction – from the place and context where it was found.

Only in the past years could one see an intention to conjugate historical objects with the place. Even though in an urban context, Lisbon's Roman Theater Museum – reopened in 2015 (Pimenta, Fernandes, Calado, Fragoso, & Filipe, 2021) – is a good example in which the visitor has the opportunity to contemplate what's left of a classic construction, in terms of the physical space, something that will make it easier to rightfully interpret the artifacts arranged in the museum's expositive installations.

In a decentralized context – in Portugal, we find a bigger expression of archeological monuments in Central Alentejo – there's a curious phenomenon to say the least. Local communities (rural ones in particular) have a completely different interpretation of the prehistoric monuments. Catarina Oliveira, through a big number of interviews, was able to frame the importance of this type of patrimony at a social level.

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acknowledged connotation of consolidation and demonstration of the British Crown's power.

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Megalithic testimonies made this author elaborate a discourse able to give adequate relevance to the megalithic phenomenon in the scope of cultural identity (Oliveira, 2001). Throughout her thesis, Catarina Oliveira shows how time and space perception – space that, in the Alentejan landscape context, is frequently marked by megalithic monuments (in the current days we know some hundreds of examples of this type of patrimony) – are responsible for the structuring of the community's collective memory. There's not necessarily a narrative union: "*collective memory is ahistorical*" (Eliade, 2020). For this reason, regardless of the existing popular sources (certain testimonies credit the Romans, other the Arabic, Iberic communities, etc.) what's relevant to point out is that there's an active role in the definition of rural communities in Alentejo.

The testimonies collected by Catarina Oliveira, mostly in the 1990s, were given mainly by people with old age. In a contemporary age even more digital and centralized, would it be possible to have the same perspective? It is possible to verify, in the past years, an effort to maintain the megalithic memory and tradition alive. It is worth mentioning the work that's been done by interpretative centers, like the one in the Almendres, founded in 2019. Located next to the access to the megalithic compound that encloses some of the biggest prehistoric Iberic monuments (formed by approximately one hundred menhirs), this institution is the main promoter of workshops and activities responsible for maintaining the megalithic tradition and contemplation alive.

#### 4 FINAL REFLECTIONS

I started the present document pointing out the need to revise the museological question and now I end with a note of preoccupation and lack of hope.

Throughout the first chapters, I tried to rightfully understand a part of Walter Benjamin's work, namely his postulations about authenticity, aura and the decline of it. The political practice, that according to the author would substitute the ritualistic component of creation, is verifiable also in the exposition context (Benjamin, 2008).

There can be, however, something to point out beyond the strictly political connotation in the museological context. I proceeded with a short quest through the premises that are the root of one of the biggest contemporary museological institutions – the Victoria & Albert Museum. I tried to compare this last one with an institution whose field of operation meets our interest – archeology –, the National Archeology Museum. I found clues of a strong intention to disseminate knowledge and tried to catalog some clues of a pedagogical component.

Starting from these two points, it was possible for us to draw conclusions in relation to the legitimacy

that these institutions have in: 1) displaying replicas of historical artifacts; 2) showing objects that are separated from their natural environment. I considered that, with the exhibited objects aura being directly threatened, there's a possibility of exotification of certain distant communities – physically and culturally – as creators of those same artifacts.

Lastly, I noted and highlighted the role of interpretative centers constructed in situ and how these would be the most reliable agents of perpetuating the contemplation of the megalithic patrimony (from the smallest votive artifact to the great menhirs that stand and dialogue with Alentejo landscape).

There are still, however, two aspects that one could not surpass or understand in this paper. First, how to solve this proposed exotification. The lack of contact of urban communities with this type of monuments – as well as a progressive centralization of political and decisive power in the great metropolises – may lead to neglect and potential degradation of megalithic patrimony. Maybe a bigger effort in terms of communication would be the solution. The great institutions would have to be in constant dialogue with decentralized entities in order to suppress the experiential gap between urban and rural communities.

Second, an analysis of museological practices like the one we tried to elaborate would have to be of an international nature. The roots of the museum as we know it are European. One cannot dare to directly propose new ways of thinking, drawing and experiencing the museum without making an approach like the one made here: through studies made on the field, reaching the communities that are close to the artifacts in exposition – in all the different contexts outside of European territory.

These are the next steps to follow in the continuation of the present analysis – a search for a non-stopping dialogue that does not subdue or exotify and a search for an understanding of exposition practices that meet the intercultural globality that we experience in the current days.

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