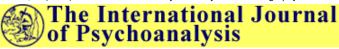
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The Contribution of Psycho-Analysis to the Biography of the Artist—A Commentary on Methodology¹

David Beres, M.D. 10

I. PSYCHO-ANALYTIC BIOGRAPHY AND LITERARY CRITICISM

Biographical reconstruction is an inherent aim of the psycho-analytic process, and psycho-analysis as a genetic psychology is in essence a science of biography. In the clinical situation the focus is the biography of the patient, the reconstruction of the repressed events of his early life; in the application of psycho-analytic methods to the study of the life of a great man there is a similar interest in the reconstruction of aspects of his life that would not be available from an ordinary biographical study.

There is no unanimity in literary criticism about the value of biographical studies of artists, and in some quarters there is an actual aversion to the biographical approach. But whatever differences of opinion may exist, it is a fact that modern literary criticism includes among its techniques biography, psychology, and also psychological biography. Evidence of this is to be found in the review pages of any literary journal and in the increasing number of psychological studies by literary critics.²

Psycho-analysis cannot avoid its portion in the general interest in biography, and offers, as I propose to show in this paper, an instrument of particular sharpness and precision with which to scrutinize its psychological aspects. There is much to be learned from the life of a great person and there is an undeniable fascination in the study of such a life. The psycho-analyst, like any other scientist, is a man with curiosity, directed in his case to the working of the mind. To the curiosity he adds psychological insight and scrupulous application of the tools of his skill.

It is an inevitable step from the study of the dream and the fantasy to the study of the creation of a work of art. The biography of the artist is a prelude to the study of imagination, because in the artist and in his work we are vouchsafed insight into thought processes and fantasy formation to a degree rarely possible elsewhere.

The analyst, like any other biographer, must guard against identifying himself with the object of his study and keep in mind his aim—the elucidation of the relation of the artist's life to his work. Freud was well aware of this danger, and in *Leonardo da Vinci* he warned the biographer against idealizing his subject in order to gratify an infantile fantasy, such as the revival of the infantile concept of the father (23, p. 130). Of course there is also the opposite danger, ironically evident in some popular biographies of Freud, in which the biographer displaces his unconscious hostile feeling on to the subject of his biography.

Although there is not, even among psycho-analysts, complete agreement that the understanding of the life of the artist will give us a better understanding of his work, I assume this for the sake of my argument. The next question is, what precise contribution can psycho-analysis make to the further elucidation of the relationship of the artist's work and life? We are not merely seeking to apply psychological insight—that has been done for centuries; we are seeking to apply psycho-analytic insight.

It becomes necessary, then, to determine the relationship between other contributions and those of psycho-analysis. What can an analyst add to the biographies by non-analysts? To

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¹ Read in part at the Fall meeting of the American Psychoanalytic Association in the Panel on 'The Biography of the Artist', Ernest Kris, Ph.D., Chairman, New York, 8 December, 1956.

² Leon Edel, the biographer and editor of Henry James, gives in his new book, *Literary Biography*(16), a sober and balanced discussion of the use of psycho-analytic concepts in modern biographical studies.

³ For a contrary opinion see Otto Rank.

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what extent does psycho-analysis illuminate and enrich our understanding of the artistic act and the faculty of imagination? What are the limits of its usefulness?

The history of literary criticism reveals that only in the last 150 years has there been a manifest realization that for a fuller insight into the work of art it is important to understand the personality of the artist.

The development of this new attitude toward art was part of the development of the awareness of the importance of the individual. This awareness appeared in political and sociological thought as well as in artistic and scientific areas. In the artistic area, it flowered as the so-called Romantic Movement, which also had a profound influence on the development of psychiatric thought in Germany, France, and England. The great interest of the romantic poets in dreams, childhood, mental disturbance and emotions presaged much of current dynamic psychiatry. I refer here, for example, to the writings of Rousseau, Coleridge, and Goethe. Further, romanticism established a change in the

attitude toward art. As Abrams brings out in his book (Chap. 3), ⁴ art was no longer regarded as a 'mirror' of nature—reflecting either the actual, the ideal or the transcendental image—but rather as the 'lamp', the expression of emotions, the communication of the self.

In the history of psycho-analysis, also, we find that from the very beginning there has been an interest in the relationship between the work and the mind of the artist. Already in his early letters to Fliess, Freud applied his newly-formed concepts to literature and biography.⁵ In a letter (20, p. 224) in which he describes the oedipal complex, he refers to the *Oedipus Rex* of Sophocles and speculates on its relation to *Hamlet*:

I am not thinking of Shakespeare's conscious intentions, but supposing rather that he was impelled to write it by a real event because his own unconscious understood that of his hero.

In *The Interpretation of Dreams*, Freud carries his biographical speculations a step further and, using the biography by Georg Brandes as his authority, he relates the writing of *Hamlet* to the death of Shakespeare's father and the death of his son Hamnet (21, p. 264).

Now, in the 1930 edition of *The Interpretation of Dreams*, Freud stated in a footnote:

Incidentally, I have in the meantime ceased to believe that the author of Shakespeare's works was the man from Stratford. (21, p. 266).

Nonetheless, the reconstruction was retained in the text. There is no need to enter into the controversy about the identity of Shakespeare, but we are forced to question why Freud did not alter his interpretation of Shakespeare's creation of the character Hamlet to conform with his new conviction regarding the facts of the author's life.

II. MATERIALS OF PSYCHO-ANALYTIC BIOGRAPHY

The psycho-analyst has available two sets of data, the facts of the artist's life and the works of the artist. Psycho-analysts have used these data in various ways, which fall into two broad categories:

- 1. (a) the reconstruction of specific experiences of the artist's life, including both infantile and later experiences; (b) interpretations of conflicts and pathological reactions; and
- 2. generalizations about the 'artistic personality' (which are not to be confused with speculations about the personality of a given artist).

Let us examine first the use of the facts in the artist's life. The psycho-analyst may attempt from his analytical experience to reinterpret the significance of these facts: for example, the lameness of Byron or the psychotic episodes in the life of Van Gogh. At this point there are two possible pitfalls. First, the psycho-analyst must be on guard that the 'fact' he is using is not merely a myth, and second, when he does offer an interpretation he must distinguish between its plausibility and its certainty.

The psycho-analyst is here dependent upon the literary scholar for letters, documents, and memoirs, and he is subject to the errors which may exist in the material he uses. It becomes at once apparent that not all artists are equally suitable as subjects of biographical study. There are those like Coleridge and Gide, whose voluminous letters and memoirs afford detailed data for comparison with their artistic productions. Others have had a great deal written about them by contemporaries—for instance, Samuel Johnson by Boswell, or Goethe by Eckermann. The most

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difficult to study are those whose persons are clouded in obscurity—Shakespeare, Homer, or the authors of the Bible.

The psycho-analyst must be cautious in his use of letters, memoirs, autobiographical novels, such as Proust's *Remembrance of Things Past*, or Joyce's books, and even actual autobiography, in so far as all these may have the quality of screen memories. It is wise, in fact, to beware of the too-conscious confession of the artist, wherever it may appear. This has in recent times become a special problem, because the diffusion of psycho-analytic concepts has introduced into artistic productions what is often a preconscious or even conscious imitation of depth as conceived or misconceived by the artist. Witness in this regard the profusion of stereotyped abstractions in painting or obscurantist poetry. The failure to distinguish the conscious and contrived imitation of a stereotyped symbol from the spontaneous id-derivative can lead to serious error.

Similar caution must be exercised in the use of already existing biographies. Too often the lives of great men are surrounded by fantasies and fables which readily find their way into biographical studies and which psycho-analysts use as verification without first checking on the facts. Kris (39) has dealt with this question in his paper *The Image of the Artist*, describing especially the recurrent formula, almost a legend, of the artist's life, which consists of two parts—the social ascent of the artist from humble origins, and the discovery of the child-artist's gifts in a dramatic setting.

The second set of data available to the psycho-analyst, namely, the creations of the artist, also presents methodological pitfalls. The most important of these corresponds to the danger of 'wild analysis' in clinical psycho-analysis, and is the hallmark of the over-zealous

⁴ I have made free use of M. H. Abrams' book, *The Mirror and the Lamp*(1), and I am deeply indebted to the author of this scholarly work for details of historical fact.

⁵ For summaries of Freud's writings on art, see Sterba (62), Arlow (2, Chapter 8), and Fraiberg (19).

non-analyst who has discovered psycho-analysis but has failed to realize the stringent requirements for its proper application.

The direct interpretation of the latent meaning of a work of art, as in the case of the dream, may be attempted under certain circumstances. Freud has adequately demonstrated the limitations of dream interpretation unless the associations of the dreamer are available, but he has also indicated the importance of the symbolic content of dreams which may not evoke associations from the dreamer. Here the knowledge accumulated by psycho-analytic experience of the constant relation of certain symbolic expressions to their underlying meanings, confirmed by studies in language, anthropology, mythology and folklore, permits the use of this knowledge, in certain instances, for the direct translation of the symbolism, independent of the dreamer's associations (25, Chapter 10; and 21, p. 342). Clinical experience with what Freud has described as typical dreams is especially important as evidence of this constancy and universality of the meaning of certain symbols.

The application of this knowledge of the constant meaning of certain recurrent symbols would seem, then, to be valid in the search for the hidden meaning of the artist's imagery. But if this meaning is to be applied to the reconstruction of the details of the artist's life, or to the delineation of his personality, it remains necessary to validate the conclusions by corroborative evidence from other sources, either other works of the artist or documented biographical data.

In this connexion, also, it is necessary to keep in mind the complexities of symbolism that have occupied psycho-analytic research. Jones (36), for instance, distinguishes true symbolism from other forms of indirect representation. The allegorical or metaphorical representation that is conscious or preconscious has a different significance from the symbol that hides a meaning not directly available to consciousness, that is, the repressed content. This applies equally to the clinical manifestation in dream or speech, and to the creation of the artist. I do not intend to deny the rich and important contributions to the theory of symbolism by literary scholars and philosophers, but I affirm that the psycho-analyst, by his elucidation of unconscious mental processes, achieves a new understanding of symbolism untouched by other approaches.

The reconstruction of specific experiences in a psycho-analytic biographical study takes a number of forms. It may consist of the reconstruction of infantile experiences, the reconstruction of experiences from later life, or the demonstration of the artist's conflicts, with or without co-existing pathological reactions. There is a similarity in reconstruction in clinical psycho-analytic technique (28) and in a biographical study. In both, the process is slow, laborious, sometimes tedious, and often exciting. There is no short cut if the aim is to establish what is specific and what can be verified.

In an early paper, Freud stated that it was possible for psycho-analysis to 'conjecture with more or less certainty from an artist's work, the intimate personality which lies behind it (24, p. 179). The creations of the artist are related to his life experiences, both to actual events and to childhood fantasies. Out of these, in reaction to current conflicts, come the images which appear in his creations.

Rickman (53) expresses a similar thought: 'The artist cannot take us where he himself has never been.' There must be agreement that these statements are true in a general sense; the test is their application to the specific experience. The difference that must be recognized is between a generalization which may be true of all men, and a specific detail which gives individuality and significance to the one person.

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Further difficulties arise from the fact that the psycho-analyst may make assumptions which cannot be proved or which are so vague as to be of limited value. This applies especially to many of the studies on Shakespeare. For example, Ella Sharpe (60), in a study of *Hamlet*, would explain the build-up of tension and discharge in the play as a catharsis which she equates with 'a basic dynamic psycho-physical situation of the infant poet-to-be, one in which he was furiously angry and furiously evacuated his bowels.'

Sharpe has applied to the study of Shakespeare her theory that repressed psycho-physical experiences are expressed in metaphor and that metaphor gives information concerning instinctual tension (58). From the dramatic situations, the content of the speeches, their imagery and metaphor, and the characters of the plays, Sharpe deduces the details of Shakespeare's life and personality. She sees in the plays a cyclic movement that parallels Shakespeare's emotional states (59). She tests some of her conclusions by reference to available facts of Shakespeare's life, but she admits that others cannot be verified.

The assumption which equates every image in an artist's work and every situation in his narrative with an actual experience in his life is not warranted. There is an alternative explanation which, in the case of Shakespeare for example, does not deny the importance of understanding his personality and of attempting to reconstruct the details of his early life, but also does not call for speculation about unproved, unprovable, and perhaps irrelevant details of his infantile period.

I refer to the capacity of an artist to identify and empathize with different emotional states and experiences which he need not have gone through in actuality, though he may have lived through them in fantasy, either consciously or unconsciously. There is a parallel here to Freud's early assumption that psychoneurosis was based on actual seduction in childhood and his later recognition that the child's fantasies and the ensuing conflict could be adequate aetiological factors.

The capacity to identify with another's experience may be a primary requisite for any true artist, an essential component of his personality and indeed a measure of his greatness. It is a quality that the psycho-analyst must share with the artist in order to function in his own area, and this may be one reason why psycho-analysts have always been so deeply interested in art and the artist.

III. ART AND NEUROSIS

The reconstruction of specific experiences in the life of the artist leads often to evidence of conflict or of psychopathological reactions, and it may include many details of neurotic or psychotic behaviour. The problem here is to establish the possible relationship of this behaviour to the artistic creation. Some authors have even attempted to deduce from an artist's work the existence of a specific neurosis or psychosis.

It is a frequent error in both analytic and non-analytic writings to assume that psycho-analysis equates art and neurosis. Most generalizations on the 'artistic personality' are based on the assumption of certain underlying pathological tendencies at the root of artistic creation, and the term 'pathography' has often been applied to psycho-analytic studies of the lives of artists. I have carefully avoided using this word because I believe it creates a false impression that art is necessarily allied to neurosis.

In his famous passage in the *Introductory Lectures*(25, p. 327), Freud points out that 'the artist has also an introverted disposition and has not far to go to become neurotic.' But note that he does not say that the artist *is* neurotic.

There is a tendency to create a stereotype of the artist, to confine his personality within a fixed pattern. This tendency has also operated within psycho-analysis. Usually the proponents of this view apply a single psycho-analytic formula, a pathological label, to the artist or his work, to explain the motivation of the artist, and even the significance of the aesthetic response; in the background is the question: Will psycho-analysis of the artist destroy his capacity to create?

Thus Lee (45) sees the production of art not as a sublimation, but as a device to 'relieve acute psychological emergencies'. He sees 'neuroticism' as a quality not only of the artist, but also of the 'art-sensitive' person (46). The mental organization of the artist is 'emotional immaturity, exquisite narcissistic character, maladjustment to life, and recurrent neurotic depressions.' (46).

Bergler also supplies a definite formula for the psychic structure of the writer. He finds that the artist is pregenitally fixated (6), (7), (8), and argues against studies that have pointed up the oedipal conflicts in the artist. He questions whether the artist gives expression to his unconscious wishes; rather, the artist expresses 'exclusively' secondary defences against these wishes.

There is, of course, universal agreement that various unconscious factors operate in the personality of the artist and in the motivation of his artistic activity. These include oedipal and preoedipal conflicts, anxiety, guilt, masochism, procreative wishes, as well as other psychic functions that might be listed. What must be questioned is the designation of one group of factors as the explanation of the artist's personality. Sachs describes as the two main unconscious aims of

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the poet 'the relief of his guilt-feeling and the replacement of his narcissism' (54, p. 51), but he did not develop this into a formula to be applied to all artists.

Kris, in his various writings, has frequently raised the question of the personality of the artist and considers it to be still an unsolved problem. In his Freud lecture (43), Kris discusses such factors as traumatization in early infancy, the peculiarities of defence (especially the flexibility of repression), the bisexuality of the artist, 6 the passive receptivity characteristic of the inspirational phase (with its homosexual implications), and finally, the capacity for sublimation, the emergence from conflict. Kris writes:

The work of art may give a modified expression to ... id impulses, or they may be perceived as dangers; the work of art may then serve as defence. Mostly, it serves both functions at the same time.

Lowenfeld (48) believes that 'susceptibility to trauma, a strong tendency to identification, narcissism and bisexuality in the artist are related phenomena', and he postulates a 'traumatophilia'. He considers that there is in artists a frequency of neurosis that may be explained by their heightened bisexuality, but, he adds, 'they are spared neurosis to the degree that they succeed in overcoming their conflicts through artistic sublimation.'

Under these circumstances the contribution of psycho-analysis to the biography of the artist becomes the effort not to fit him into a single psycho-analytic formula, but rather to apply to him the complex concepts of psycho-analytic psychology—structural factors and their interaction, id, ego, and superego functions, the relation to reality and cultural factors. As Coleridge, in another context, said in 1799: 'But do not let us introduce an act of Uniformity against Poets.' (*Collected Letters*, Vol. I, p. 279.)

Certain generalizations, which have already been indicated in part, may justifiably be applied to the artist. But as soon as one changes the angle of one's vision, a new facet appears, no less demanding than the others. So, for instance, may be noted the important unconscious determinant, art as magic control, a point developed by Kris (41). The urge to create becomes, as Kris notes, a protection against the fantasy of total destruction.

The writings of British psycho-analysts have particularly emphasized the restitutive function of art. The artist, according to Ella Sharpe (57), 'orders aggression into rhythm again'. Including scientists with artists, she says 'their works are loving reparations'.

H. Segal (56) reverts to a monogenetic characterization of artists when she says that in the unconscious of all artists 'all creation is really a re-creation of a once loved and once whole, but now lost and ruined object, a ruined internal world and self.'

Viewed as a restitutive activity, art also takes on a self-healing function for the artist. Kris (42) describes this process in his analysis of the psychotic sculptor Franz Xavier Messerschmidt. Here a clear distinction must be made between the sublimated function of an artistic activity and its use by a neurotic or psychotic person to achieve some corrective influence—contact with reality, magic control, discharge of instinctual impulse or symbolic object-relationship.

Freud was aware of the confusion that could follow from the emphasis on the common origins of art and neurosis, and he took care to point up the differences between them (27, p. 118):

The artist, like the neurotic, has withdrawn from an unsatisfying reality into this world of imagination; but unlike the neurotic, he knew how to find a way back from it and once more to get a firm foothold in reality.

That Trilling (63, p. 42), a literary critic with a keen awareness of the significance of psychological and psycho-analytic factors in art, can conclude that 'Freud speaks of art with what we must indeed call contempt', is an indication of how grievously the writings of Freud have been misread. I have chosen to quote Trilling in this connexion because I believe his writings on psycho-analysis and art to be, for the most part, among the best expositions of the subject by a non-analyst. This makes his statement all the more remarkable. In another essay,

'Art and Neurosis' (63, p. 160 ff.), Trilling presents a point of view that is closer to the one I offer. In the latter essay (p. 161), he says, 'Freud, by the whole tendency of his psychology, establishes the *naturalness* of artistic thought.' (Author's italics.) With this I am in full agreement. But the conception that Freud denigrates art is widespread. So, to take the example of another author, Hyman, in *The Armed Vision*(34, p. 144), believes that Freud's early writings tend to establish the artist as an infantile neurotic, while his later writings recognize the artist 'as a neurotic *plus* his art'. (Author's italics.)

The qualities that distinguish the artist are not his specific conflicts—his oral fixations, his oedipal or preoedipal conflicts; they are, rather, his gifts and his capacity to sublimate his instinctual drives. The artist is a person who has unusual ability to perceive and express, to realize an image, a thought, or a fantasy, and the need to communicate to others what he has

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created. Art is a function of the human psyche, not a neurosis, though both art and neurosis may, as Freud has shown, have a common basis. Art serves a basic human need. All men may feel and suffer conflict, but not all men can transform these feelings and conflicts into an external production—a work of art—and give to this production the attributes of beauty and pleasure. Coleridge said on this point: 'All men are poets in their way, tho' for the most part their ways are damned bad ones.' (*Collected Letters*, Vol. II, p. 768.)

IV. EGO FUNCTION AND REGRESSION IN THE ARTIST

The presence in an artist of a neurosis or psychosis does not necessarily mean that his artistic creation is directly related to the neurosis or the psychosis. To demonstrate that an artist has suffered a neurosis or a psychosis, or that he experienced certain conflicts, is not sufficient for an adequate study of his life and art. It is still necessary to demonstrate the relationship of the artistic creation to the illness.

Freud, in his characterization of the artist as possessing 'a certain flexibility in the repressions' (25, p. 329), has provided an important key to the nature of the psychic activity of the artist. This flexibility is discussed by Kris (42, p. 25) in terms of the relationship of ego and id, and is expressed as 'the capacity of gaining easy access to id material without being overwhelmed by it, of retaining control over the primary process, and ... the capability of making rapid or at least appropriately rapid shifts in levels of psychic function.'

The analyst must distinguish between a spontaneous regression to the primary process and a contrived and conscious simulation of primary process. Regression is only one part of a bi-phasic process in the production of art. There remains the need, to use Coleridge's famous phrase, to 'tame the chaos'. In psycho-analytical terms, Kris has described this phase as the phase of elaboration in which the ego asserts its control. Without this, one may question if there is a true artistic creation; there is only the dullness of chaos. Meyer Schapiro, in an introduction to a volume of Van Gogh's paintings, speaks of the 'monotony of uncontrolled emotion' (55, p. 34), and points out how 'pictorial intelligence, in clarifying the form, strengthens also the expression of feeling.'⁷

The problem at this point is to determine how in the one person there may co-exist a severe neurosis or psychosis, and the capacity to create a work of art. Two recent developments in ego psychology are particularly pertinent to these considerations; one is the concept of dissociation of ego functions; the second is the concept of transformation in mode of energy in sublimation, the theory of the neutralization of instinctual energy in the process of sublimation.

Glover (29) develops the concept of dissociation in terms of his theory of primitive ego nuclei and their integration by the synthetic function. He postulates that in 'given conditions of emotional stress, causing acute or chronic regression, the ego tends to split again, and to permit a pathological amount of expression to those nuclei which, for reasons of early conflict and fixation, are ready to occupy the approaches to consciousness.' It is to this process that he applies the term 'dissociation'. Clinically this would mean that in certain pathological states some ego functions appear in a regressive form while other ego functions remain normal. I have applied this concept to a study of ego-deviant children (4), in which I have tried to demonstrate the value of viewing the ego strictly in terms of its separate functions and of examining in a given child the variations in degree of disturbance that may exist in the different functions.⁸

The application of the concept of dissociation to the problem before us, the relation of the artist's psychopathology to his artistic creation, is in the recognition that the ego of the artist may function differently in different areas, both at a given moment or in different periods in his life. How, for instance, shall we reconcile Beethoven's disturbed life with its paranoid object-relationships, and the freedom, the tenderness, and the humanity of his music? The Sterbas (61), in their book *Beethoven and his Nephew*, offer a psychoanalytical interpretation of the events of Beethoven's life. They suggest that:

Study of the ego has shown that it is capable of isolating from one another different areas and possibilities of expression for a psychological conflict. The result of the conflict may be entirely different in different areas. We must assume that the same conflict which remains irresolvable in the life of the creative genius—and indeed in Beethoven's case led to his death—can be brought to an entirely different issue in a different area of ego-activity, that of artistic sublimation (p. 307).

Pappenheim and Kris come to a similar conclusion when they comment that 'the search for genius in the insane has become fashionable. Clinical experience, however, demonstrates that art as an aesthetic—and therefore as a social—phenomenon,

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⁶ A point discussed by Coleridge in Table Talk, 1 September, 1832: 'The truth is, a great mind must be androgynous.'

⁷ Bychowski (11) discusses this question in a paper which emphasizes the ego activity in artistic creation.

⁸ These considerations apply also to functions of the superego.

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is linked to the intactness of the ego.' The artist has the power to evoke the primary process, the momentary chaos—even, if one will, the momentary madness. This, I think, is an important characteristic of the romantic artist, as may be seen, for example, in Goya's *Caprichos*. It is apparently the primary process content of these drawings which leads Reitman (52, p. 150) to state that they are 'pathognomonic of schizophrenic experiences', a conclusion which is not supported by the evidence he presents. The study of Goya's *Caprichos* by Jose Lopez-Rey (47) treats these works rather as efforts at social comment, influenced by the contemporary interest in dreams, and in human dignity and reason. They are bitter caricatures, as also were Goya's etchings, *The Disasters of the War*.

Kris (40) discusses changes which psychotic processes may produce in artists. He indicates that to the extent that the artistic ability remains unimpaired and no relevant changes occur, the creative activity is not part of the psychotic process. From the considerations I have presented, I would agree with this conclusion, tentative as it may be, and assume that in so far as an artist who is neurotic or psychotic does create something of artistic value (however this may be defined by aestheticians), the creative act is performed by ego functions that have remained intact despite the presence of disturbance in other functions that manifest themselves in neurotic or psychotic symptoms. Nor do I mean to neglect the influence which the conflict, the neurosis or psychosis may have on the intact ego functions.

We have here a problem that must remain, for the present, unsolved, and that depends for its elucidation in part on further studies on sublimation, especially the nature of neutralized psychic energy. Hartmann (33) and Kris (44) have clarified the significance of energy transformations in the sublimatory process. In a given instance of creative activity it becomes important to distinguish between the discharge of non-neutralized instinctual energy and the use of neutralized energy by the ego. It is not yet clear to what extent such a distinction can be made, and to what extent in every work of art there is an intermixture of neutralized and non-neutralized instinctual energy.

Both Hartmann and Kris have demonstrated that sublimation and neutralization are not identical and do not necessarily run a parallel course. Displacement of goal, change of aim, may take place with or without the transformation of the mode of energy from the non-neutralized to the neutralized state.

Finally, there enters into the problem of sublimation the significance of talent, which psycho-analysis is now approaching by way of investigation of ego capacities and autonomous ego functions (42, p. 20).

V. SOME APPLICATIONS AND MISAPPLICATIONS OF PSYCHO-ANALYTIC BIOGRAPHY

An important aspect of the question of the contribution of psycho-analysis to the biography of the artist is the interchange between analysts and non-analysts of the knowledge of psycho-analytic concepts. On the one hand it must be remembered that a biography by a psycho-analyst is not necessarily a psycho-analytic biography; on the other hand, the free use of psycho-analytic terminology by non-analysts does not necessarily make for a psycho-analytic study. A valid psycho-analytic study demands that certain standards, which have been developed over the years in psycho-analytic practice and theory, be maintained. A psycho-analytic exploration of art should use the tools and the language of psycho-analysis, but in entering this different, though related, field, psycho-analysis must recognize its specific place in a communal problem and the limitations of the contribution it can make.

Psycho-analytic concepts have by this time entered into the vernacular, and what was vigorously rejected a few decades ago is now common knowledge. Though this knowledge has been used unevenly by non-analysts—as, indeed, by analysts themselves—the serious attempt to find a common basis of interest and activity between analysts and literary scholars deserves to be encouraged.

The faults of studies by non-analysts (and they have not always been avoided by analysts) are several. One fault is making constructs which are generalizations applying to all persons; for instance, that the poem or play depicts an oedipal or preoedipal conflict is not a great addition to our understanding. Another is demonstrating the unconscious meaning of a creation, and the fact that the artist suffered from a neurosis or psychosis, without, however, proving the inter-relation of the two. A third possible fault is psychologizing about vague abstractions such as life, death, sin, or redemption.

In connexion with the latter, Jung's theories have achieved special prominence in literary criticism. The attractiveness of Jungian psychology to the literary dilettante in psycho-analysis may be attributed to Jung's denial of the importance of the specific aspects of the psychic structure. He treats art as an unfathomable phenomenon, a 'vision' that is 'a genuine primordial experience' and 'a deeper and more impressive experience than human passion'. He

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provides a concept of the 'collective unconscious', from which the 'vision arises', and he thus frees the artist from contact with the forces that make up that part of the human psyche contained in Freud's concept of the repressed infantile instinctual forces. The artist or the critic is in a position then to talk glibly of 'The Unconscious', but to remain isolated from it. This approach, in effect, takes us away from the biography of the artist; the artist becomes the passive carrier of a mystic universal force. According to Jung, 'great poetry draws its strength from the life of mankind, and we completely miss its meaning if we try to derive it from personal factors' (37).

There has been considerable progress in psycho-analytic theory which to a large extent has not reached the non-analysts who use psycho-analytic concepts in their field. Thus there has been a change of emphasis from the topographical aspect of psychic functioning to its structural aspect, the shift from 'id' psychology to 'ego' psychology, with the recognition of id, ego, and superego relationships. The

⁹ For a more detailed discussion of Jung on art, see Edward Glover (30).

more recent psycho-analytic concepts do not neglect the important considerations of unconscious, preconscious, and conscious mentation, but they consider them in relation to the concept of the structure of the psyche.

These changes are reflected in the changing applications of psycho-analysis to the study of art and artists. An example is the issue of 'depth'. It is sometimes assumed very quickly, for instance, that reference to homosexuality or necrophilia in an artist's work is evidence of 'depth'. But this need not be the case. If the artist is consciously aware of these tendencies and states them consciously and explicitly, there is little value in restating them. We are more likely here dealing with the defence of depth, a defence that becomes more prevalent as the knowledge of psycho-analytic concepts is more widely diffused. The artist who supplies us with autobiography or introspective creations is most likely to trap the biographer. What we must seek is the meaning behind the confession.

Another point to be clearly remembered is that the biography of an artist must consider his relation to his social milieu, and this would include his conscious use of the symbols presented to him by his environment. One must distinguish between the conventional use of symbols and their specific individual significance. As Gombrich (31) points out, art can only become articulate through the symbols presented to the artist by his age.

Psycho-analysis assumes that the image, symbol, or fantasy of the adult mind is related to the child's image, symbol, or fantasy. The child attempted by these creations to understand and master the world about him and his own instinctual drives that were in conflict with the adult world; and they are reactivated in adult life when the conflict reappears. This is the basis of the recurrent themes in the imagery of the patient in analysis, in the work of the artist, and in the myth of folklore. It is this relationship between child and man that claims our attention.

A useful example of psycho-analytic biography is the study of Edgar Allan Poe by Princess Bonaparte (10). She offers a wealth of material which, by the recurrence of certain themes and the correspondence to the facts of Poe's life, supports her assumption of the unknown details of his childhood. Princess Bonaparte's study does not present all of her conclusions with equal conviction, and many of her interpretations must remain assumptions that may in time be confirmed by the uncovering of new factual data. Indeed, in some instances her assumptions may point the way to future literary research, or help to decide existing controversies over details.

Another example of valid biographical reconstruction is Phyllis Greenacre's book on Swift and Carroll (32). Greenacre describes how she was struck by the similarity of the Gulliver and Alice fantasies to her clinical observations of fetishists with disturbed subjective sensations of changing size of the total body or of certain body parts. She set out to study the lives of these authors 'to see the relation of their lives and characters to the production of these remarkable fantasies' (p. 11).

Greenacre calls attention to the importance of determining the events of the first years of life and the nature of early family relationships (p. 12). In her study of Swift, Greenacre examines the ages at which similar or contrasting events occur in his and in Gulliver's story; she compares specific dates, she examines the conditions of Swift's life at the time of writing different parts of his fantasy travels, and she correlates the sequence and quality of events in the travels with certain events in the author's infant years (p. 63). Her reconstructive interpretations are specific, related to the evidence, and subject to further validation by newly discovered data (p. 106).

Similarly, in her study of Caroll, Greenacre reconstructs infantile events from a repetition of a theme. She brings together the available facts

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of Carroll's early life and family relationships with his preoccupation in adult life with problems characteristic of these early periods, and by applying psycho-analytic concepts of child development she reconstructs the deeper details. She succeeds in the limited objective of her study—the demonstration of the relation of the specific fantasies of distorted body image to the reconstructed infantile life experiences of Swift and Carroll.

In contrast is an essay by William Empson, who, in a study of Alice in *Some Versions of Pastoral*(17), comments that 'the books are so frankly about growing up that there is no great discovery in translating them into Freudian terms; it seems only the proper exegesis of a classic, even where it would be a shock to the author. On the whole, the results of the analysis, when put into drawingroom language, are his conscious opinions.'

Despite Empson's comment that an analysis would reveal only Dodgson's conscious opinions, he himself offers interpretations that include, for instance, birth fantasies and female identification. These interpretations are of a different order from Dodgson's own interpretations of some of his symbols, such as the Queen of Hearts, which he explained as a symbol of 'uncontrolled animal passion'.

It seems to me that Empson is wrong on two counts: first, that Dodgson was altogether conscious of the meaning of the symbols he created, and second, that the results of an analysis would yield only Dodgson's conscious opinions. The study by Greenacre indicates how much further an investigation by a psycho-analyst can go than the non-analyst believes possible.

My own interest has been in Samuel Taylor Coleridge, and others associated with him, and as an illustration of my thesis I should like to refer briefly to a study on Coleridge which I published several years ago (3). In this study I attempted a psycho-analytic examination of *The Rime of the Ancient Mariner*, and it would be instructive to consider if I have made any specific additions to the contributions of literary scholars.

The richness of the poem has led to interpretations which point up the themes of morality, repentance, expiation, imagination, creation, nature, and the importance of the individual man. These interesting and valuable studies, however, are predominantly in the area of conscious and preconscious psychic activity. They are allegorical representations, and have biographical significance only to the extent that they are related to consciously expressed thoughts that may be found in Coleridge's other writings, both prose and poetry.

Lowes, in *The Road to Xanadu*(49), gives us the most detailed examination of the sources of the imagery in *The Rime of the Ancient Mariner*, the preconscious impressions that Coleridge experienced in his wide reading. That Coleridge read of water-snakes in Dampier's

narrative of his voyages is a significant fact, but it is perhaps more significant that he dreamed of snakes. Similarly, the source of the figures of Death and Life-in-Death may lie in part in the Gothic romances of the time, but it must lie also in the repetitive dreams of frightening, destructive female figures that made a torture of his nights. Coleridge records, for example, 'a most frightful Dream of a Woman whose features were blended with darkness catching hold of my right eye & attempting to pull it out—I caught hold of her arm fast—a horrid feel.' The external experiences of the artist enter into the creative act to an important degree, but as the day-residues of the dream they are secondary to the unconscious stimuli, the repressed content, to which they are attached. The first is the province of the scholar, the second that of the psycho-analyst.

The few biographers and critics who have attempted to relate *The Rime of the Ancient Mariner* to Coleridge's life have usually done so tentatively and even apologetically, and at a level of interpretation lacking the specificity of psycho-analytic interpretation. Thus Fausset (18, p. 166) sees the poem as 'an involuntary but inevitable projection into imagery of his own inner discord.' To Fausset the poem represents in this context Coleridge's questioning of himself; 'how insecurely he lived beyond good and evil', and how 'troubled with the sense of a vital moral obligation which he could not meet'. Miss Coburn (12) sees the hold which the poem has on its readers in the fact that it 'comes deeply out of a troubled mind'. She says, 'Coleridge, though he has a vivid sense of the object, knows that self-projection is a fact.' Warren (64), in his essay on *The Rime of the Ancient Mariner*, agrees that there may be an important relationship between personal motivations and the poem itself, but for his purpose he prefers to place it in the background. Maud Bodkin (9) in her interesting analysis of the poem, recognizes in it expressions of deep feelings relating to early life experiences of the poet, and she postulates rebirth fantasies, but she sees these as part of a universal archetypal response, basing her conclusions on Jungian theory.

To these more general interpretations I suggested a more specific basis for the guilt so evident in the poem. From the imagery of the poem, Coleridge's

¹⁰ This evidence was not available to me when I published my paper on Coleridge in 1951. It is reported with other dreams in a recent paper by Kathleen Coburn (12). Miss Coburn is editing the Notebooks of Coleridge. The first volume was published in 1957. These Notebooks contain records of dreams, fantasies and other data which should prove of great value to the psycho-analyst in future studies on Coleridge and which afford a check on past studies. The Notebooks were, he wrote, 'my only confidants'.

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other writings, and the facts of his life, I postulated a profoundly ambivalent relation between Coleridge and his mother, his unconscious hostility, his unresolved infantile aggression, and his confused sexual identity. The albatross, I suggested, represented the ambivalently loved mother; the crime was the killing of the mother; the restitution, the restoration of the mother and the fusion with her in the symbolic Life-in-Death figure, the phallic mother-avenger.

In this light the factual details of Coleridge's life, available in many biographies, take on a different perspective. His early childhood, his later experiences, his relationship to women and to men, especially to Wordsworth, who collaborated in the writing of *The Rime of the Ancient Mariner*, became part of a unified pattern held together by the thread of unconscious conflict and fantasy and integrated with his poetry.

My conclusions were tentative and my study incomplete, for two reasons. First, because the study of a man's life is an inexhaustible theme, and second, because new evidence keeps coming in which calls for re-evaluation of old conclusions—for instance, the notebooks that I have mentioned, and also a new edition of Coleridge's letters, edited by E. L. Griggs (15).¹¹ But tentative as they are, I offer these conclusions as an augmentation from psycho-analysis of our knowledge of the poem and of the life of Coleridge.

VI. CONCLUSIONS

Whatever validity a psycho-analytic biographical study may have, it faces the insurmountable obstacle that it cannot with the tools of psycho-analysis go further than the stage of assumption or plausibility. The biographer does not have available what is essential in an analysis, the further associations of the patient or the response of the patient to the interpretation. The validity of the assumption in the biographical study rests on its plausibility, how it fits in with other available data, and how it will fit in with future studies. It is strengthened by the unity, the consistency, and the convergence of evidence.

Our deepest interest is in the nature of the creative process, which is also, as I have tried to show in another study (5), an essential component of the patient's activity in psycho-analysis and a basic factor in the development of insight and conviction. The study of the biography of the artist is important to the psycho-analyst because it leads to the study of imagination. Coleridge, who devoted much thought to the nature of imagination, saw his poetic gift in

... what Nature gave me at my Birth, My shaping Spirit of Imagination. 12

Was Freud too pessimistic when he said (26), 'before the problem of the creative artist, analysis must, alas, lay down its arms'? We are on the threshold of deeper discoveries into the nature of creativity, and Freud himself, more than any other investigator, has pointed the direction.

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  <sup>11</sup> Two volumes of the Collected Letters appeared in 1956, and cover only the years 1785-1806.
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