I I C A H

H A W A I I

The IAFOR International Conference on Arts & Humanities in Hawaii

January 06–09, 2022 | Honolulu, Hawaii, USA (and online)

OFFICIAL CONFERENCE PROCEEDINGS

"To Open Minds, To Educate Intelligence, To Inform Decisions"

The International Academic Forum provides new perspectives to the thought-leaders and decision-makers of today and tomorrow by offering constructive environments for dialogue and interchange at the intersections of nation, culture, and discipline. Headquartered in Nagoya, Japan, and registered as a Non-Profit Organization (一般社団法人) , IAFOR is an independent think tank committed to the deeper understanding of contemporary geo-political transformation, particularly in the Asia Pacific Region.

INTERNATIONAL

INTERCULTURAL

INTERDISCIPLINARY

iafor

The Executive Council of the International Advisory Board

The IAFOR International Conference on Arts & Humanities in Hawaii 2022

Official Conference Proceedings

ISSN: 2432-4604

Table of Contents

Thinking Outside the Zoom Box: Discovering Resilience, Innovation, and Creating Valuable Experiences for Ensembles During the Pandemic

Kira Omelchenko, Wilfrid Laurier University, Canada
Colleen Ferguson, Texas A&M University-Kingsville, United States

Abstract
This article provides readers with insights and strategies to tackle challenges of various remote and in-person large ensemble rehearsal situations, as well as hopefully inspires others to find the opportunities through the obstacles. The authors provide tips and strategies for creating innovative and cross-disciplinary projects and providing valuable experience for the ensemble students in virtual, hybrid, and socially distanced in-person educational settings. Strategies presented are gathered from the authors' first-hand experiences with their large orchestral ensembles (ranging from 50-70 students) during the pandemic. Finally, the authors provide insights on what has worked well, challenges faced, technologies applied, and lessons learned during the process. This paper also discusses various creative strategies to highlight collaboration and create a sense of community and belonging in a remote environment. Readers will gain ideas regarding unique teaching concepts for the music ensemble in the current environment including fully remote instruction, hybrid instruction, and in-person settings. Matters such as utilizing the audio Jamulus platform, engaging students in synchronous format, wellness for the instructor and students, finding value and motivation, and embracing technology will be explored throughout the article.

Keywords: Symphony Orchestra, Ensemble Remote Delivery, Online Music Instruction, Music, Performing Arts, Cross-Disciplinary Areas of Arts and Humanities, Innovative Music Projects

iafor

The International Academic Forum
www.iafor.org

Introduction

Teaching and delivering a large music ensemble during the 2020-21 Covid-19 pandemic year was a challenge and experience we will always remember. We had to quickly alter and adapt our curriculums and delivery formats for our respective large symphonic ensembles. This was something entirely new and to successfully navigate these challenges would require all of our knowledge, expertise, experience, and skill as musicians and educators.

When the pandemic caused us to cancel in-person classes and go online entirely, people immediately asked us, "What are you going to do?". "What *are* we going to do?", we constantly asked ourselves. We were looking ahead into the dark unknown with all eyes and ears open and waiting in anticipation for answers we did not immediately have. We were in a new and terrifying territory because we did not initially know what to do, and everyone we asked for feedback and ideas was also in the same situation. As conductors and leaders of our ensemble, we are often looked upon as a voice of reassurance, a physical model of confidence, and one who exudes confidence and knowledge of what's going on. During the pandemic we found ourselves bringing a voice of reassurance and calmness to our students. We extended compassion to friends and colleagues, but more importantly to ourselves. We discovered a strength inside ourselves that we did not know existed before.

Author Omelchenko was unable to have any in-person music-making during the pandemic. Instead of having in-person concerts with a live audience during the pandemic, she had to be creative with the ensemble outcomes and delivery of performances to an online audience. Omelchenko devised the "Orchestra Series," a series of virtual video concerts of the Laurier Symphony Orchestra which she directed, created, organized, edited, and published. The Orchestra Series is a virtual presentation of audio performances by the orchestra with videos created to accompany each piece of music. This series showcased musical works the orchestra had been working on during the year, shared their love of music with the community, and help viewers get to know the students in the orchestra through creative themed video projects. Omelchenko is truly grateful and fortunate to the student technology assistants for aiding during rehearsals and helping with technology such as Zoom and Jamulus. Throughout the body of this paper, Omelchenko shares her experience with the remote-delivery of her orchestra, creating virtual concerts, and tips for remote rehearsals utilizing Zoom and Jamulus.

Author Ferguson was able to hold fully in-person rehearsals with her ensemble and to present performances via Livestream and, later, with a limited number of live audience members in attendance. Some of the challenges of live and in-person music-making during the pandemic included physical distancing, utilizing playing masks and bell covers, reduced rehearsal times to allow for air scrubbing in the rehearsal space, and selecting repertoire that ensured students were able to study and experience symphonic literature while also reducing the number of musicians on stage.

In-Person Rehearsals and Performances During the Pandemic (Ferguson)

My university decided to go forward with face-to-face rehearsals in the Fall of 2020. The weather in South Texas is usually conducive to outdoor activity year-round, so we were able to utilize outdoor spaces for some rehearsals and other music-making activities. For example, a canopy was set up on one of our outdoor tennis courts as a rehearsal space for ensembles and students were encouraged to pursue small group and individual practice in outdoor

spaces, weather permitting. Outdoor concerts were considered as an option, but ultimately, we decided to make use of our indoor facilities for all performances.

A symphony orchestra can easily include 80-100 musicians on stage, as well as hundreds of audience members in attendance at a performance. In the early days of the pandemic, we simply eliminated live audiences and provided a Livestream of our performances with the orchestra performing on the concert stage but no live audience in attendance. Audiences were gradually reintroduced into the concert hall for live performances over several months with a variety of safety protocols in place.

The study of major symphonic literature is essential to a musician's education and training, and my goal was to continue to provide a valuable educational and musical experience for both my student musicians and our audiences. I quickly came to the realization that orchestra during the time of COVID would not look the same as it had before the pandemic, nor was it feasible or realistic to try to make a genre that was intended to be presented in a live format with hundreds of people in a concert hall fit into a Zoom box. One day, live performances to packed concert halls will resume. In the meantime, I had to find ways to provide my students with the experiences they needed to prepare them for their future careers, and to connect with our audiences while taking every reasonable precaution to safeguard everyone's health. The experiences during the pandemic would be different, but it was not realistic to try to reinvent a genre that was hundreds of years old and never intended to be done with reduced personnel, masks, and physical distancing.

When live audiences began to return to our concert hall, we employed mitigation and safety protocols including reduced audience size, universal masking of all persons, temperature checks, physical distancing, and regular cleaning/sanitization of the seating areas. Ticket sales were moved to online advance-reservation only. No paper tickets were printed or distributed. All attendees were also required to complete a questionnaire certifying they had neither tested positive nor been in close contact with a COVID-positive individual within 48-hours of attending the performance. Sanitizing wipes were freely provided at the entrance/exit to the concert hall and seating areas were wiped down between uses.

I shortened the duration of the performances to approximately 45 minutes and eliminated the intermission. Two performances of the same program were offered on the same day, with a 2-hour interval between each performance. This served dual purposes of allowing more patrons to attend in person, spread over two performances instead of one, and to allow for rotation of orchestra personnel. The repertoire for each performance was identical, but many of the wind and brass musicians differed between the two performances. Strings and percussion largely remained the same for both performances.

On stage, many mitigation measures were employed. In non-COVID times, string players typically share a music stand between two players of the same instrument. During the time of COVID, all string players utilized their own music stands throughout the orchestra. Sanitization wipes were provided, and all musicians were instructed to wipe down their chairs and stands before and after use. Many musicians began using tablets (such as iPads) in lieu of paper music. This use of technology replacing paper sheet music was an emerging trend before the pandemic. It has since been accelerated and I believe is likely to persist in the future.

Our preparations for performances were also different. Rehearsals were limited to 20-minute sessions, with a 10-minute break between rehearsal sessions during which all doors to the rehearsal room were opened, allowing outside air to flow into the room, and all personnel vacated the rehearsal space. Whenever possible, two rehearsal spaces were utilized synchronously, with the conductor moving from one room to the next every 20-minutes.[1]

Masking of string and percussion players is simple. But for aerosol-producing instruments such as wind and brass instruments, specialized playing masks and bell covers became an essential part of their regular equipment. Our department was able to provide these specialized masks and bell covers for all our wind and brass students. Most of the aerosols produced while playing are expelled from the mouth of the player and the bell of the instrument, and utilizing masks and bell covers greatly reduces the spread of aerosols produced while playing.[2]

At the college level, orchestra is a class and an essential part of my students' education. It was important to me to make sure all my student musicians were still able to participate. Therefore, I chose repertoire that required fewer musicians and rotated the wind and brass players throughout the various musical selections. Much of the larger symphonic repertoire requires multiple players of the same instrument on a part, such as 3 flutes, 3 oboes, 4 trumpets, etc. By choosing repertoire with smaller instrumentations, I was able to reduce the number of people occupying the stage at any time. Rather than assigning all musicians to play every piece, I rotated musicians on repertoire to allow everyone to participate. Any single person might be playing fewer total musical selections, but everyone still had an assignment and a part to learn and perform.

It was important to me that although I chose repertoire that required smaller instrumentations, it was still part of the symphonic literature. Chamber music initially seemed like a reasonable option, but the students already had chamber music opportunities elsewhere in their curriculum, and my goal was to continue to provide my students with the study of symphonic works.

During the 2020-2021 school years, a few students attended rehearsals and performances remotely. This would not have been a good option for a soloist or principal player, but a single player in the string section could easily join via video for both rehearsals and performances. Using a tablet (iPad) placed on a music stand so that the student could see the conductor, it was possible to interact quite normally with the student on the tablet as though they were there in the room. Other than turning on their microphone from time to time to ask a question, the student attending remotely was able to play along at home with the rest of the ensemble. This arrangement was far from ideal but allowed the student to participate in the orchestra, albeit remotely.

Remote Learning Course Development for Symphony Orchestra Ensemble (Omelchenko)

The Laurier Symphony Orchestra was remote this entire past year in 2020-21, and due to the nature of it being a music performance ensemble, is one of the most difficult courses to

---

[1] A sample list of orchestral rehearsal etiquette in the time of COVID is included in the appendix.
[2] Volckens, John, and Daniel Goble. 2020. Review of *Reducing Bioaerosol Emissions and Exposures in the Performing Arts: A Scientific Roadmap for a Safe Return from COVID19*. August 17, 2020. https://smtd.colostate.edu/reducing-bioaerosol-emissions-and-exposures-in-the-performing-arts/.

deliver remotely. Full ensemble rehearsals with all 65 musicians took place on Zoom for video and Jamulus for audio. Jamulus is an audio platform that allows players to hear others online by utilizing wired headphones, an external microphone, and good internet connection and broadband.[3]

To provide performance goals and to assess students' playing and progress, the students submitted individual audio recordings of themselves playing each piece throughout each term. Then the individual audio recordings of each player were combined together to create a final combined audio recording for the Orchestra Series. This combined recording makes it sound as if everyone is playing together in the same physical space at the same time. Each student audio recorded themselves playing along to a click track and wore headphones so that the click track would not be heard in the recordings. To aid in the students' practice and recording sessions, I created various click tracks of the pieces for them to play along with. I also video recorded myself conducting each piece so that students could also practice playing with the video of the conductor.

Creating Virtual Concerts

Instead of having in-person orchestra concerts with a live audience, I instead had to be creative with course outcomes and how to deliver performances safely to an online audience. I designed the "Laurier Orchestra Series," an innovative series of virtual concerts of the orchestra which I directed, created, organized, edited, and published. The Orchestra Series is a virtual presentation of audio performances by the orchestra with videos created to accompany each piece of music. For the virtual performances, we were able to collaborate with the Laurier Film Studies Program and film studies students who helped assist in creating and editing videos of our performance projects. In addition, we also collaborate remotely with dancers from Randolph College for the Performing Arts and Martha Hicks School of Ballet in Toronto.

There were four Orchestra Series released in total, with each having anywhere between 4-8 pieces of music presented as well as 6-10 different video components. As the producer of the series, I worked with and supervised a great team of 10 students who helped with the audio and video edits. As the producer and director of the Orchestra Series, I devised the main vision and goals, organized a timeline for each series, created the overall production concept, and created the themes for each video presented for each series. In addition, I spent over 40 hours a week doing audio edits and combining and aligning together all the individual audio files of the orchestra. Individual audio recordings of players were combined together to create a final combined audio recording, so it sounds as if everyone is playing together. Each student audio recorded themselves playing along to a click track and wearing headphones so that the click track would not be heard in the recordings.

Tips for Preparing for Remote-Delivery of Ensemble

Full ensemble rehearsal took place on Zoom for video and Jamulus for audio. Jamulus is an audio platform that allows players to hear others online by utilizing wired headphones, external microphone, and good internet connection, and broadband. Due to technology lag issues between Zoom and Jamulus, I would often need to create a tapping sound with my

---

[3] Refer to the appendix to view equipment suggestions for Jamulus setup.

baton to aid players to play together in real-time.[4] Below are Omlchenko's tips for utilizing Zoom and Jamulus for remote ensembles.

• Utilize Zoom for visual elements and Jamulus for audio (live and real-time music-making technology). Everyone should use an external mic and ethernet connect for optimal sound.

• Be clear with instructions to musicians. Give a timeline and deadlines on when materials are due (hint: give an earlier due date than you actually need them in case a few late submissions trickle in).

• Communicate clearly with audio/video editors as you are the project manager and producer. Assign small feasible projects and give reasonable turnaround dates. Have weekly consistent communication and a clear system of reviewing drafts (hint: view a video draft together on Zoom (share screen) before publishing a draft. That way you can do quick edits together on the spot. This will also save you both time and storage space on your computers).

• Share with students the instructions for audio & video recording and submissions (and keep sharing with each new project as a reminder and easy access to instructions). Be clear and specific with which file format to save recordings as this will save a lot of time and headaches down the road.

• Help musicians practice outside of Zoom! Create videos of yourself conducting the piece so they can play along with your conducting. Create options like recording a video of yourself conducting to an audio recording or have a video of just you conducting without any sound (note: students can also simply turn off the video sound).

• Click Track options and help: create various click tracks as options so musicians can choose which one to practice/record to. Some students may be distracted by hearing clicks throughout. (hint: use the same performance recording audio file for all click track options). Examples of options may include the following:

o Click Track Option1: with clicks on each beat, all the way through the entire piece

o Click Track Option 2: with just one to two bars of intro click to start off

o Click Track Option 3: with just click on the downbeats (especially if it's a really fast or complex piece with changing or mixed meters)

o Give them the tempos ahead of time so everyone can practice and record at the same bpm. This helps if the piece is pretty straightforward.

o All use the same recording of the piece (for tempo purposes)

o Give links to your favorite performances of the piece (hint: have them also listen to different versions of the piece).

• Reserve a week for the recording session. Giving them a week helps them to focus on just recordings and I also gave them class time to work on their recordings. Think about schedule balance and how to give them the energy they need to do good recordings. Instead of "Concert Week" I called this "Recording Week" and this worked really well and students appreciate having the time to devote to putting together good recordings.

• Share with students recording tips such as: Don't do it all in one day, pace yourself, limit yourself to how many or how long to record each day, hydrate, room acoustics, etc.

• Create an electronic folder (school portal, google drive, etc.) for musicians to access everything: parts, audio tracks, click tracks, conducting videos. Include the score in the folder so they can refer to it as needed.

---

[4] Refer to the appendix to view pictures and a "Behind the Scenes" video of Omelchenko's remote teaching set-ups for directing and conducting an orchestra ensemble on Jamulus and Zoom.

Tips for Remote Rehearsals for Ensemble (Zoom and Jamulus)

• Utilize Zoom for visual elements so musicians can see you conduct and see each other and members of their section on the screen. Everyone should be muted on Zoom.

• Devote time to getting set up on Jamulus. Take time to work out any tech issues and for everyone to get trained and somewhat comfortable on Jamulus (hint: this may take 1-2 weeks)

o Start with smaller sections, each section (winds, brass, violins, viola, cello, bass, etc), then combine slowly together as one.

• Then take time to adjust balance and levels for each section.

o Start with easy warm-ups, scales, chords, and a short piece with a steady clear tempo. This helps the ensemble feel successful and not frustrated early on, and gets musicians comfortable using Jamulus and sensing what is possible with remote rehearsals.

o Do this again as needed like after winter break or spring break, as a reminder and refresher, have tech assistants give reminders again.

• How to communicate on Jamulus? Speaking tone and word choices are important. Use your voice as an audio guide. At the start of each rehearsal, I would say a hello or "Dr. O is here". We'd start together on Zoom to touch base and connect and then go to Jamulus together. I'd say "Let's go to Jamulus" as if we are taking a virtual field trip.

• How to rehearse on Jamulus? Often I felt like I was doing all the bad habits I was taught NOT to do in conducting class, or what I tell my conducting students NOT to do. However, I had to keep in mind that conducting on Jamulus is not the same as conducting in person. I was needing to do what was best for the musicians in the remote environment and with the technology available.

o Test and practice with Jamulus by yourself to get comfortable! I would do this several times before the first meeting with the group. (hint: update Jamulus often)

o Use earphones with a long extended chord (available at most stores) so I could comfortably move around in the space.

o Left Hand independence comes in handy! I would use my left hand to adjust the sound levels and volumes on Jamulus while simultaneously conducting with the right hand.

o Have two screens if you can. My eyes were on Jamulus dials to see the current activity and levels while the group was playing. Then on the other computer screen, I had Zoom up so I could see the players and they could see me through my camera.

o Tap with baton on the music stand to make an audible tapping sound. They can hear these taps and it serves as a metronome to keep everyone together.

o Give one to two bars in tempo for nothing, Count aloud to help them come in together at the same time. Let them know "2 bars for nothing. . ." and just go!

o When counting them in, crescendo the voice to help and encourage them to come in with confidence.

o Keep tapping the baton in tempo when stopping and giving direction so they continue to feel the pulse (hint: give comments quickly and get back to playing). By doing this, it forced me to keep my comments short, clear, and to the point.

o Speak in the style/tempo of the music. Use the fewest words to quickly remind them of the style and mood. Such as one simple word like "agitato" or "fire" or "dolce."

o Give reminders during their rests like "breathe" or "wait" if someone is always early.

o Reassure them using single words like "correct" or "close" or "basses late" and tell them right away while still conducting and playing, so they receive immediate feedback.

o Give verbal cue on downbeats (hint: saying "tah" instead of "one" on downbeats might be easier to hear and quicker and easier to say as it begins with a clear consonant).

o Sizzling is good and effective to use.

o   Sing and model what you want. Your voice is the best instrument to use on Jamulus.

o   Use visual cues such as:

▪   Thumbs up to section if they played well (quick reassurance to section)

▪   Stop sign with hand to indicate to stop or they are too early

▪   Show on hands what meter you're in (4 fingers, 5 fingers, etc.) as this helps musicians to also have a visual reminder. Hold the hand in front of your shirt and wear a solid-colored shirt so they can see my hand clearly.

▪   Not everyone may be watching you all the time, and that's ok and that's remote learning, but it's good to still do it to help those who are watching.

o   Let them play more and find obvious spots to stop. Let them play further than the spot. It's less about where you want to stop and more about stopping at the best and clearest place for the group as a whole. This way it may be easier to get their attention to stop. They'll know and you'll know where it is, and soon you all become on the same remote wavelength.

o   If things go well let them know! And then do it again to reinforce it so they feel good and successful. It'll remind them of the right way to play something so it's forever engrained in their musical souls.

o   Jamulus can feel like a scary isolating audio void to be in. It's not ideal or a perfect remote world, so have some fun and make it enjoyable as you can. It's ok to cheer and be heard on Jamulus, talk in funny cartoon voices, encourage a group cheer for that soloist featured. (Rule: no booing from anyone as they are already hard on themselves).

Lessons Learned Rehearsing Remotely on Zoom

•   Everyone was more self-conscious (including me!), people are afraid of others hearing them. There was more awkward silence and fear felt at the start of using Jamulus, but it gradually gets a bit better and more awkwardly comfortable.

•   Move together as a group from Zoom to Jamulus. You can san simply say, "Now we go to Jamulus, see you there".

•   Always give a welcome or hello. Be creative and ask "If you can hear me, say Yahoo/Yeehaw/Oh Yeah!" (you'll be surprised with the responses!).

•   Be patient and just accept there's going to be tech issues (daily) and laugh it off.

•   Start class with any funny cartoon voice imitation (I liked to do Yogi bear, Scooby Do, Miss. Piggy, etc). It surprises them, gets their ears awake, and puts a smile on their face. You'll be surprised with how often your voice helps bring calmness or joy to their day or how much they look forward to hearing your voice of reassurance. It brings excitement, shows them that they can have fun on Jamulus, and allows them to connect and make music together.

•   I loved learning the students' unique voices. I would hear their voice and get to know them by their vocal cadences. I'd guess who it was aloud, and they'd be impressed when I was correct.

•   Have them say "Trumpet one here" or "This is Jake in Cello section". This greatly helped me so I knew the part that had a question.

•   Be mindful of my vocal pitch, tone, and words. Use shorter concise words and a welcoming tone. Not too high or low in pitch. Even when I was tired, I had to put my own personal feeling and selfish moods aside, and ask myself "What do they need?", "What kind of conductor/teacher do they need from me today?", "What could best serve them now, at this exact moment?" This takes a lot of personal reflection, constant adjustment, and commitment to stay focused on the group at hand and not think just about myself.

•   I loved seeing and hearing people's pets. Many times, we heard someone's cat who loved music and would mew during rehearsals. This cat became the unofficial class mascot.

Another time we heard someone's pet bunny munching in the background which was funny and endearing. Other sounds included traffic noise, doors opening/closing, drinking sounds, and someone's dad yelling "Dinner time!". It was simply precious and memorable.

- Listening skills improved. It often felt like we were playing in the dark and had to trust our ears, energy, and commit to better connect with each other.
- Hearing skills improved. I still needed to protect the ears as they are a musician's most vital instrument. Be mindful of decibel levels and unplug as much as you can.
- When rehearsing on Jamulus, you feel like you're plugged into another world like the Matrix. Often time when rehearsing on Jamulus, I'd be in the zone and forget where I am. Afterwards, I would unplug and look around the room a bit confused and forget where I was physically. To get back into my reality and regardless of the day, my fatigue, my stress level, or how the rehearsal went, I took a walk outside after each rehearsal, even if it was late, dark, and cold. You have to disconnect and unplug (physically and mentally), refresh the ears, and reconnect to the real world, to nature, and to life and sounds outside of technology. This daily disconnecting routine was so healing for me and helped greatly with my mental health and overall wellbeing during the pandemic. I would always feel much better and much more human afterwards.

Concluding Thoughts

Now having delivered our large orchestra ensembles remotely or in-person during the pandemic, people ask us "how did you do it?" We still have to ask ourselves, "How *did* we do it?". The answer: we didn't do it alone. We couldn't have done it alone. We were able to do it with the support and the kind ears and hearts of others. We were able to do it because of our creative, compassionate, and inspiring students who were there for us and for each other. The reality is that we are still having to do it today. Even as one reads this sentence, we may still be delivering our ensembles virtually or in person with safety protocols. We will continue to find our resilience, determination, focus, drive, and commitment. The struggle may remain, and lessons will continue to be learned, but it's reassuring to know we are not alone.

Upon further reflection, we are very proud of how we delivered large ensembles this past year, especially with the various challenges of teaching remotely and in person. Throughout the year, we remained positive, patient, and focused, led with compassion and flexibility, maintained high academic standards, provided a unique learning experience that contributed to student satisfaction and individual growth, and explored and learned ways to engage students remotely and in-person through various technologies. Teaching music during the pandemic has taught us new skills, new methods of engagement, and to be somewhat comfortable with technology.

Coming out of the pandemic, we have a new sense of confidence and purpose as educators, and we look forward to keeping some of the virtual elements in our in-person courses. For example, we appreciated being able to bring in guest artists virtually to provide workshops and we hope to keep these virtual opportunities for our students.

Though teaching ensembles during the pandemic has been a challenge, we can say that we are now more thoughtful, mindful, and creative educators. We aim to continue to be more aware of students' overall well-being and their mental and emotional wellness. The pandemic has also helped us to be more intentional and meaningful in our course delivery, assignments, and methods of assessment. Teaching courses and delivering orchestra this past year has

highlighted that *connection* is the most important and this we wish to continue to bring into our teaching for years to come.

Acknowledgments

We would like to thank our students, the Laurier Symphony Orchestra, Kingsville Symphony Orchestra, our Deans, chairs, colleagues, staff, and administration. Additional recognitions go out to our collaborating partners including the Kingsville Symphony Orchestra Board of Directors, Laurier Film Studies department and students, audio technicians, ensemble technical support, and dancers from Randolph College for the Performing Arts and Martha Hicks School of Ballet in Toronto.

Appendix

Sample of Orchestral Etiquette During the time of COVID (Ferguson)

- Masks are required for everyone and are to be worn securely at all times.
- Bell covers/bags are required for every aerosol-producing instrument in the ensembles.
- Social distancing of 6 feet is required for all non-aerosol students (strings, piano, percussion).
- Social distancing of 12-18 feet is required for aerosol students when playing/singing (voice, brass, woodwinds).
- For aerosol producers, masks should be worn while in rehearsal or performances when not playing.
- Rehearsal times will be limited to 30 minutes or less in length followed by a required 30-minute vacancy for air-scrubbing.
- Students should collect water from their instruments responsibly and cleanly. No water will be expelled onto floors or common surfaces.
- No air should be forced through the instrument or its parts to expel water.
- No air should be used to clean waterlogged keys (i.e., blowing out tone holes).
- Instrument swabs should be handled with care.
- No instrument reeds should be shared.
- No buzzing on mouthpieces as this may produce more aerosols and droplets than most other activities.
- Aerosol minimization strategies for pieces requiring extended techniques should be discussed with the course instructor.
- Students are responsible for cleaning music stands, keyboards and other touched surfaces before and after rehearsals (supplies provided).
- Do not congregate indoors (hallways, backstage)
- The orchestra rehearsal hall may be utilized as a "green room" during performances.
- Do not place instruments or cases on top of pianos, or on the arms of chairs in the audience seating

Jamulus Equipment Setup (Omelchenko)

For remote performance-based large music ensembles, all participants are recommended to have the following for the most effective and productive implementation of Jamulus:
- Computer (laptop or desktop) with strong internet connection (Chromebooks are not recommended).
- External microphone
- Webcam (external or built into a laptop or smartphone will work). If using a smartphone or external webcam, a tripod may be essential to give your instructor the appropriate view.
- Wired headphones of highest quality possible. (Bluetooth headphones can cause latency problems)
- Ethernet chord to attach computer to internet (highest quality of internet speed as possible)
- Try to be in a quiet room without loud sounds as Jamulus picks up on every little sound.

Link to Omelchenko's "Behind the Scenes" Orchestra Series video with introduction of remote conducting set up and conducting on Jamulus.
(Click here for video: https://www.youtube.com/watch?v=j2ik4BNf0N0)

(Example of Omelchenko's remote teaching & conducting set up for Orchestra (left & center), and editing audio files (right))
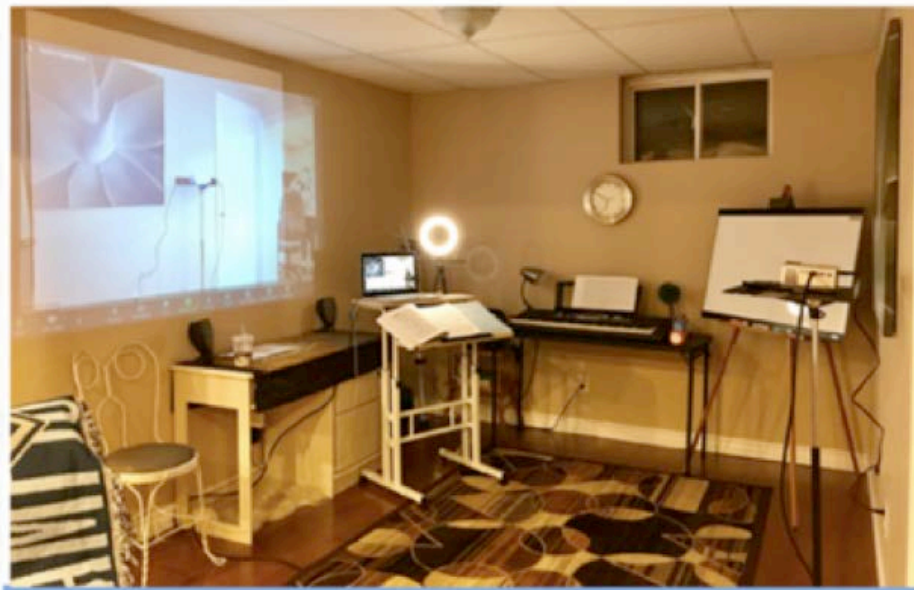
(Examples of Omelchenko's conducting set up and Jamulus audio control panel for remote orchestra)

References

Volckens, John, and Daniel Goble. 2020. Review of *Reducing Bioaerosol Emissions and Exposures in the Performing Arts: A Scientific Roadmap for a Safe Return from COVID19*. August 17, 2020. https://smtd.colostate.edu/reducing-bioaerosol-emissions-and-exposures-in-the-performing-arts/.

Resources

Audacity (audio files edit together) free https://www.audacityteam.org/download/
Note: files must be saved as "wav" to edit on Audacity

Davinci Resolve (video/audio editing)
https://www.blackmagicdesign.com/products/davinciresolve/edit

International Coalition Performing Arts Aerosol Study Updates Guidelines for Music Education Classrooms: https://nafme.org/international-coalition-performing-arts-aerosol-study-updates-guidelines-for-music-education-classrooms/

Jamulus (online download): http://llcon.sourceforge.net/

Jamulus requirements: http://llcon.sourceforge.net/servermanual.html

Jamulus setup guide: https://www.youtube.com/playlist?list=PLWKkfa4PvoTx-e3FkCacB22E6zzfcuACp

Jamulus helpful guide: https://www.facebook.com/notes/jamulus-online-musicianssingers-jamming/idiots-guide-to-jamulus-app/510044532903831/

The Universe as a Harmonius Field of Vibration
Is Humanity out of Tune?

Evie Holmberg, Boston University, United States

The IAFOR International Conference on Arts & Humanities in Hawaii 2022
Official Conference Proceedings

Abstract

This paper begins with a reference to recent experimental research in the school of Engineering at MIT on the novel coronavirus (SARS-Cov-2). This research consists in translating into sound the spike protein of the virus which makes it so contagious, in order to examine its vibrational properties and find ways to destroy it. After brief references to similar research in the past which explored therapeutic resonant frequencies for common human pathogens, recent endeavors at reprogramming DNA by certain sonic frequencies, or simply attempts to translate the information coded in our DNA into music, this paper touches upon descriptions of the universe in various spiritual and philosophical traditions as a cosmic harmonious vibration. Based on this concept, certain aspects of human behavior (tentatively translated as various vibrational frequencies) seem to be "out of tune". Deviation from the cosmic harmonious vibration creates disharmony and gradual distancing and alienation from what these traditions call the "divine source" or the "universal consciousness". In humans, the incessant stream of ego-centric thoughts and the feelings and actions ensuing from them is the reason for this alienation. A common theme in philosophical and spiritual practices is slowing down the constant stream of thinking and ultimately reaching cessation of thoughts as the means of attaining peace and union with one's "inner source" which is the source of all creation. The paper concludes by exploring the possibility that our survival may depend on adjusting our vibration so that we tune into what has been described as "universal consciousness" or as Plotinus calls it "the universal Soul".

iafor

The International Academic Forum
www.iafor.org

Introduction

On April 2nd, 2020, an article appeared in MIT News with the title: Markus Buehler on setting coronavirus and Al-inspired proteins to music". Markus Buehler is the Department Head, McAfee Professor of Engineering at MIT. In the article it is mentioned that Professor Buehler recently translated the spike protein of the novel coronavirus (SARS-Cov-2) into sound to visualize its vibrational properties which could help in finding ways to stop the virus. In his words: "You would need many different images, many different magnifications to see with your eyes, what your ears can pick up with just a couple of seconds of music"[1].
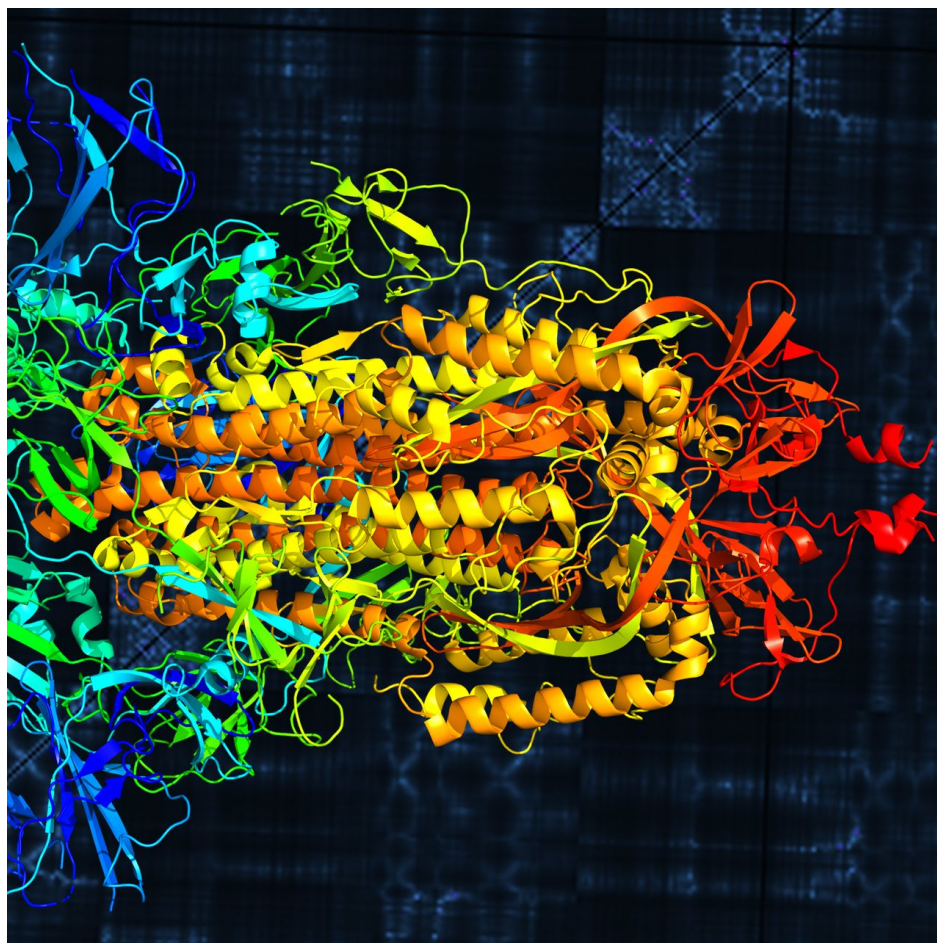
Figure 1: A rendering of the spike protein of the coronavirus, with its amino acid chains depicted in distinct colors, used by Markus Buehler as he developed his music composition. MARKUS J. BUEHLER/MIT. (2020, June 26). Wall Street Journal

To someone not acquainted with interdisciplinary approaches in research, this report at first glance could appear highly improbable or even ridiculous although it concerns research conducted at MIT by an eminent MIT professor. Given the fact, however, that recent developments in science and especially in physics have opened new horizons on how we perceive a universe which exhibits behavioral patterns that cannot be explained through the accepted up to now methods of scientific research, or they simply cannot be explained at all, it seems that a new open- minded interdisciplinary approach could be helpful in every

---

[1] Kim Martineau /MIT Quest for Intelligence. (2020 April2). MIT News. *Q&A: Markus Buehler on setting coronavirus and AI inspired proteins to music.*

domain of human enquiry but especially in scientific research. And speaking of interdisciplinary approaches, it should be added here that professor Buehler is also a musician. And this particular aspect of his training could account for his sensitivity and inventiveness in discerning research avenues which would normally elude a scientific mind highly specialized in a single area only.

The adoption of an honest interdisciplinary approach may require a lot more than a basic attitude of being open minded and /or having been exposed to various areas of research. One could go as far as admitting that a general attitude of true humility is required if one is to be able to overcome centuries-old pre-conceived ideas, personal preferences and a long history of acquired prejudice. One should be ready to prepare oneself by walking on the path of developing true spiritual qualities which could overcome the various acquired tendencies obscuring one's true vision. One has to start from Socrates' admission that one knows nothing "ἓν οἶδα ὅτι οὐδὲν οἶδα" in order to proceed in this new territory of assimilating scientific and spiritual approaches in investigating new territories...

There is a quote attributed to Albert Einstein, which I was not able to trace in order that I could properly footnote it, but which, I believe, regardless as to whether Einstein said it or not, characterizes traditional Scientific and Religious approaches toward the workings of the Universe. It implies that both Science and Religion have the blind spot of not accepting the one conclusion that both recent scientific research has reached and Spiritual teachers have always taught, namely the unifying power behind what we traditionally call "the Universe". Spiritual teachers have experienced it and taught it as Universal Consciousness, and yet the various religions around the world actively deny this unity, a fact which becomes so obvious from the intense controversies which separate them. And Science, in spite of accumulating scientific evidence of a unifying force or power -for lack of a better word- which appears to connect everything experienced through the progressively accelerating in complexity scientific methods, obstinately refuses to consider this as a power beyond what can be accessed through intellect alone, in spite of the fact that the point of intellectual comprehension of the so-called physical laws has already been surpassed. And here is the quote attributed to Albert Einstein: "It is harder to crack prejudice than an atom".

In the MIT article mentioned above, Professor Buehler is talking about translating the spike protein of the novel coronavirus into sound to visualize its vibrational properties.

This is not the first-time sound frequencies have been studied as expressing and influencing properties of living organisms. Since 1999, DNA-related frequencies have been used against unwanted pathogens. Starting In 1930 with Royal Rife's research in discovering the appropriate frequencies that would kill various pathogens, in spite of the constant opposition against his research and the efforts to discredit him (he ended up dying bitter and penny-less), various similar studies ensued. And in the late 1990's his research was picked up by Sharlene Boehm, a researcher who developed a mathematical formula to calculate the "Mortal Oscillatory Rate" (the frequencies at which pathogens could self-distract). After establishing a number of biophysical and harmonious relationships with regard to certain pathogens' DNA, a pattern was discovered which could influence these frequencies and a patent was granted in the United States for this accomplishment on October 9, 2007. These frequency sets for common human pathogens are available @ dnafrequencies.com.

In an article recently appearing on the web[2], after reference to the work of Jean-Claude Perez[3], the proposition is made that the whole human genome appears to be organized according to musical theory and after asking the question whether this is feasible from a natural evolution perspective, the article suggests that it seems as if God is playing music. It subsequently mentions the research by Scottish composer Stuart Mitchell and peers which has revealed that DNA is a cosmic musical score operating triplets of rhythm at over 3000 beats a minute. The researcher Susumu Ohno[4] says: "the principle of repetitious recurrence pervades every aspect of life on this earth. Thus, individual genes in the genome have been duplicated and triplicated often to the point of redundancy […} musical compositions also rely on this principle of repetitious recurrence. Accordingly, coding base sequences can be transformed into musical scores using one set rule. Conversely, musical scores can be transcribed to coding base sequences of long open reading frames"[5].

In another rapprochement of science and music, the Berlin based Cellist and composer Thilo Krigar is exploring the flow of genetic information by translating it into music. "His work is based on biological concepts, stressing the parallels between biological processes and human creativity. He wants to give the listener a musical experience of the biochemistry in the cell and to become progressively aware of the life process taking place within ourselves"[6].

Dr. Aurora Sanchez Sousa, a piano-playing microbiologist is a member of a team at Madrid's Ramon y Cajal Hospital, which visualized the human genome as music by unraveling the DNA's double helix and picturing its components lined up as piano keys with a note assigned to each one. "DNA or Deoxyribonucleic acid", she says, "is composed of long strings of molecules called nucleotides, which are distinguished by which of four nitrogen-containing bases they contain: adenine, guanine, thymine or cytokine represented as A, G, T and C. These are the musical notes."[7]

Figure 2: The DNA's double helix and picturing its components lined up as piano keys with a note assigned to each one

---

[2]Sacred Geometry. Phi and music in DNA. www.sacred-geometry-es>content>phi-and-music-dna
[3]Perez, Jean-Claude. French interdisciplinary scientist who proved that DNA coding for genes is structured by proportions related to the Fibonacci numbers. See his paper: *Codon Populations in Single stranded Whole Human Genome DNA Are Fractal and Fine-tuned by the Golden Ratio 1.618*". (2010). Interdisciplinary Science Comput Life Sci 2:228-240
[4] Japanese-American geneticist and evolutionary biologist who believed that the evolution in life through repetitive sequences in the genome was similar to the evolution of complex musical scores.
[5] Ohno, Susumu; Ohno, Midori (1986). *The All- Pervasive Principle of Repetitious Recurrence Governs Not Only Coding Sequence Construction But Also Human Endeavor in Musical Composition.* Immunogenetics, 24, 71-78.
[6] Mossinger, J. (2005). *The Music of Life*. Nature volume 435, p. 280 https://doi.org/10.1038/435280a
[7] Woolls, Daniel (2003, Jan. 17). *Researchers Translate DNA Code as Music*, Midland Daily News.

Pythagoras[8] had experienced one of the cosmological views of modern physics, namely that the universe is composed of infinitesimally minute vibrating filaments, hence his work on harmonic relationships and his expositions on the movement of the celestial bodies producing what he had called "the music of the spheres".

The spiritual masters have taught that the human body contains the whole universe. Within the human energy field, the horizontal lines are like musical notes to play upon. For the Pythagoreans the distances between the planets have the same ratios as harmonious sounds produced in a plucked string.
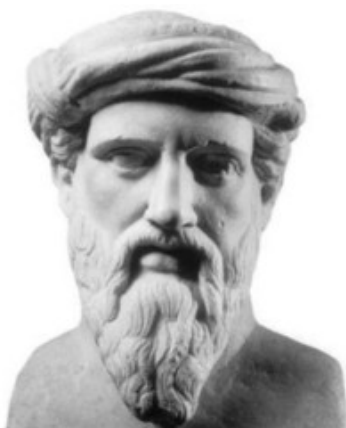
Figure 3: Bust of Pythagoras of Samos in the Capitoline Museums, Rome

Among the teachings of Hazrat Inayat Khan[9] in *Sufi Teachings Volume II The Mysticism of Music, Sound and the Word,* there are numerous statements in this spirit: In this volume (one of the 14 volumes into which his lectures have been grouped together by his students) he describes the ancient Sufi practices in terms of sound and music. He refers to his composition of songs and his playing of the vina[10]; and he concludes that practicing this music he arrived at a stage where he touched the music of the spheres. Then every soul became for him a musical note, and all life became music.

In chapter 1, p.1 of the same volume we read that everything is a vibration. The mineral, vegetable, animal and human kingdoms are the gradual changes of vibrations, and the vibrations of each plane differ from one another in their weight, breadth, length, color, effect, sound and rhythm. Man is not only formed of vibrations, but he lives and moves in them…his different moods, inclinations, affairs, successes and failures, and all the conditions of life depend upon a certain activity of vibrations that accounts for the variety of things and beings. This vibratory activity is the basis of sensation and the source of all pleasure and pain: its cessation is the opposite of sensation. All sensations are caused by a certain grade of activity of vibration.

---

[8] Ancient Greek mathematician, philosopher and mystic 6th century B.C.
[9] Hazrat Inayat Khan (1882-1927) musician and founder of the Sufi Order in the West. His teachings have been transcribed by his students from his lectures given between 1914 and 1926 in fourteen volumes. (2002). *Sufi Teachings Volume II The Mysticism of Music, Sound and the Word.*
[10] Traditional Indian musical instrument.

Plotinus[11] expounds on the relation of music and harmony to beauty and virtue, speaks of the universal harmony of the heavenly spheres and refers to Pythagorean and Platonic theories on the subject. Referring to a correspondence between the spiritual/metaphysical to the sensible and material he characteristically writes[12]: "and harmonies unheard in sound create the harmonies we hear and wake the Soul to the consciousness of beauty, showing it the one essence in another kind: for the measures of our sensible music are not arbitrary but are determined by the Principle whose labor is to dominate Matter and bring pattern into being"[13] Here the concept of music or sound is related to "the Principle whose labor is to dominate Matter and bring pattern into being". This is reminiscent of the Pythagorean doctrine of the soul's harmony. In Plotinus' words[14]: "Soul belongs, then, to another nature. What is this? Is it something which, while distinct from the body, still belongs to it, for example a harmony or accord? This view, which the Pythagorean school holds with some difference, envisages the Soul as comparable to the accord of the strings of a lyre. When the lyre is strung a certain condition is produced upon the strings, and this is known as accord: In the same way our body is formed of distinct constituents brought together, and the blend produces at once life and that soul which is the condition existing upon the bodily total". This last passage referring to the Pythagoreans, besides being interesting in its own merit, is extremely important as a valid reference to Pythagorean doctrines of which we do not possess statements from the original source.

Wanda Diaz-Merced, a blind astrophysicist from Puerto Rico, studies the universe through sound and believes it has its own harmony. Scientists are inspired by Wanda's sonified data and used it to create musical compositions. She is based in South Africa and continues her work in sonification and analyzing data from the sky through sound. Wanda lost her sight due to Diabetes and had never had the opportunity to look through a telescope.

During an EMIC film which appeared recently in UPLIFTTV with the title "*MUSIC OF THE SPHERES"* [15]she expresses her way of studying and experiencing the universe through sound: In her own words: "Everything in the universe is such a beautiful symphony all the time. Each piece of data is given as sound. Everything in the universe has its own voice, its own personality, the way it communicates through sound. If I confer into sound different measurements and listen to them it sounds like a symphonic orchestra. You can get a sense of the science inside that orchestration. In the past it has been spoken of as the music of the spheres. The universe exists in this wonderful harmony. If we only see with our eyes our perception is very narrow…".

In various Spiritual paths it has invariably been expressed in symbolic language or in plain descriptive systems that everything we perceive as reality is a vibration, including thoughts, feelings and various perceptions based thereupon, and that in order to reach what in spirituality and philosophy would be called "true knowledge" or "wisdom" one has to transcend these vibrations.

---

[11] Plotinus of Lycopolis: Greek philosopher of the 3rd century. The name "Neoplatonism" was invented and attributed to his philosophical system by 19th century scholarship. His writings had a major influence on Pagan, Jewish, Gnostic, Christian and Islamic mysticism.
[12] The translation of Plotinus' text is by Stephen McKenna unless otherwise stated.
[13] Plotinus, *Ennead.,* I.6.3.28-29
[14] Ibid., IV.7.1-8
[15] EMIC originals (2017, June 14). *Music of the Spheres. Wanda Diaz-Merced studies the universe through sound*. https:/www.emicfilms.com.original

The model of the chakras and vortices of spinning energy vibration is a good example of this process of "evolution" through various vibratory frequencies. The symbolic language of a specific esoteric doctrine (expounded in the tradition of Yoga) is used to express the spiritual pathway of transformation derived from the experiences of those who have achieved the final goal.

According to Yogic doctrine, aligned along the central channel of our body, called the Sushumna channel, running from the base of the spine, which the Greeks named the sacred bone, to the crown of the head, there are seven levels of manifestation (comparable to the seven manifestations of deity in the Sephirot of medieval Judaic mysticism known as the Kabbalah) forming a rainbow bridge and the stepping-stones from matter to spirit. These are the whirling chakras which spin what is called the 'auric field' or the perceptible auras of colour emanating from the physical body. Their spinning is caused by the intersection of two basic currents passing between the chakras. The centres of the chakras turn like gears that transport us along the trip or journey that is called life.
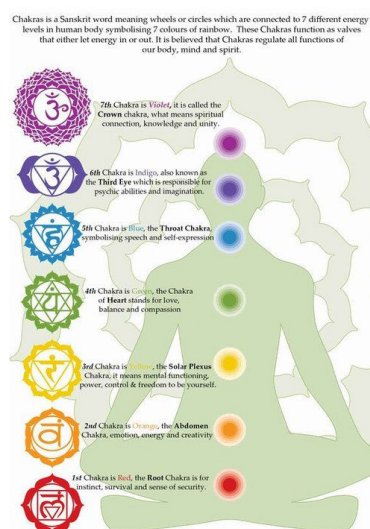
Figure 4: The Seven Levels of Manifestation (chakras)

Figure 5: Schematic Representation of the Spiral Energy of the Chakras

Let us use the third chakra for example. The third chakra, the Manipura, is the one that represents personal power, the right to think, the balance of intellect, self - confidence and ego power, ability for self- control. Its element is fire. Expressed in symbolic language, this fire carries us and sustains us as we burn through the ego and dissolve through the true source of power.

This chakra is depicted in the area of the solar plexus, the one from which the Homeric heroes live and function, the one from which it is very difficult for the western man to evolve, according to Carl Jung[16]. The representation of this chakra at the solar plexus, a location between the stomach and the spine, coincides with the neural projections in this area which radiate outwardly in a sun-like fashion.
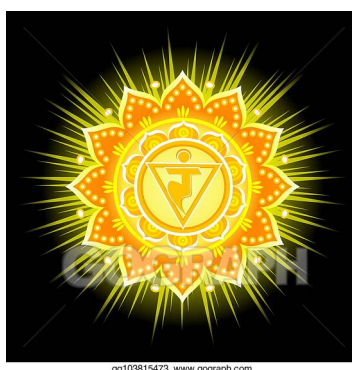
Figure 6: The Manipura Chakra

Figure 7: The Location of the Manipura chakra in the Auric body

Jung's interpretation of the chakras as represented in Yoga has been regarded as a milestone in psychological understanding of Eastern thought. According to Jung, the individual on the spiritual journey, arising from the previous chakra - the element of which is water and analogous to the baptismal symbolism in the Christian Tradition -, has to awaken to a reality beyond one's self to that of the divinity symbolized in so many religions with fire, the sun and the light, the reality beyond me and mine, the perception of oneness with the universe. In this process the aspirant has to be initiated through fire.

We can recognize the successful passage through this landmark in the similar symbolism of Moses and the bush that was burning without being consumed. In the Greek mythological language Icarus' wings get burned and he falls to the earth, Semele is burned to ashes by the vision of Zeus in his divine essence. There is no shortcut to the transformation of the matter into spirit. This path can be so elusive without proper guidance and preparation as the

---

[16] Jung, Carl. (1999). *The Psychology of Kundalini Yoga.* Princeton University Press. Notes of the Seminar Given in 1932

concept of the philosopher's stone. (Actually, this may have been the initial meaning of the concept of transforming base metal into gold). The same fire that strengthens and sustains can burn the inept and not yet ready. Spiritual traditions emphasize the importance of preparedness and of the appropriate guide for undertaking the path that leads to awakening one's inner power and to merging with Universal Consciousness.

The awakening of this dormant inner power is considered dangerous for the profane and unprepared. Such an awakening has been termed as a "kundalini crisis" exhibiting physical and psychological symptoms that can be frightening and even fatal. This brings us back to the reverend secrecy surrounding the ancient religious rites and probably even those that are still practiced today. They have probably been established to protect the inept and the unprepared and safeguard the path for the serious initiates.

If there is a reality which extends beyond the physical world and its manifestations, and most spiritual traditions tend to agree on that point, there must be ways to access this reality. Or, as Stephen Hawking put it, if we want to read God's mind, we must first understand God's language.

Which is God's language? According to the Pythagoreans and Plato himself, God's creation - or that which we perceive as the physical Universe as well as the one beyond the physical (including that which we will call the soul of the Universe or the "Universal Soul) resonate with the harmonious vibrations emanating from the Divine Source. According to Plato and Pythagoras, God's language is mathematics. The Cosmos operates in accordance with certain laws which can be approached by the human potential. One approach into the inner workings of these laws is through mathematics and modern science would agree with that. Modern science will also agree that at the level of trying to reconcile quantum mechanics with the theory of relativity and the behavioral patterns of the "black holes" there is a lot of speculation, and in certain instances the working out of mathematical equations surpass the level of intellectual understanding. In other words, we know that the mathematical equations work, but we cannot always explain why. And this is the point where science and mystical theology, or plainly "mysticism" meet.

Carrying his experiences one step further than modern physicists, Pythagoras maintained that a person should align himself to the universal harmony by aspiring to the development of a healthy body, mind and spirit through exercise, proper diet (a vegetarian diet) and meditation/prayer. In this way he could experience alignment and union with God. And this is exactly what most spiritual traditions aspire to: the total alignment of the individual spirit or soul with what they identify as universal harmony (or energy) and hence union with it.

Here we find again the concept of Universal vibration, harmony and oneness with all.

The aim of all spiritual paths is to attain access to the initial state of "being" that of being one with the "creator", the one beyond being, the "One" of Plotinus, the unmovable mover of Aristotle, the Christ Consciousness of the Christians, the Universal consciousness of the Yogis. This is the state of cessation of all grades of activity, the state beyond the moment of creation (or the "big Bang" of the physicists).

And the closest definition of this cessation of activity in the world of thinking and language is: peace, or silence. This is why mystics throughout the ages have emphasized peace and

silence. Both words essentially mean cessation of all vibrational activity in order to reach the initial state of being one with the Divine.

In the "Philokalia"[17] Saint Peter of Damascus[18] comments on the value of stillness: "..Stillness is the highest gift of all, and without it, we cannot be purified and come to know our weakness….neither will we be able to understand the power of God….."[19]

What is this stillness or peace? Is it a state of annihilation? All spiritual traditions suggest or plainly state that this is a state of annihilation of the limited individual ego. And since this is the only one with which most of us identify, the process of this kind of annihilation can be a scary experience and anticipation. Reaching these subtler realms of reality can also be dangerous or harmful for those who are not ready. Hence Jesus' admonition to his disciples: "Give not what is holy unto the dogs, neither cast your pearls before the swine, lest they trample them under their feet, and turn again and rend you".[20] This is why for those who have not experienced these realms of reality the possibility of such experiences is a mere concept. And this is why there is such great resistance when looking into such possibilities. This is also why there is a dire need of a Teacher.

In ancient Greek philosophy the divinity is without movement. It is the "unmovable mover" of Aristotle, the "One" of Plotinus, the one beyond the vibrations of the intellect of the mystics. This is probably what is meant by achieving the state of "stillness". It is the state of cessation of the continuous flow of thinking which in Yoga is called "the modifications of the mind". This could explain why in a deep state of prayer or meditation one loses the sense of space and time. Because space and time and the whole realm of reality is the creation of the thinking process of the "Universal Mind" as emanating from the "One" or the Divine, - to mention one philosophical explanation offered by Neoplatonic philosophy.

In our western scientific approach to human consciousness we identify it as a function of the brain producing what essentially is an accumulation of thoughts and emotions belonging to the physical realm of our existence. According to what has been observed, however, during the transition from life to death, the laws of the physical world no longer apply, unexpected phenomena happen and these phenomena do not follow the traditional laws of neuroscience. What happens is beyond the function of the brain.[21] When the vibrational energy of the body slows down, approaching the point of stillness which in physiology we call death but in deep meditation we call the cessation of the modifications of the mind, one can reach the state from which true visionary experiences originate.

This could explain the amazing experiences described by Dr. Eben Alexander[22] who in his book *Proof of Heaven: A Neurosurgeon's Journey into the Afterlife* (2012) describes his fantastic journey in another realm, beyond the physical perception of reality, while being in a Coma caused by a severe case of bacterial meningitis which attacked his brain and rendered

---

[17] A collection of texts written between the 4th and 15th centuries by spiritual masters of the Eastern Orthodox Church

[18] Monk who lived in a small monastic village in Syria (1027?- 117?)

[19] *Philokalia*, (1983). translated by Philip Sherrard, "Spurious Knowledge, "Vol. III, p. 194. Faber and Faber, London.

[20] Mathew 7:6

[21] Bruce Greyson, MD. (Spring 2005). Lecture from the international association for near-death studies 2004 annual conference. Journal for Near-Death Studies.

[22] Dr. Eben Alexander. American neurosurgeon and author, born 1953.

his entire cortex (the parts of the brain that give us consciousness, thought, memory and understanding) not functioning.

According to Yoga the accumulation of thoughts and emotions (which we call ordinary human intelligence) is physical – and here there is an agreement with science- but that is where the similarity ends. According to Yoga -and science is beginning to tackle this possibility as well- intelligence is not only a product of the brain, but is dispersed throughout the whole molecular system. In fact, In Yoga thoughts and emotions are not that important. On the contrary, there is a constant effort in yoga practices to curtail and guide the incessant stream of thoughts and of the emotions produced as their result. Our thoughts and emotions are the product of the huge accumulation of data which is helping us to survive. But when they exceed their natural reason of existence and take over our whole functional approach to our life, they form the stumbling block which separates us from the part of our consciousness which is one with what in most spiritual traditions is considered as: "Universal Consciousness" or Universal Vibration or the Divine cause of all. And this separation creates the state of illusionary existence that Plato describes in his "Allegory of the Cave"[23]. A much more poignant depiction of this state of illusionary existence presenting humanity enslaved in the net of modern technology and demonstrating the necessity of raising contemporary consciousness comes from the *New York Times*:

Figure 8: From *The New York Times Literary Supplement,* May 22, 2018 by Elia Baron. It reads: "Plato's Cave" followed by an excerpt from the conversation between Socrates and Glaucon as presented in the relevant section from the *Republic.* The excerpt reads: "How could they see anything but shadows if they were never allowed to move their heads?"

We find ourselves in a similar predicament today, only our prison is modern technology when it is used in producing an incessant stream of intellectual activity alien to the harmonious universal vibration with which we are meant to align ourselves. This incessant stream of thinking is interrupted during periods of deep prayer or meditation. A similar experience can be accidentally achieved during periods of extreme stress (dying, near death experiences, extreme chock or with the aid of external entheogenic facilitators like artificially induced DMT, psilocybin mushrooms, et c.)

---

[23] Plato. *Republic,* Book VII, 514a-519d

There is an intelligence beyond physically acquired experiences and that is what in most spiritual paths is accepted as higher Consciousness in a human being. And the degree of this Consciousness we possess determines the scale and quality of our life. If we disengage from the physicality of what we have accumulated during our lifetime, there is no perception of time or space. The world, as we know it, does not exist. Or, put another way, the whole Universe can be contained within each one of us. And this was probably the meaning of the answer uttered by the first Yogi - according to Yoga tradition- as to the meaning of the world: "I can pack your Cosmos into a mustard seed"

This may be the meaning of the saying by Jesus when the disciples asked him: "tell us what the kingdom of God is like: he said: "it is like a mustard seed the smallest of all seeds" [24] and: "the kingdom of heaven is likened to a grain of a mustard seed"[25]. Or, as mentioned in the Gospel according to Luke[26] "the kingdom of God is within you".

Conclusions

According to science everything is energy and everything vibrates in the universe. In various spiritual paths, expressed in symbolic or plain descriptive systems, the message is that everything we perceive is a vibration, including our thoughts, feelings and various perceptions based thereupon.

Scientific research since the early 19hundreds as well as recent endeavours have explored therapeutic resonant frequencies for human pathogens, attempted to reprogram our DNA, or to translate the information encoded in it into music.

According to various spiritual paths and even famous modern physicists the universe is a harmonious vibration, deviation from which creates disharmony and gradual distancing and alienation from what spiritual paths call the "divine source" or the "universal consciousness".

If spiritual concordance can be translated into harmonic wavelengths and spiritual dissonance into discordant wavelengths, it seems that according to most spiritual traditions we find ourselves in a state of a spiritual dissonance with what we could call "universal consciousness" since most of our existence has been taken over by an excessive and overreacting use of the intellectual aspect of ourselves.

Most spiritual paths agree that in a human being there is an intelligence beyond physically acquired experiences usually described as higher consciousness. And the degree of this consciousness we possess determines the scale and quality of our life. If we disengage from the physicality of what we have accumulated during our lifetime, there is no perception of time or space. The world as we know it does not exist. And the illusionary reality we have constructed for ourselves is destroyed.

---

[24] Gospel of Thomas, saying 20
[25] Mathew 13:31
[26] Luke 17:21

References

EMIC originals (2017, June 14). *Music of the Spheres. Wanda Diaz-Merced studies the universe through sound*. https:/www.emicfilms.com.original

Gospel of Luke 17:21

Gospel of Mathew 7:6, 13:31

Gospel of Thomas, saying 20

Greyson, Bruce. MD. (spring 2005). Lecture from the international association for near-death studies 2004 annual conference. Journal for Near-Death Studies.

Hazrat Inayat Khan. (2002) *Sufi Teachings Volume II The Mysticism of Music, Sound and the Word,* Shambhala Dragon Editions.

Jung, Carl. (1999). *The Psychology of Kundalini Yoga.* Princeton University Press. Notes of the Seminar Given in 1932.

Martineau Kim /MIT Quest for Intelligence. (2020 April2). MIT News. *Q&A: Markus Buehler on setting coronavirus and AI inspired proteins to music.*

Mossinger, J. (2005). *The Music of Life*. Nature volume 435, p. 280 https://doi.org/10.1038/435280a

Ohno, Susumu; Ohno, Midori. (1986). *The All Pervasive Principle of Repetitious Recurrence Governs Not Only Coding Sequence Construction But Also Human Endeavor in Musical Composition.* Immunogenetics, 24, 71-78.

Perez, Jean-Claude. *Codon Populations in Single stranded Whole Human Genome DNA Are Fractal and Fine-tuned by the Golden Ratio 1.618*". (2010). Interdisciplinary Science Comput Life Sci 2:228-240

Philokalia, (A collection of texts written between the 4th and 15th centuries by spiritual masters of the Eastern Orthodox Church). (1983). translated by Philip Sherrard, "Spurious Knowledge, "Vol. III, p. 194. Faber and Faber, London.

Plato. *Republic,* Book VII, 514a-519d

Plotinus, *Ennead.,* I.6.3.28-29, IV.7.1-8

Sacred Geometry. Phi and Music in DNA www.sacred-geometry-es>content>phi-and-music-dna

Woolls, Daniel (2003, Jan. 17). *Researchers Translate DNA Code as Music*, Midland Daily News.

Contact email: eviezh@yahoo.com

Homosexuality and African Criminal Justice System: Exploring the Current Laws and Enforcement Regimes in Nigeria

Bamikole Martins Aduloju, The Law Firm of Afe Babalola & Co., Company, Nigeria

The IAFOR International Conference on Arts & Humanities in Hawaii 2022
Official Conference Proceedings

Abstract

The discussions surrounding the position taken by the various legal systems towards the lifestyles and activities of homosexuals have gained notoriety and remained topical within and outside the academic space. While some nations have reviewed their criminal laws to decriminalize homosexuality in the recent past, others have re-hardened their criminal justice system against it. Most African nations fall in the latter category—Nigeria being the most recent example that enacted new criminal legislation in 2014 prescribing 14 years imprisonment for homosexuality related activities. Within the academic literature, scholars have generally appraised the African legal stance, and particularly the Nigerian regime, from different perspectives: human rights, medical laws, international laws, etc. However, not much research has been devoted to examining the section-by-section terms of the so-called anti-gay legislation in Africa. This paper is exploratory. It selects Nigeria as a case study and examines the scope of her laws on the 'crime' of homosexuality. Whilst references were made to other African countries, the paper isolates the Nigerian criminal laws and justice system and discusses the legal elements of each provision of the criminal laws relating to homosexuality and the crimes they establish. It also investigates the current enforcement mechanisms put in place. By exploring the extant Nigerian 'anti-gay' laws as they are, this paper makes accessible to the international community how the regime expects persons of LGBTQ+ to conduct their lives and businesses within the ambit of the existing laws while the debates to review or repeal the laws continue.

Keywords: Antigay Laws, Criminal Justice, Africa, Nigeria, Anti-Homosexuality Laws

iafor

The International Academic Forum
www.iafor.org

Introduction

Within the academic literature, homosexuality has been discussed from different perspectives, and the rationale is not far-fetched. The issues relating to homosexuality have increasingly drawn to itself unprecedented global attention in the recent past (John Corvino, 1999). Discussions on the issue now cut across all spheres of life and fields of knowledge (Crompton Louis, 2006) — from the elections' debates in the United State of America (Wilson W., 2014) to the appointment of the Roman Catholic Pope in Italy (Ben Johnson, 2014), to the foreign policy to repatriate homosexual migrants in Lesotho and Swaziland (Murcd M., 2014), to the granting of asylum to the deported homosexual migrants in the United Kingdom (McDonald Henry, 2012), even to the pressure mounted on the *Fédération Internationale de Football Association* (FIFA) against Russia and Qatar for hosting the World Cup (Steve Siebold, 2014).

Meanwhile, a trend that marked the beginning of the twenty-first century in Africa was the surge in the pace at which the various African States moved to re-criminalize the act of homosexuality and prescribe stricter punishment for offenders. Even as the Western donor nations, non-governmental organizations and United Nations agencies sought to make the protection of gay rights a condition for international aids, many African laws continue punishing homosexuals. As a result, two major jurisdictions appear to have emerged based on their respective laws on the act of homosexuality: the "Pro" and "Anti" gay jurisdictions. Central to this issue is Nigeria— a country that drew global attention to itself in the wake of 2014 when it enacted specialised legislation that focuses exclusively on criminalising homosexual activities in the country.

Almost a decade after the passage of its antigay legislation and amidst pressure to reverse it, it is curious to observe that the Nigerian lawmakers have not shown any sign of retracing their stance. Further, the lawmakers have not only continued the drive against homosexuality, but they have also gained the support of the legal community in the country (Ikechukwu Nnochiri, Henry Ojelu, and Jane Onosore, 2021). As it stands today, reports have continued to show a yearly increase in the numbers of suspects arrested and prosecuted for homosexuality related crimes in Nigeria.[1] However, it appears that no conviction has been secured in any of the cases before the Nigerian courts (Alexis Akwagyriam, 2020). Experience has also shown that while many of the ongoing cases in the Nigerian courts are based on the 2014 anti-gay law, there are some other cases filed based on other extant criminal legislations in Nigeria. Thus, it is imperative to review the bodies of laws on the 'crime' of homosexuality in Nigeria, to make accessible to the academic and perhaps international community too, the seemingly less–talk-about area of this subject; to investigate how homosexuality was and is criminalised in Nigeria. Then, to examine the range of policies and legislations on the 'crime,' and isolate the parent legislation on anti-homosexuality in Nigeria—the Same-Sex Marriage (Prohibit) Act 2014— for a detailed analysis of its provisions. The ultimate objective is to show how the existing Nigerian 'anti-gay' regime expects persons of LGBTQ to conduct their lives and businesses within the ambit of the existing laws in Nigeria, even as the age-long and almost-a-never-ending debate continues on whether or not the anti-gay law in Nigeria should be repealed.

---

[1] See the Report of an empirical research jointly carried out by PEN American Center, PEN Nigeria, and the Leitner Center for International Law and Justice at the Fordham Law School, retrieved from < https://pen.org/press-clip/nigeria-urged-to-repeal-its-anti-gay-law-by-rights-group/> on the 2nd of January 2022.

Nigerian Antigay Regimes before the enactment of the 2014 Act

Before the enactment of the 2014 Act, there had been laws that were tougher on homosexuals in Nigeria, and those laws are extant to date. Thus, the reason for the exceptional attention the 2014 Act has gotten from the international community even with little attention on the tougher laws on homosexuality in Nigeria is difficult to rationalize. Nonetheless, it is important to briefly review all the laws on this subject in Nigeria, perhaps to give a clear view of how the entire legal regime on anti-homosexuality in Nigeria crystalised.

Before the enactment of the 2014 Antigay Act, there had been five pieces of legislation that criminalised the act of homosexuality or expressed antigay disposition in Nigeria. These are:
a.   The penal code laws (applicable in the Northern part of Nigeria).
b.   The criminal code laws (applicable in the Southern part of Nigeria).
c.   The Shari'ah penal code laws (applicable in the Northern part of Nigeria).
d.   The Armed Forces Act.
e.   The Matrimonial Causes Act.

The history behind the making of the Penal and Criminal Code Laws in Nigeria

One major factor that has made a research on this subject controversial is that the records of the legal systems of the African societies before her contact with the Europeans and the Arabian invaders were, though kept, but not kept in the modern ways of record-keeping, even though civilization in terms of written records started from Egypt in Africa (Eltoukhy M., 2019). Most, if not all, of the literature about Africa, were either written by Africans who had gotten the information transmitted to them verbally from past generations or written by foreigners who simply wrote out of their limited experience even after they had begun to socialise with the African people and already influenced their culture, or out of a pre-meditated understanding about the African society. Therefore, the lack of original modern-day written records about the legal system of the pre-Europeanized African society has made it challenging for historians to tell, authoritatively, the attitude of the pre-Europeanized Nigerian society towards homosexuals. To this end, the most convenient starting point to trace the evolution of laws on homosexuality in Nigeria for this paper is to begin from when some written laws were introduced to the country— during colonialism.

The Laws against homosexuality imported into the Lagos Crown Colony

Historically, the ancient city of Lagos was the first place in Nigeria to be brought under British rule. It was invaded, shattered and made a British crown colony in 1861, and then, the colonial invaders started ruling the territory through some written laws called Ordinances (Bonny Ibhawoh, 2002). By 1863, one of the ordinances promulgated for the colony was Ordinance No. 3 which made all the laws of England also applicable to the colony. Under this blanket legislation, the English Offences Against the Person Act 1861 (and the English courts' decisions interpreting and applying the 1861 Act) was transplanted into the colony. This transplanted piece of English legislation was the first written law to criminalize the act of homosexuality (in the name "buggery") in Lagos city. The law prescribed a term of life imprisonment to punish offenders. Although, the record of any suspect ever punished under this Act appears unknown. However, the colonial office did establish a kind of English court system in Lagos; to try and punish offenders of all laws imported into the colony which included the 1861 Act. More so, the office of the governor

of the colony of Lagos was created and empowered to enforce the decisions of those courts on behalf of Her Majesty the Queen.

The spread of the Laws against homosexuality to the Northern Nigeria

As at the time homosexuality had become a written offence of "buggery" (or "sodomy" as it was later renamed) under the criminal justice system of the Lagos colony, the laws were yet to be transplanted into the other part of Nigeria (Obilade Akintunde, 1996). This was because the other part of present-day Nigeria— outside the Lagos crown colony— was not colonized until much later. Nonetheless, the Northern Nigeria Protectorate (covering the Northern part of Nigeria) was the next to criminalize homosexuality by an English-type criminal code. Unlike the Lagos colony, there was a deliberate effort to draft a criminal code for Northern Nigeria (Niki Tobi, 1996). The first criminal legislation applicable in the area was drafted in 1903 by Henry Gollan (the then Colonial Chief Justice of the Northern Nigeria Protectorate). The 1903 Penal Code did criminalize the act of homosexuality in two broad ways. First was what the legislation characterized as "unnatural offence," and second was the offence of "acts of gross indecency between male persons" which has a wider scope.

The Penal Code Laws applicable in modern-day Northern Nigeria

Although there had been many modifications in the elements constituting homosexuality related offences from the 1903 Penal Code to date, the Penal Code laws presently applicable in modern-day Northern Nigeria still stemmed from the 1903 Code. The Penal code is now applicable in the 19 Northern States in Nigeria (including the Federal Capital Territory - Abuja). Section 284 of the Penal Code Law reads:

"Whoever has carnal intercourse against the order of nature with any man (or) woman or animal shall be punished with imprisonment for a term which may extend to fourteen years and shall also be liable to fine."[2]

The phrase "against the order to nature" has been interpreted to include intercourse between male and male or female and female genitals. Besides the jail term of 14 years prescribed for this offence, the law provides for the payment of a fine by the convict. Worthy of note is the provision of Section 405 of the Code which further criminalizes conducts suggesting acts relating to same-sex relationships. For instance, it criminalizes the conduct of a male person who dresses or is attired in the fashion of a woman in a public place or who practices 'sodomy' as a means of livelihood or as a profession. Curiously, the Code does not clarify what is sodomy. Still, such an offender is tagged a *"vagabond"* under the Penal Code, and liable, under Section 407 of the Act, to a maximum prison term of 1 year or a fine, or both.

The Shari'ah Code Laws applicable in modern-day Northern Nigeria

The Shari'ah Code was not introduced by the British colonial invaders— it was inherited from the Arabs slave merchants who had raided the Northern part of Nigeria far before the British. Historically, in the 18th century, a jihadist— Usman dan Fodio— launched several assaults on the people living in a part of present-day Northern Nigeria which ended sometime in the 1800s.[3] Part of what the incursion brought was the imposition of Islam on

---

[2] Penal Code Law of Jigawa State, Cap P3 Laws of Jigawa State of Nigeria, 2012, S. 284.
[3] Justin Su-Wan Yang, 'The Shifting Tide (Once Again) of Shari'a Law in Northern Nigeria' (2017) Vol.8 No.2 *The King's Student Law Review* 18-36, 20-22.

the people and the introduction of Islamic religious courts (the courts of the Alkalis and the Emirs) to adjudicate the Islamic Shari'ah criminal injunctions throughout the conquered territory (Paul Lovejoy, 2016). When the British colonialists later raided the same territory and declared the area as a (Northern) Protectorate, they retained the Islamic courts to continue their functions. Indeed, it has been argued that the Northern Nigeria protectorate was the only British colony where the colonialists allowed Shari'ah criminal law to apply simultaneously with the imported English-styled laws.[4]

Accordingly, the act of homosexuality and other related orientations (LGBTQ+) seems to be criminalised under the Shariah criminal law, implicitly or explicitly. It is important to observe that though homosexuality was not one of the acts expressly classed as a Qur'anic offence, however, the Maliki legal doctrine, being the prevailing Islamic criminal jurisprudence handed down to the Muslims of Northern Nigeria as the aftermath of the Uthman dan Fodio's jihad, recognizes "sodomy" (*liwāṭ)* as a 'sin' and punished offenders with various penalties ranging from public flogging to death penalty by stoning. In the period spanning from the 1800s till the abolition of the Shari'ah Codes in the 20th century, many offenders were tried with the offence of *liwāṭ* and convicted. However, there was no record of the exact numbers of the convict that were punished by death for *liwāṭ* in the Northern Protectorate.

Meanwhile, oral testimonies garnered from some eyewitnesses appear to show that many convicts were given public whipping while the death penalty was sparingly pronounced by the Islamic courts. Still, the scarcity in the use of the death penalty may not be unconnected to the repugnancy doctrine introduced into the colonial legal system to test every law and procedure and reserved death penalty to a court that follows the English criminal justice procedures. The Islamic courts fell short of the essential procedures required of the English criminal justice system, and that could explain why there might not be a record of the death penalty for the offence of *liwāṭ,* particularly during colonialism. However, about four decades after independence, the criminal jurisdiction of the Islamic courts has been restored in various States now occupying the then Northern Protectorate. Further, most states in the Northern part of Nigeria has individually re-enacted the abolished Sharia'h Penal Codes, though the offences and penalties vary from state to state.

Some provisions of the Shari'ah Penal Code Laws on homosexuality

In all the Shari'ah penal codes applicable in various states, homosexuality is generally criminalized. Most of the Codes named the act as *liwāṭ,* with some variations though. For instance, the Sharia'h Penal Law of Yobe State, states that:

"Whoever has anal coitus with any man is said to commit the offence of sodomy."

The punishment prescribed for *liwāṭ* also varies from state to state, ranging from lashes of cane to death by stoning. In Kano State, for instance, the following punishments are prescribed for an offender found guilty of the offence of *liwāṭ*:

---

[4] T.A. Nwamara, "*Encyclopedia of the Penal Code of the Northern States of Nigeria and Abuja"* (Law and Educational Publishers Ltd). Pg. 558-560.

"a. caning of one hundred lashes if unmarried, and shall also be liable to imprisonment for the term of one year; or
 b. if married or has been previously married, with stoning to death"

From the above provision, in punishing homosexual offenders in Kano State, the law separates unmarried from married (or divorced) offenders. While capital offence (death by stoning) is prescribed for a married or divorced person who engaged in the act of homosexuality, a maximum of one hundred lashes of cane and a one-year jail term is prescribed for an unmarried offender (Nwamara T., 199). However, the law in Yobe State treats both married and unmarried offenders alike. The Yobe's Shari'ah penal code provides: "(1) Subject to the provisions of subsection (2), whoever commits the offence of sodomy shall be punished with stoning to death (rajm)."

Further, under most of the Shari'ah Codes, an offence of *liwāṭ* is differentiated from *Sihaq* (lesbianism). Most of the statutes describe the offence relating to lesbianism in the following words:
"…whoever, being a woman, engages another woman in carnal intercourse through her sexual organ or by means of stimulation or sexual excitement of one another"

Thus, according to the official explanation to the Codes in some States, the offence of lesbianism is committed by the unnatural fusion of the female sexual organs and/or by the use of natural or artificial means to stimulate or attain sexual satisfaction or excitement. Punishment for the offence relating to lesbianism also varies from state to state. In Gombe and Jigawa, for instance, punishment for the offence is caning up to fifty lashes in addition to a prison term of up to six months. In Bauchi State, the punishment is more severe; in addition to canning, the offender may be sentenced to up to five years imprisonment. Like the Penal Codes, all the Shari'ah Codes also criminalize an act called "gross indecency" under which many other same-sex relationships could fall. The typical clause on gross indecency in most of the Shari'ah Codes provides:

"Whoever commits an act of gross indecency by way of kissing in public, exposure of nakedness in public and other related acts of similar nature capable of corrupting public morals shall be punished with caning which may extend to forty lashes and may be liable to imprisonment for a term not exceeding one year and may also be liable to fine."

Unlike the Penal Codes, the Sharia'h Code illustrates the act of "gross indecency" with some examples like kissing in the public, exposure of nakedness in the public, and other related acts of similar nature "capable of corrupting public morals."

The Criminal Code Laws applicable in modern-day Southern Nigeria

The historical background to the making of a written criminal law against homosexuality in Southern part of Nigeria was different from the experience in Northern Nigeria. The British colonial government could not introduce any codified body of criminal law into the Southern Protectorate throughout her existence because of the disagreement among officials of the colonialists as to which criminal code was to be transplanted into that part of Nigeria. However, after the amalgamation of the Lagos Crown Colony, the Northern and Southern Protectorate in 1914, the colonial government simply extended the Criminal Code applicable in the North to the entire country (Niki Tobi, 1996). Thus, from 1914, the act of homosexuality became punishable in Southern Nigeria under the offences of "unnatural offences," and "acts of gross indecency." Thus, the criminal justice system in Nigeria

remained uniform until 1960 when the regional government of Northern Nigeria opted to enact her Penal Code fashioned after the Sudan Penal Code (which took after the Indian Penal Code).

Though not expressly targeted at homosexuals, the offence classified as "unnatural offences" under the category of offences against morality easily target homosexuals. Under the Criminal Code in Southern Nigeria, a same-sex relationship is named "sodomy" and prescribes a maximum penalty of 14 years imprisonment for an offender. The antigay sentiments underpinning the law is expressed through the provisions of Sections 214, 215, and 217 of the Criminal Code Act:

Section 214 of the Act provides thus:
"Any person who -
(1) has carnal knowledge of any person against the order of nature; or
(2) has carnal knowledge of an animal; or
(3) permits a male person to have carnal knowledge of him or her against the order of nature; is guilty of a felony and is liable to imprisonment for fourteen years."

From the foregoing provision, what is easily notable, which may also be confusing, is that it seems that the Code only criminalizes being a gay lifestyle and not lesbianism, particularly with the use of the word "male person" in Section 214(3) without specific mention of female or woman in the provision. However, a careful perusal of the provision, and decision of the Nigerian courts, show the use of the word "person" has been interpreted to mean male or female individual. Thus, the law is broad and could enable conviction for lesbianism related acts. Further, the Criminal Code further outlaws conduct which shows an attempt on the part of the offender to engage in same-sex relations. The Act prescribes a jail term of seven years for such an attempt. This is prescribed under Section 215 of the Criminal Code Act:
"Any person who attempts to commit any of the offences defined in the last preceding section is guilty of a felony and is liable to imprisonment for seven years. The offender cannot be arrested without a warrant."

Also, Section 217 of the Act generally criminalizes other conducts relating to same-sex union in both public and private as well as attempts to commit the offence which it described as 'indecent conducts.' Section 217 reads:

"Any male person who, whether in public or private, commits any act of gross indecency with another male person or procures another male person to commit any act of gross indecency with him, or attempts to procure the commission of any such act by any male person with himself or with another male person, whether in public or private, is guilty of a felony and is liable to imprisonment for three years. The offender cannot be arrested without a warrant."

Indecent conducts relating to the same-sex union under this Act have been interpreted to include flirting, kissing, fondling, sensual massages or erotic stimulations and other forms of oral sex or foreplay etc., between persons of the same gender. Nonetheless, there is yet no clear court's pronouncement on what constitutes an offence under Section 217 of the Criminal Code Act.

The Armed Forces Act

As noted earlier, there are other statutes with some special provisions that also criminalize homosexual acts or convey antigay disposition in Nigeria. The most popular statutes are The Armed Forces Act[5] and the Matrimonial Causes Act.[6] These statutes are limited in scope because they do not apply to all Nigerian residents but a specific class of the populace. For instance, the Armed Forces Act is only applicable to persons who are subject to the service laws while the Matrimonial Causes Act applies only to persons who contracted marriage under the Act. Like the Criminal Code, the Penal Code and the Shari'ah Criminal Laws, the making of these other statutes could still be traced to the colonial days in Nigeria. During colonialism in Nigeria, the British Colonial office introduced a distinct criminal law to the military circle in the colonies under which many acts popularly attributed to homosexuality were criminalized. The antigay regime within the Nigerian military originated from the transplantation of the 1881 British Army Act into the colony. The transplanted law criminalized homosexuality related activities majorly in three ways.

The first was what it terms as 'sodomy' which forbade male military officers from having 'carnal knowledge of another 'human being per anurn (anus).' The second crime was defined as "the act of indecency" which made it an offence for a male officer, either in public or private, to involve in "act of gross indecency" with another male person. The third crime was defined as "disgraceful conduct" of an unnatural kind, which generally punished all conduct not befitting the military profession. By the way, the provisions of the 1881 Army Act were couched, any of the activities of the homosexuals could be read to mean 'disgraceful conduct.' This latter crime appears to show the striking difference between the anti-homosexuality criminal regime within the military and the other part of the society.[25]

Given the history of many military interventions and long military rule in Nigeria, it would be expected that the laws regulating the command, maintenance and administration of the Armed Forces of the federation would have undergone some comprehensive reforms, however, the opposite appears to be the case (Theophilus Olatunde, 1978). There have been only little changes from the inherited 1881 Act and the extant Armed Forces Act in Nigeria. To this end, the three antigay crimes created in the 1881 Act remain within the system to date. They now form part of Sections 81 and 93 of the Armed Forces Act.

The Matrimonial Causes Act

The law makes the act of 'sodomy' (as defined under the Criminal Code Act) one of the grounds upon which a law court could dissolve a marriage in Nigeria. By section 16 of the Act, once a petitioner in a divorce proceeding can show that his or her spouse has involved in the act of sodomy, it is a sufficient ground, without more, to dissolve a marriage. Even though the Act is not a criminal statute in Nigeria, it establishes a relationship with the criminal justice system on some issues such as bigamy, sodomy, rape etc. For instance, Section 87 of the Act relieves a wife who is alleging that her husband engages in a homosexual relationship from going through eliciting direct evidence to establish her case once she can show that her husband had once, during the marriage, been convicted for the offence of sodomy by a competent law court.

---

[5] Laws of the Federation of Nigeria, Cap. A20, 2004.
[6] Laws of the Federation of Nigeria, Cap. M7, 2004.

The making of the 2014 Same-Sex Marriage (Prohibition) Act

In 2005, Nigeria hosted the International Conference on AIDS and Sexually Transmitted Infections in Africa, ICASA, and being a gathering of officials from different international groups from both pro and anti-gay jurisdictions, an invitation was extended to many people of different orientations and backgrounds. While the deliberations were ongoing, news had it that one of the Nigerian officials expressed an opinion that there is no homosexuality in Nigeria. The insensitive expression attracted spontaneous counter-reactions and criticisms from some pro-gay groups in the gathering. Following the meeting, the government of President Obasanjo presented for approval some draft copy of a bill to legislate against homosexuality related activities and relationships in Nigeria. Some writers believed that Obasanjo's proposal was the genesis of the contemporary move to harden the Nigerian antigay legislation and regime.

The bill provoked international outrage and reactions. In February 2006, the United States Department condemned the proposal. In March 2006, sixteen international human rights groups signed a letter condemning the bill.[7] The bill died a natural death. Again, in 2007, the lower chambers of the Nigerian federal parliament introduced another similar bill for debate, though the bill was re-titled to 'prohibit marriage between persons of the same sex, solemnization of same and for other matters related therewith.' The difference between Obasanjo's bill and the latter was that the term "sex" in the former bill was replaced with the word "gender" in the latter. The Parliament received many memoranda and communiqués on the issue and conducted public hearings. Meanwhile, like the 2006 bill, the 2007 bill also got an uptight reaction from some developed economies, particularly the United Kingdom and the United State of America, and some NGOs that were much concerned about the projected damaging impact of the law and attended the public hearings. Again, the bill had a natural death.

Nonetheless, sometime after the 2011 general election, one Obende Domingo (a federal lawmaker) presented another similar bill to the National Assembly (i.e. the Senate) for passage into law. In many ways, it is observed that the 2006 bill simply served as the template for Obende's bill. Though the latter legislation contains all the restrictions outlined in the earlier bill, it is slightly different in terms of the severity of punishments for guilty offenders. There is no record of what triggered Senator Domingo to sponsor the third and final bill on this subject in Nigeria despite the failed past attempts. Many reasons have been advanced to rationalize Obende's decision. One of the most popular views was that failed Nigerian politicians that were losing relevance, owing perhaps to their poor performance in governance, had decided to throw religious sentiments into the equation of governance to maintain relevance in the sight of the vastly religious citizens, culminating into the re-toughening of the antigay laws in the country. For whatever reason it was, the Obende's bill enjoyed the vast support of members of both chambers of the Federal Parliament. Then, the bill became a law after it got a presidential assent in December 2013, now commonly called, among Nigerians, the 2014 Anti-Gay Act.

---

[7] Human Right Watch's, "Nigeria: Obasanjo Must Withdraw Bill to Criminalize Gay Right," retrieved from <https://www.hrw.org/news/2006/03/23/nigeria-obasanjo-must-withdraw-bill-criminalize-gay-rights#>

Analysis of the provisions of the 2014 Antigay Act

The 2014 Antigay Act is a short legislation with just 8 Sections. The first four sections prohibit marriages or civil unions by persons of same-sex, solemnization of same-sex marriage in places of worship and registration of homosexual clubs and societies in Nigeria, and the fifth section prescribes antigay offences and penalties. The last three sections respectively identify the court that has the requisite jurisdiction to try offenders under the Act, the interpretation of some key terms under the Act and citation.

Section 1 of the Act provides:
"1—(1) Marriage Contract or Civil Union entered into between persons of the same sex:
      (a) is hereby prohibited in Nigeria
      (b) shall not be recognized as entitled to the benefits of a valid marriage
  (2) A marriage Contract or civil union entered into between persons of the same sex by a certificate issued by a foreign country shall be void in Nigeria, and any benefit accruing there-from by the certificate shall not be enforced by any court of law."

Two prominent phrases are readily noticeable from the opening of the above provision. They are: "marriage contract" and "civil union." Though, these two phrases are used interchangeably throughout the Act, in some other jurisdictions, they convey a different meaning. From the title of the statute, it appears that the drafters do not intend to use the words "marriage" and "civil union" interchangeably. Perhaps, maybe the use of the word *'or'* in describing the scope of the legislation might be said to have shown the legislators' intention. The law describes its scope as covering issues such as the "…prohibit(ion) (of) marriage or civil union entered into between persons of the same sex, solemnization of same and for other related matters." By this long title, the legislation appears to have banned the two relationships, that is, both "marriage" and "civil union" between persons of the same gender.

Under Section 7 of the Act, same-sex marriage is understood to arise when persons of the same sex entered into a legal union that shares similar features with marriage under the Marriage Act or Islamic Law or Customary Laws in Nigeria. In other words, when a marriage is contracted following any of the three (3) recognized marriage rites in Nigeria (i.e. the Marriage Act, Islamic Law or Customary Laws) but between persons of the same sex, such marriage is, on the ground of the gender composition, null and void. Thus, all the relationships listed in Section 7 of the Act fall under the category of "civil union."[8]

Further, it may be argued that having listed some of the prohibited relationships and used the word 'includes' before the listed relationships, it implies that the list is unending. Thus, the law leaves many other unions between persons of the same sex, even though not expressly mentioned in the Act, to become an indiscriminate target of one overambitious law enforcement agents and law courts. This has been the experience in practice where many cross-dressers have been arrested for interrogation under the Act in spite of the fact that the Act does not clearly prohibit cross-dressing (Nasiru Suleiman, 2020). In practice, experience has shown that the law enforcement agency usually relies on the rule of *ejusdem generis* which denotes that when the provision of a statute introduces some items by an open-ended word such as "include", and further highlights the likes of the items envisaged, any other

---

[8] These are the (i) adult interdependent relationships, (ii) caring partnerships, (iii) civil partnerships, (iv) civil solidarity pacts, (v) domestic partnerships, (vi) reciprocal beneficiary relationships, (vi) registered partnerships, (vii) significant relationships; and (viii) stable unions.

item not expressly mentioned but share the same characteristics with the ones expressly mentioned. This gap has become, in Nigeria, a sleepy slope to produce bullying tool, instrument of extortion and creation of a big bracket net to catch all fishes to the police net.

Further, Section 1(2) of the Act is particularly applicable to a foreigner in Nigeria. It focuses on the legal status of same-sex marriage or union contracted outside Nigeria. The prima-facie evidence of any marriage contract in most countries of the world is the marriage certificate. Thus, Section 1(2) of the Act is applicable in the circumstance where a same-sex couple married in a pro-gay jurisdiction and came to Nigeria with the marriage certificate. By the express provision of Section 1(2) of the Nigerian Anti-Gay Act, it appears that such a marriage certificate would be treated as null and void under the Act. The implication of this is that the Nigerian law would take the marriage as non-existing between the couple or partners and treat them as unmarried foreigners.

Section 2 of the Act provides:
"2—(1) A marriage contract or civil union entered into between a person of the same sex shall not be solemnized in a church, mosque or any other place of worship in Nigeria.
(2) No certificate issued to persons of same-sex in a marriage or civil union shall be valid in Nigeria."

Unlike Section 1 which bothers on foreign marriages or civil unions, Section 2 focuses on the status of gay marriage under the Islamic, church and traditional marriage rites within Nigeria. It prohibits the solemnization of gay marriage in Nigeria in any of the two broad forms of marriage recognized under Nigerian family laws. These are the s*tatutory* and *customary marriages*.[9] Thus, Section 2(1) of the Anti-Gay Act covers marriages contracted under the customary laws in Nigeria. The effect of the provision is that, when a Nigerian or Nigerian resident decides not to contract a statutory marriage but opted for a customary marriage (in church, mosque or any other licensed place of contract for customary marriage), the licensed authorities are prohibited from celebrating marriages for persons of the same gender. If perhaps, there is any religious faith in the country that provides for same-sex marriage or relationship, it appears that such belief would be treated as being repugnant and contrary to public policy and national interest as expressed in the provisions of the Act.

More so, even where there is a celebration of gay marriage in a church, mosque or other licensed places of worship in Nigeria, the act of celebration may be declared void and the marriage so contracted, invalid. The person who ministers or authorizes the marriage, as well as the persons who witnessed, abets or aids the solemnization of the marriage or civil union, may also risk a jail term of 10 years under Section 5 of the Act.

Section 3 of the Act provides:
"Only a marriage contracted between a man and a woman shall be recognized as valid in Nigeria"

---

[9] While the statutory marriage is contracted following the provisions of the Marriage Act (commonly described, in Africa, as *court marriage*), customary marriage can be contracted in any of these three forms: (i) marriage contracted at a Christian church (following Christian matrimonial rites) and in deviant of the Marriage Act; (ii) marriage contracted following the Islamic tenets, and (iii) marriage contracted following the customs and traditions of any Nigerian indigenous community.

Section 33(3) of the Nigerian Marriage Act declares as valid all marriages celebrated under the Act if they are celebrated in accordance with the formalities stipulated in the Act. The provision of Section 34 of the Act further states that every marriage celebrated according to the Marriage Act is good and valid in law. Thus, the Marriage Act does not describe what is a valid marriage, and so, the legislation does not prohibit persons of the same gender from contracting a marriage in the country. However, Section 3 of the Act appears to have fixed the controversies and declared invalid marriages or unions between persons of the same sex. The ultimate effect of Section 3 of the Act is that it cleared the ambiguity created under the Marriage Act as to the legality of gay marriages contracted in a statutory, Islamic or customary way in Nigeria.

Section 4 of the Act provides:
"(1)   The Registration of gay clubs, societies and organizations, their sustenance, processions and meetings is prohibited.
  (2) The public show of same-sex amorous relationship directly or indirectly is prohibited."

The provision forbids every person within Nigeria to form an establishment aiming at engaging in gay or gay-related activities. Going by the provision, the prohibited establishments could take three forms which are *"clubs," "societies,"* or *"organizations."* But curiously, it appears that the wordings of Section 4(1) of the Act are one of the most ambiguous out of the 8 Sections of the legislation. This is because the provision does not limit its scope to the establishments that are purposely registered for gay activities. An overambitious law enforcement agent could rely on the provision to cover organizations, such as many non-governmental organizations operating in Nigeria, with a general focus on international human rights laws or public health issues which may include advocacy on gender equality. Although, it appears that there is yet no record of the disruption of the activities of any international organisation in Nigeria based on this provision, in some African countries such as Kenya and Uganda such interpretation has been given to their similar laws. For instance, in Uganda, about 38 non-governmental organizations dealing with the advocacy of gender equality were banned in 2012 based on their activities.[10]

The provision of Section 4 of the Act could not be strictly interpreted to include NGOs as gay societies or organizations. Thus, in banning the registration of gay clubs, societies and associations, the wordings of Section 4 of the Act imply two things. First, the law bars everyone from presenting, for registration, any organization whose objects relate to same-sex activities. Second, the law further bars any registering authority from accepting for registration any organization that has an object in same-sex activities.

Section 5 of the Act provides:
"Offences and Penalties
1. A person who enters into a same-sex marriage contract or civil union commits an offence and is liable on conviction to a term of 14 years imprisonment.
2. A person who registers, operates or participates in gay clubs, societies and organizations, or directly or indirectly makes a public show of same-sex amorous relationship in Nigeria commits an offence and is liable on conviction to a term of 10 years imprisonment.
3. A person or group of persons who administer, witnesses, abets or aids the solemnization of a same sex marriage or civil union, or supports the registration, operation and

---

[10] The Guardian Newspaper, published in March 2004 on <https://www.theguardian.com/world/2012/jun/20/uganda-bans-organisations-promoting-homosexuality>

sustenance or gay clubs, societies, organisations, processions or meetings in Nigeria commits an offence and is liable on conviction to a term of 10 years imprisonment."

The provision of Section 5 prescribes what is a crime and punishment for offenders under the Act. The law creates three classes of offence. These are: (i) Contracting Same-Sex marriage or union, (ii) Promoting Same-Sex relationship; and (iii) Conspiracy to commit offences relating to contract or promotion of same-sex marriage or union. The first crime created is a follow-up to the provision of Section 1(a) and (b) of the Act. Section 1 simply prohibits, without more, marriages contracted, or civil union entered, between persons of the same gender in Nigeria, and further denies the parties the benefits ordinarily accruable to a valid marriage. However, Section 5 of the Act prescribes penalty for anybody who choose to act contrary to the earlier provision of the Act, particularly by contracting or involving in a same-sex marriage or union respectively. For any offender who is proven to have acted contrary to this provision, the law prescribes a term of 14 years imprisonment. The implication of the jail term prescribe under this provision is that the court has no discretion to prescribe any penalty other than 14 years imprisonment prescribed under the Act. The court cannot reduce or increase the jail term, neither can the court prescribe any other punishment like warning, canning or fines etc.

On the second crime, the law criminalizes all acts or conducts which tend to promote or endorse gay-related activities in Nigeria. Section 5(2) is a follow up to Section 4 of the Act. By Section 4, the registration of gay clubs, societies and organizations, their sustenance, processions and meetings or public show of same sex amorous relationship directly or indirectly are considered a promotion or endorsement of same-sex relationship and prohibits Nigerians from involving in the acts. Section 5(2) of the Act further made such act of promotion or endorsement an offence under the Act. The scope of this provision seems to be too broad. It is capable of many interpretations and serves as the basis to fit any accused. Nevertheless, the purport of the provision cannot be misunderstood – it criminalizes all positive acts of promotion or endorsement of same-sex relationship. For instance, a registering authority who knowingly and intentionally registers or runs a gay marriage or club respectively may be found guilty of the offence under the Act as well as a person (natural or corporate) who directly or indirectly finances the establishment or meetings of gay societies or show. It is noteworthy however that this provision does not cover activities in the private confines of citizens contrary to the present experience where accused are raided from the confines of their privacy in Nigeria (Maltida Davies, 2021).

The third and final crime created under Section 5 is conspiracy to commit offences under the Act. This is an omnibus provision which establishes an offence of conspiracy to commit offences such as: where a person or group of persons administers, witnesses, abets, aids, or supports the entering into a same-sex marriage contract or civil union, or the registration, operation and sustenance or gay clubs, societies, organizations, processions or meetings in Nigeria. It criminalizes any action of a third party who, though not the person contracting or promoting same-sex marriage or union but played a positive role in enabling the parties to actualize the prohibited conducts. For instance, when Reverend A administers the oath of matrimony for Mr. A and Mr. B in a same-sex marriage, besides the fact that such marriage is not valid under the Nigerian law, Reverend A is also guilty of an offence under the Act. More so, Mr. X who signs as the witness or a sponsor of the marriage between Ms. Y and Ms. Z is guilty of an offence under the Act. Also, a hotelier or knowingly and deliberately allowed Mr. F and Mr. G to lodge and engaged in amorous doings at his hotel is guilty of an offence under the Act. It is noteworthy to observe that the interpretation section of the Act defines who is a *"witness"* for the purpose of the Act as *"a person who signs or witnesses*

the solemnisation of the marriage". By this definition therefore, witnessing a gay marriage is not limited to signing the marriage document as a witness but also positive participation in the solemnization. In any of the foregoing or more instances, the law empowers the court to convict such accused to 10year imprisonment if found guilty.

Conclusion

In this paper, attempt has been made to examine the regimes on anti-homosexuality related offences in Nigeria and a special focus has been beamed on the implication of each provision of the Nigerian 2014 Anti-Gay Act. Efforts have been made not to take any position on the divergent ideas on the unfairness of the anti-gay legislation in Nigeria. Rather, the approach is more of the positivist school of jurisprudence – stating the law the way it is. It is hoped that by exploring the extant Nigerian 'anti-gay' laws as they are, this paper would make accessible to the international community how the regime expects persons of LGBTQ+ to conduct their lives and businesses within the ambit of the existing laws while the debates to review or repeal the laws continue. However, it is not envisaged that there should be a general consensus on the interpretation of laws expressed in the paper, but if I succeed in provoking further legal thought and even divergent positions on the subject discussed, then, the paper has achieved its object.

Acknowledgement

References

Corvino, J. (1999). *Same Sex: Debating the Ethics, Science and Culture of Homosexuality*. (1st Edn., Rowman & Littlefield 1999) 67.

Eltoukhy, M. (2019). The Meaning of the Word ins Through Ancient Egyptian Hieroglyphic Texts. *Egyptian Journal of Archaeological and Restoration Studies* Vol. 9 Issue 1, 69.

Henry, M. (2012). *UK Immigration Laws and the Foreign Homosexuals*. 2nd Edn., Ghana: Accra.

Ibhawoh, B. (2002). Stronger than the Maxim Gun Law, Human Rights and British Colonial Hegemony in Nigeria. *Journal of the International African Institute* Vol.72 No.1, 55-83.

Loius, C. (2006) *Homosexuality and Civilization*. USA: Harvard University Press, 34.

Lovejoy, P. (2016) *Jihad in West Africa During the Age of Revolutions*. USA: Ohio University Press.

Niki, T. (1996). *Sources of Nigeria Law*. Nigeria: MIJ Professional Publishers Ltd.

Nwamara, T (2011). *Encyclopedia of the Penal Codes of the Northern State of Nigeria and Abuja-FCT*. Nigeria: Law and Educational Publishers Ltd., 558-560.

Obilade, A. (1996). *The Nigerian Legal System*. Nigeria: Spectrum Book Ltd., 6th Edition.

Odetola, T.O. (1978). *Military Politics in Nigeria: Economic Development and Politics*. United Kingdom: Routledge.

Resources

"Antigay Law: Ignore US Threat, Lawyers tell FG" by Ikechukwu Nnochiri: https://www.vanguardngr.com/2021/02/anti-gay-law-ignore-us-threat-lawyers-tell-fg/

"Boycott the World Cup and Demand Equality" by Steve Siebold: http://www.huffingtonpost.com/steve-siebold/boycott-the-world-cup-and_b_6152920.html.

"Criminal Laws on Homosexuality in African Nations" by McDollin Murcd: http://www.loc.gov/law/help/criminal-laws-on-homosexuality/african-nations-laws.php.

"Gay Catholics hope new "progressive" Pope will convene Vatican III: For Gays" by Ben Johnson: https://www.lifesitenews.com/news/gay-catholics-hope-new-progressive-pope-will-convene-vatican-iii.

"Nigerian Judge Throws out case against 47 men facing homosexuality charge" by Alexis Akwagyiram: https://www.reuters.com/article/us-nigeria-lgbt-idUSKBN27C1TZ.

"Nigerian Police raid suspected 'gay party' and drag 'scores' of men to Anti-Cult Office" by Maltida Davies: https://www.pinknews.co.uk/2021/03/08/nigeria-police-raid-gay-party-anti-cult-office-anambra/

"Report of an Empirical Research" carried out by PEN American Center, PEN Nigeria, and the Leitner Center for International Law and Justice at Fordham Law School: https://pen.org/press-clip/nigeria-urged-to-repeal-its-anti-gay-law-by-rights-group/.

"Sokoto Police Command arrest male crossdresser parading as female Prostitute" by Nasiru Suleiman: https://www.vanguardngr.com/2020/03/sokoto-police-command-arrest-male-crossdresser-parading-as-female-prostitute/

"The Absurd Claim that Trump is the 'Most pro-gay president in American History" by Glenne Kessler: https://www.washingtonpost.com/politics/2020/08/24/absurb-claim-that-trump-is-most-pro-gay-president-american-history/.

"Will Obama Support of Gay Marriage Help Him Politically" by Wilson Williams: http://www.usnews.com/debate-club/will-obamas-support-of-gay-marriage-help-him-politically.

The Guardian Newspaper, published in March 2004 https://www.theguardian.com/world/2012/jun/20/uganda-bans-organisations-promoting-homosexuality.

The Guardian Newspaper: https://www.theguardian.com/world/2019/dec/11/first-men-go-on-trial-under-nigerias-anti-homosexuality-laws.

Roots and Resilience in Weil, Kołakowski, Todorov, and Finkielkraut

Matthew Motyka, University of San Francisco, United States

The IAFOR International Conference on Arts & Humanities in Hawaii 2022
Official Conference Proceedings

Abstract

This paper studies selected writings of prominent European intellectuals regarding the matter of cultural roots and uprootedness. Simone Weil attributes to uprootedness many ills of the twentieth century induced by the dominant State culture that tends to uproot a subject from their intimate environment. The ultimate results are alienation and violence. Leszek Kołakowski and Tzvetan Todorov, two thinkers who lived the experience of uprootedness caused by their immigrant status, reflected on the directions the world might take after the fall of the Iron Curtain in 1989. Alain Finkielkraut argues for the preservation of a genuine pluralism of ideas in our contemporary multicultural democratic society. The underlying common concern of these authors is the modern world at a crossroads, lost in its ideological entanglements, far from fulfilling the promise of a better, more open, and inclusive democratic reality. Kołakowski refers to this crisis as a spiritual recession—and the other three would very likely agree with this assessment.

Keywords: Simone Weil, Kołakowski, Todorov, Finkielkraut, Marxism, Ideologies, Democracy in Crisis, Uprootedness, History

iafor

The International Academic Forum
www.iafor.org

Introduction

The main purpose of this paper is to compare the ideas of four major thinkers of the twentieth and twenty-first centuries regarding roots and uprootedness. All of them are European intellectuals, belonging to the category of thinkers, and free from the pressures of their cultural and political contexts. They all have risked, or are risking, being unpopular by confronting, with an open visor, the ideological reality of their time, and the political reality characterized by ideological infatuation with comfortable semi-truths. By dissecting the reality of the times in which they write, they transcend the politically or socially attractive and tear the ideological veil that camouflages the truth through the recourse to ideologies in vogue. For them, ideologies flourish when communities lose their sense of historical continuity and roots.

Simone Weil, the earliest writer of the four, inspired the remaining three, who refer to her in their analyses. She writes, "To desire truth is to desire direct contact with a piece of reality" (1952, p. 242). Certainly, in Western cultures, the truth has suffered deformations from various ideological misconceptions. Leszek Kołakowski and Tzvetan Todorov, both immigrants, share their experiences of uprootedness as outsiders to both their cultures of origin and to the reality of Western democracies, their new homes, where the truth should have shown by its own light, but has not been able to. The fourth thinker, Alain Finkielkraut, remains active in the public arena of mass media and sparks frequent controversies by criticizing French cultural policies and seeing in them the grave danger of losing the universal appeal of France because of its particular way of thinking.

Simone Weil

Simone Weil (1909–1943) was a French philosopher and political activist who wrote on behalf of the working class and became an engaged supporter of the French Resistance Movement in London during World War II. She is the author of *The Need for Roots: Prelude to a Declaration of Duties Toward Mankind (1949)* [*L'Enracinement, prélude à une déclaration des devoirs envers l'être humain*], which was intended as a draft of the vision for France after the liberation. In this work, Weil challenges the way history had been taught in schools. She sees the study of history as an essential component of one's sense of rootedness. Her statement about writing history, as it was practiced in France, seems to reflect the reality of today's poststructuralist, postcolonial era: conquerors impose their historical perspective on facts and interpret them accordingly to justify the political status quo that serves their interests. History as a discipline has become the casualty of the conquerors' political pressures and subjected to the supreme rule of force in the world: "No attention is paid to the defeated. [History] is a scene of a Darwinian process more pitiless still than that which governs animal and vegetable life" (1952, p. 212). Raising the question about the historical method, Weil provocatively asks whether history should be taught at all or selectively by placing wars in the background. To dismiss any doubt about her stance on the issue, she discusses the example of the United States, the country which, in her view, epitomizes a lack of a historical perspective: "We have only to look at the United States to see what it is to have people deprived of the time dimension" (1952, p. 221).

Weil associates the surrender of historiography to the political agenda of the governing body with the rise of the State as a political entity in the second-half of the Renaissance, and its subsequent evolution under the auspices of absolutist ideology. In the seventeenth century, at the court of Versailles, absolutism reached its apogee in surrendering culture (including the

view of history) to the service of the absolutist monarchy. History as a handmaid of political power became a vehicle of the ideology of conquest and served the propagandist apparatus of the body politic. Its ideological framework became a source of theories that attempted to focus on the unstoppable social evolution and were used as ideological warrants for various political regimes. For Weil the Marxist theory is a fruit of this development of historiography. She purports, "Marxism is nothing else than a belief in a mechanism of this sort. There the force is given the name of history; it takes the form of the class struggle; justice is relegated to some future time which has to be preceded by a sort of apocalyptic cataclysm" (1952, p. 231).

As an ideological instrument of a governing class, Marxism uproots individuality from its historical context and drives its ideological engine to an imaginary future at the expense of spiritual fulfillment in the present. Weil's *The Need for Roots* deplores the loss of roots in her contemporary France. She writes, "To be rooted is perhaps the most important and least recognized need of the human soul (1952, p. 41) …Whoever is uprooted himself uproots others. Whoever is rooted doesn't uproot others" (1952, p. 45). The ills of the world of her time spring from the condition of uprootedness. The cultures of the West are fruits of that deviation, which has led the political development to obfuscate their connections with truth. They were deceitful ideologies building their self-confidence in self-referential idols in order to camouflage the truth about the human condition: "Idolatry is an armour, prevents pain from entering the soul" (1952, p. 217).

Leszek Kołakowski

The Polish philosopher Leszek Kołakowski (1927–2009), an expert on Marxism both in theory and from a personal experience of living within a system that claimed to be based on Marx's "scientific" theory, wrote a monumental study of Marxism, entitled *Main Currents of Marxism* (1976–78). His views of Marxism echo Weil's mistrust. His publication, as well as his sympathy toward the student rebellion in 1968, ultimately cost him his academic position at the University of Warsaw, leading to an exile in the West. On the occasion of his acceptance of the first Kluge Prize from the Library of Congress in 2003, Kołakowski states in his speech entitled "What the past is for?":

Human history is a collection of unpredictable accidents, and we can easily cite any number of instances where an event that was clearly decisive in shaping the destiny of mankind for subsequent decades or centuries could have gone a different way than it did; there was nothing necessary in its happening or in its results. […] Alas, all the predictions made by Marx or later by Marxists, were demonstrably false; social development went in an entirely different direction.

In the text, "Can Humankind Still Save its Humanity?,"[1] written at the time of the unraveling of the Communist systems in Central Europe, Kołakowski queries the extent to which and the manner in which the existence of nations and ethnic communities be defended. Marxism claimed that nationalism and cultural particularisms were meant to disappear from the surface of the Earth, but they did not. He points out the existence of two groups of truths or positions regarding the question of the national and ethnic survival, and both positions have valid justifications. The first acknowledges the natural need to belong to a cultural, historical, and

---

[1] Quotes from Kołakowski's text in Polish as well as Todorov's and Finkielkraut's French texts are my translations.

linguistic community. This sense of belonging implies the necessity of territory and historical continuity.

The second position embraces the argument claiming that a purely ethnic Statehood is a call for genocide; therefore, there ought to be openness to external influences to fertilize its monocultural outlook. Unfortunately, one can find a plethora of examples in the twentieth century that confirm the thesis of danger from a monocultural and monoethnic Statehood. However, history provides examples of possible coexistence, without the bloodshed of nations and ethnic groups. It shows that diverse cultures and civilizations enrich each other, stimulating their individual and independent growths. A nation operating in isolation runs the risk of facing cultural drought and may find itself on the way to totalitarian despotism.

Both positions are problematic in terms of practical application. The liberal attitude calling for the suppression of borders ignores the political and social consequences of migration today. It does not consider the biological and physical limitations of human existence. It assumes the existence of a world where all people live under similar economic, demographic, and cultural situations. This is not the case obviously, and today, the rapidity of people's movement, the aspirations for equality of citizens' welfare in a given territory, the density of the population, and its social and ecological consequences call for some migratory regulations to avert social unrests because resources are limited.

Confronting these two attitudes, Kołakowski concludes that humanity ought to have recourse to a moral grounding that could mediate between those two tendencies. Religions can and should play a role in helping societies remain open, while preserving their sense of cultural belonging. When secular ideologies lose their appeal as a result of the verification process of the economic and social realities they have produced, religions often feel a gap. However, a religion that adheres to political conflicts actively or tacitly, rather than arbitrating for the defense of the values of universal humanity, degrades itself to the level of political entity. This is a great danger of our time.

Tzvetan Todorov

In the same way as Kołakowski, his contemporary Tzvetan Todorov, a Bulgarian dissident who became a prominent French philosopher and literary theorist, knew life in the totalitarian system in his country of origin. For him, the process of uprootedness and alienation occurs gradually in response to a certain appeal of totalitarianism for an individual psyche (1996, pp. 36–37). In Bulgaria, totalitarian ideology propagated the image of a better society and incited its citizens to aspire to it. This attraction meant to respond to the universal human aspiration, "Isn't the desire to transform the world in the name of an ideal an integral part of human identity?" (1996, p. 36). Many adhered to the propaganda image and helped enforce the construction of a totalitarian system. This social engineering fostered the pleasure of having power over others. As the outcome, totalitarian society, contrary to its egalitarian claims, was divided into several groups in a hierarchical arrangement: on the top the party, the State, the police, and the army; in the middle, the masses suffering the inconveniences of the system (provoked by its economic flaws that eventually helped its demise); and at the bottom, the enemies of the State, real or only suspected of insubordination. Paradoxically, this society, like any free democratic society, encouraged personal ambitions and competition. The game's rules were radically different, nonetheless. Two guiding principles dominated the ascent: the degree of servility toward hierarchical superiors, and denunciation toward others. Thus, the entire society was under control.

In this context, the ethical dimension of human conduct is undermined severely. Communist societies deprive individuals of their responsibilities. The decision belongs to the vague pronoun "they," as Todorov explains (1996, p. 36). Thus, the individual citizens felt numbed in their ethical behavior: they were not responsible for their own actions, which were coerced by the indefinite but all-powerful agency of "they." There was a certain comfort in not having to make any decision or taking any initiative. This system of rewards and punishment progressively led to the creation of the collective psyche labeled as "homo sovieticus," a term coined by the Soviet sociologist Alexandr Zinoviev, to express the impact of the Soviet indoctrination on the psyche of the citizens of the Soviet empire. Todorov claims that an attraction to the totalitarian system, felt unconsciously by a considerable number of people who might have feared freedom and responsibility, accounts for a relative initial popularity of totalitarian regimes. The Communist system's primary task was to build a collective consciousness whose moral code would identify automaticity with the authority's thinking and serve it voluntarily, having lost any sense of roots.

Strangely enough, Todorov notices that while Western countries have been engaged in building democracy for more than two hundred years, intellectuals of these countries have supported violent and tyrannical regimes elsewhere. One possible explanation for this is the lure of power. Democracy makes it more difficult to arrive at an influential position, whereas tyranny invites an intelligent person more readily to become a close adviser of the despotic master. According to Todorov, Jean-Paul Sartre, a popular intellectual in postwar France, was guilty of this use of intellect to advocate false hopes on the Soviet model that were eventually discredited by the fall of Communism. In a free body politic, intellectuals must embrace a universal morality as a consensus resulting from a dialog having in mind the common good. In contrast, totalitarian societies are uprooted in the sense of being severed from any moral grounding and surrendered to the ideological pressures imposed on them from the dictatorial top.

Alain Finkielkraut

The contemporary philosopher and a media polemist, and now also a member of French Academy, Alain Finkielkraut, wrote his most controversial book in 1986, entitled *La Défaite de la pensée* [The Defeat of Thought]. He approaches France's identity issues in the face of mass immigration by asking, "how did we get there?" In his answer, he builds his argument by evoking two founding poles in the contemporary ideological culture wars: Enlightenment and German Romanticism. According to Finkielkraut (1987, pp. 14–19), the German philosopher Herder (1744–1803) introduced the concept of *Volksgeist*, a national spirit that he opposed to the rising spirit of Enlightenment with its universalist claim regarding human reason. For Herder nothing can transcend the pluralism of human experience in each historical and geographic context. Enlightenment thinkers combatted this attitude by replacing it with the notion of universal reason and ideal law. The leaders of the French Revolution attempted to implement the ideas of Enlightenment by fighting national particularisms, defined as prejudice and ignorance. They advocated uprootedness from any particular cultural belonging to adhere to the universal human identity. After the revolutionary period and Napoleon's First Empire, the ideology of Romanticism coming from Germany took the stage in France's cultural life.

Finkielkraut points out that ultimately, it is this heritage of Romanticism that revived in the sixties of the twentieth century and ideologically nourished the process of decolonization. It rehabilitates particular national cultures, as opposed to the universalist civilization proposed

by Enlightenment. Marxist thinkers of the sixties and seventies will add to this idea, born in the Romantic period, the concept of class struggle. For thinkers such as Pierre Bourdieu, the predominance of a culture over others is explained by the dominant position of a class that formed it. Postcolonial thought will thus argue that dominant culture has created the system of education that uproots and ridicules the dominated classes. It has two major phases: first, uprooting, then, dressage. In other words, it proceeds by tearing human beings from their habits and attitudes that constitute their collective identity, then inculcates in them dominant values raised to the status of universality (1987, p. 77). Finkielkraut tries to discredit postcolonial theories by associating them with a return to revolutionary upheavals sprung by the Romantic wave of ethnic revivals in the nineteenth century. He sees in them the danger for the unity and universality of French culture today. These theories, by claiming a return to ethnic roots, create an artifice of rootedness that has little to do with an authentic continuity of tradition. For France, the organic development of thought from the Middle Ages onward has sought to valorize human intelligence and sensitivity, winning a universal appeal beyond the confines of its territory. He describes the international appeal of French culture as follows:

France is not reduced to Frenchness, its heritage is not made up, for the most part, of unconscious determinations or of typical and hereditary modes of being but of values offered to the intelligence of men, [French letters] which do not bear witness to any picturesque [reality], but which, taking into consideration something other than France, are original contributions to universal literature or philosophy (1987, p. 125).

Conclusion

To conclude, we may venture saying that the intellectuals introduced in this presentation, defend the need for cultural continuity. Revolutionary movements such as the French Revolution, built on the ideals of Enlightenment, proposing the equality of human beings in their constitution, had certainly very progressive impact on the subsequent social development. Nevertheless, revolutionary movements rupture the continuity of the tradition, causing uprootedness of the population. Their ideological enthusiasm causes violence to the tradition and tends to obliterate or manipulate the past in a way that is disconnected from human reality and needs. Simone Weil reminds us that,

The destruction of the past is perhaps the greatest of all crimes. […] We must put an end to the terrible uprootedness which European colonial methods always produce, even under their least cruel aspects. We must also keep […] some arrangement whereby human beings may once more be able to recover their roots. (1952, p. 49).

Kołakowski and Todorov have shown how Communist governments used the Marxist ideology to build their States that were meant to become class- and ethnicity-free societies, but ultimately led to oppressive political entities that the world saw collapsing at the end of the twentieth century. Finkielkraut fears that the rise of a political importance of ethnic groups within a State such as France, with their postcolonial claims to their own cultures and their rejection of the traditional culture of the French State, poses questions about the future of the national character of that country. Those claims are certainly generated by the remnants of Marxism that, in its revolutionary appeal, which revives and electrifies the uprooted masses promising anew a better tomorrow until the next time. Ideology has been a rival of the truth throughout history; the four thinkers call for our vigilance.

References

---. (2014). Czy ludzkość może jeszcze ocalić swoje człowieczeństwo? [Can humankind still save its humanity?]. In *Niepewność epoki demokracji* [The Incertitude of the Epoch of Democracy]. Znak.

Finkielkraut, A. (1987). *La Défaite de la pensée* [The Defeat of Thought]. Gallimard.

Kołakowski, L. (2003). "What the Past Is for?" The Reception Speech of the First Kluge Prize for Lifetime Achievement in the Human Sciences at the Library of Congress. https://www.loc.gov/loc/lcib/0312/kluge3.html

Todorov, T. (1996). *L'Homme dépaysé* [The Man without a Homeland]. Éditions du Seuil.

Trans. A.F. Wills. Routledge & Kegan.

Weil, S. (1952). *The Need for Roots: Prelude to a declaration of duties towards mankind*.

Eating, Chatting, and Talking Back: Japanese Modern Schoolgirls' Agency in the Early Twentieth Century

Yu Umehara, University of Tsukuba, Japan

The IAFOR International Conference on Arts & Humanities in Hawaii 2022
Official Conference Proceedings

Abstract

The eyes are important interpretive tools when analyzing modern schoolgirls of the early twentieth century. Scholars in the field of girlhood, such as Kan Satoko, have pointed out that modern Japanese girls' culture is characterized by sentimentality. The eye, an organ that exudes tears, has many symbolic meanings in the modern subgenre of girls' novels. Illustrations show luminous brown eyes filled with tears. According to Takeda Shiho, girls' tears often signify nostalgia, sorrow, and lament over the loss of their female friends in novels in girls' magazines. This study focuses on another body part that carries a symbolic valence: schoolgirls' mouths, which are contested terrain. I argue that schoolgirls' mouths, or rather their use of the organ, serve as a potential instrument for social change in girls' culture. This paper offers a reading of the "speaking mouth" and the "eating mouth" of schoolgirls in girls' novels and illustrations in schoolgirls' magazines such as *Shojo Gaho* [Girls' Pictorial] and the satirical magazine *Marumaru Chimbun* [Comic Paper]. Schoolgirls create a unique language that is used only by them. They also eat out and chat while eating—an act contrasted with feeding children and husbands at home. They are audacious enough to talk back to their parents and teachers. By interpreting schoolgirls' eating and talking mouths, this study demonstrates how they function as an emblem of struggle against the traditional (and patriarchal) norm and reclaim control over their own bodies.

Keywords: Gender Studies, Girlhood Studies, Japanese Studies

iafor

The International Academic Forum
www.iafor.org

Introduction

The eyes are important interpretive tools when analyzing modern schoolgirls in the early twentieth century. Scholars in the field of girlhood have pointed out that the modern Japanese girls' culture is characterized by sentimentality. The eye, an organ that exudes tears, has many symbolic meanings in the modern subgenre of girls' novels.[1] Illustrations show luminous brown eyes filled with tears. In one scholar's account, in novels of nostalgia, sorrow, and lament over the loss of female friends, tears are important factors supporting girls' novels.[2]

This study focuses on another body part that carries a symbolic valence: schoolgirls' mouths, which are contested terrain. I argue that schoolgirls' mouths, or rather their use of the organ, serve as a potential instrument for social change in girls' culture. This paper discusses the "speaking mouth" and the "eating mouth" of schoolgirls in girls' novels and illustrations in schoolgirls' magazines such as *Shojo Gaho* [Girls' Pictorial] and the satirical magazine *Marumaru Chimbun* [Comic Paper]. Schoolgirls create a unique language that is used only by them. They also eat out and chat while eating—an act contrasted with feeding children and husbands at home. They are audacious enough to talk back to their parents and teachers. By reading the representations of schoolgirls' mouths that eat and talk, this study demonstrates how they function as a site of struggle against the traditional (and patriarchal) norms, allowing girls to reclaim control over their own bodies.

Eating Girls

In her book *Racial Indigestion: Eating Bodies in the 19th Century* (2012), Kyla Wazana Tompkins insightfully discusses how the act of eating negotiates the dynamics of power, racial privilege, and racial anxiety in nineteenth-century American literature and culture. Eating and digesting simultaneously reinforce and undermine the boundary between the self and others based on differences.[3] However, in early twentieth-century Japanese schoolgirl culture, eating and digestion operate differently from nineteenth-century America. I would suggest that they significantly helped reshape and threaten the patriarchal system at the same time.

In Japan, under the patriarchal feudal system, it is important for the family to eat breakfasts and dinners at the same table.[4] However, in the Meiji era, when the Japanese government aimed to increase national power and modernize the country by following Western countries, educators began to promote the idea of children having snacks between meals as nutritional supplements, cautioning that otherwise children would be in poor shape. They warned teachers in elementary schools that forbidding pupils from having snacks would lead to poor health, so snacking at fixed times and in fixed quantities should be encouraged.[5] The results were different for female students. They needed more precaution than encouragement because females, irrespective of the difference in social status, tend to eat snacks more than

---

[1] Watanabe, S. (2008). Saffo no Manazashi—Hanamonogatari to Sashie [The Eyes of Sappho: A Tale of Flowers and Illustrations], K. Satoko (Ed.), *Shōjo shōsetsu wandārando: Meiji kara Heisei made* [Girls' novels wonderland]. Tokyo: Meiji Shoin. 104-113.
[2] Takeda, S. (2014). Yoshiya Nobuko Kenkyu [The Resaerch of Yoshiya Nobuko] (Doctoral thesis, Gakushuin University, Tokyo, Japan). Retrieved from http://hdl.handle.net/10959/3449
[3] Tompkins, K. (2012). *Racial indigestion: eating bodies in the 19th century*. New York: New York University Press.
[4] Sakai, K. (1902). *Katei no Shin-fumi* [New Tastes of Home]. Tokyo: Naigai-shuppan-kyokai, 357-361.
[5] Shoni no Kanshoku [Snack and Children]. (1893). *Katei Zasshi* [Home Magazine], 28-29.

---

they need, and their eating habits should be corrected by regular diets that contain protein.[6] In the Meiji era, snacking was justified only for nutrition in order to maintain and improve health.

Schoolgirls were rebellious in snacking by choosing what and where they liked to eat. Indeed, snacking was something that schoolgirls did together on the street in public, rather than at the table at home or at school. By eating, they deviated from the gender norms prescribed by the patriarchal society. Inevitably, schoolgirls' eating snacks became an object of ridicule in magazines as unfeminine and "un-girlish." *Marumaru Chimbun*, a satirical magazine read by adults, carried a cartoon of schoolgirls eating at a food stall in town.[7] Street stalls typically sell fast food to working-class people. The signboard of the stall indicates that they sold tempura. Tempura sold at stalls was initially fast food for mainly working-class men from the Edo era, so the schoolgirl of the middle class eating at a food stall was "inappropriate" as a violation of gender and class norms. Schoolgirls were expected to become good wives and wise mothers who teach their children table manners at home. Hence, schoolgirls—most of them from the middle class—should not eat at street stalls. The magazine also carried cartoons in which schoolgirls drink alcohol and smoke cigarettes.[8,9] In the Meiji era, smoking increasingly became a male activity, so schoolgirls smoking meant disobeying gender norms. Drinking was also a luxury and privilege for men. In July 1912, when feminists drank alcohol at a bar, the public criticized their invasion of the male-gendered sphere. Since both alcohol and cigarettes were primarily men's goods, the schoolgirls depicted in the cartoons violated female gender norms. This way, newspapers created an association between "eating" and "schoolgirls." They ridiculed schoolgirls' uncontrolled eating habits as a crisis of femininity.

On the other hand, girls' magazines tell different stories about their new eating habits. Schoolgirls had breakfasts and dinners at home but enjoyed having snacks away from the family table and without family members. As indicated above, snacks have become an issue in children's education. Educators encouraged children to have the right snack at the right time, but they criticized the female habit of eating snacks as problematic and suggested that it be regulated because snacks interfere with their appetite for meals. They believed that girls tended to snack too much. Girls reportedly secretly steamed sweet potatoes in their dormitory room despite prohibitions.[10] Female magazines—unlike satirical magazines—did not depict schoolgirls eating uncontrollably. Instead, they recommended cooking snacks. On the surface, magazines promoted cooking snacks as a female practice. *Fujin no Tomo* [Female's Friend], for instance, introduced recipes that even young schoolgirls could cook.[11] Cooking snacks encouraged schoolgirls to learn about the female role in the patriarchal system. However, it is important to note that they did not cook snacks for men but for their female friends and themselves to eat together, that is, not out of the love of men but for female bonding.

[6] Wasshiyama, Y. (1908). Shukan ni Torawaretaru Fuji no Kanshoku [Female's Bad Habit of Having Snack]. *Fujin Kurabu* [Ladies' Club], vol. 1, no. 1, 39-42.
[7] Jogakusei no Tachigui [Schoolgirl Eating Standing]. (1895). *Marumaru Chimbun* [Comic Paper], no. 1023, 13.
[8] Jogakusei, Sake o Nomu [Schoolgirl Drinking Alcohol]. (1895). *Marumaru Chimbun* [Comic Paper], no. 1024, 7.
[9] Jogakusei to Tabako [Schoolgirl Smoking Cigalettes]. (1895) *Marumaru Chimbun* [Comic Paper], no. 1022, 14.
[10] Washiyama, Y. (1908) Shukan ni Torawaretaru Fuji no Kanshoku [Female's Bad Habit of Having Snack]. *Fujin Kurabu* [Ladies' Club], vol. 1, no. 1, 39-42.
[11] Kodomo ni Dekiru Oyatsu no Tsukurikata [Recipes of Snacks for Children]. (1914). *Fujii no Tomo* [Female's Friend], vol. 8, no. 8, 138-139.

Novels in girls' magazines describe how romantic friendships between schoolgirls emerge through snacking. In the schoolgirls' imaginary realm in magazines, eating snacks together is a metaphor for schoolgirls' relationships. For instance, a photography novella titled "A liquid snack" in *Girls' Pictorial* highlights a scene in which five schoolgirls chat while having snacks in one girl's house.[12] In another photography novella, "Noji no Hana," two girls from different social statuses deepen their friendships by having the same snack.[13] In a tale titled *Hamanadeshiko* [Dianthus japonicus] in *Hanamonogatari* [Flower Tales], a milestone of girls' novels by Yoshiya Nobuko, ice cream plays an important role in informing readers that two girls are in a special friendship.[14] The two heroines, Masumi and Hosojima-san, dream of having a large and delicious ice cream together in Hawaii. However, they could not go to Hawaii together to settle there, and Hosojima-san had to leave Masumi for family reasons. Before they part, they have ice cream at Hosojima-san's home together instead of having it in Hawaii. This eating scene can be read as a ritual of painful separation. Eating together in a girls' realm is a metaphor for romantic friendships between schoolgirls. It does not reinforce gender norms based on a patriarchal system in which women typically cook for men to eat. Additionally, snacking is different from having a meal with one's family at home. Schoolgirls' culture in magazines and novels thus significantly created the grammar of eating and encoded meanings that only schoolgirl readers could decipher.

Girls' Chatting

Interestingly, schoolgirls in the Meiji era literally created a language used only among themselves, called "teyo-dawa kotoba," or the "teyo-dawa" language, because of their frequent use of characteristic sentence-final particles, including "teyo" and "dawa." Scholars have traditionally identified the "teyo-dawa" language as schoolgirl speech and examined how speech was used and what it expressed. Nakamura Momoko states that "teyo-dawa kotoba" made schoolgirls an object based on the male gaze and was used to separate the people of the nation into binary genders.[15] Honda suggests the importance of the language of female students, saying that by using a special language, they showed that they were not set in tradition.[16] They criticized the use of the speech as something good women should avoid in public but remarked that the speech was performative; that is, even a schoolgirl can make the speech. Male writers, for instance, used speech to create schoolgirl characters, and male students wrote love letters to schoolgirls, pretending to be schoolgirls using the speech.

My interest is not so much in the speech style of sentence-final particles as in the terms coined by schoolgirls. Their terms were codes shared only among schoolgirls, originating from physical and language education at school. The invention of a new language—rather than the traditional Japanese language they were taught to use—made their speaking (mouths) both modern and rebellious. Samples of such terms can be found in magazines for schoolgirls, particularly the readers 'columns in the magazine *Jogaku Sekai* [the World of Women's Learning] (1901–1925). According to historian Kawamura Kunimitsu, English was an important source of inspiration to build schoolgirls' language and their "imagined

---

[12] Ekitai no Okashi [A Liquid Snack]. (1917). *Shojo Gaho* [Girls' Pictorial], vol. 6, no. 1.

[13] "Noji no Hana [Flowers in the Glass]. (1913). *Shojo Gaho* [Girls' Pictorial], vol. 2, no. 10.

[14] Yoshiya, N. (2009). *Hanamonogatari* [Flower Tales]. Tokyo: Kawade Shobo.

[15] Nakamura, M. (2007) *Onna-kotoba wa Tsukurareru* [The Process of Being Invented Female Gendered Language]. Tokyo: Hitsuji-shobo. 127-128.

[16] Honda, M. (1990). *Jogakusei no Keifu*: *Saishikisareru Meiji* [Geneology of Schoolgirls: Colored Meiji Era]. Tokyo: Seidosha. 129-130.

community."[17] In *Makaze Koikaze* (a tragic love story of schoolgirls and male students serialized in the *Yomiuri newspaper* in 1903), the heroine pronounces 愛 [love] as "Rabu" using quasi-English pronunciation instead of Japanese pronunciation, "Ai." Thus, English served as a code for romantic friendships between schoolgirls who learned English in the school curriculum. From the beginning of the twentieth century, they invented vocabulary used only by themselves. In Ochanomizu Girls' School, students called being scolded by teachers "Genman" [ten-thousands fists]. In Peeresses' School, the students called going to the toilet "monosuru" [doing]. Students in Toyo Eiwa Jogakko Girls' School called eating baked sweet potato snacks "Oinori" [Praying].[18] According to a *Girls' Pictorial* article in 1926, the unique vocabulary that schoolgirls used in their school lives borrowed words not only from English but also from German and Korean.[19] For instance, girls used "Danke" ("thanks" in German) and called their female teachers "Dante" ("aunt" in German) behind their back. Nappun-Sarami, which means "bad people" and "Yanpan" which means "the rich" in Korean were introduced as schoolgirls' jargon. Moreover, some terms that schoolgirls invented as codes among themselves were derived from a Western sport, tennis. In this tennis-inflected terminology, "receiver" means being beloved by someone, and "lob," which in tennis means hitting the ball high into the other's court, means getting along. By creating a new linguistic culture, they drew a boundary between inside and outside, between being a schoolgirl and a father's daughter, subverting the patriarchal norm and order of the nation, and refusing to be co-opted into the system in which they were forced to be good wives and wise mothers.

Conclusion

As discussed, eating and speaking mouths are representations of schoolgirls' actions. They function as apparatus to question patriarchal gender norms and make the category of schoolgirls exclusively their own. Representations of the mouth tell us about schoolgirls who grudgingly agreed to Japan's patriarchal system and, at the same time, playfully refuse to be a father's daughter.

---

[17] Kawamura, K. (1993). *Otome no Inori: Kindai Josei Imēji no Tanjo* [Pray of Maiden: Generation of Image of Modern Women]. Tokyo: Kinokuniya Shoten.
[18] *Kyoiku Gakujutu-kai* [Education and Academy]. (1908). vol. 17, no. 5, 93.
[19] Gendai Jogakusei Kakusi-kotoba Jiten [Modern schoolgirl jargon dictionary]. (1926) *Shojo Gaho* [Girls' Pictorial], vol. 15, no. 4, 98-113.

References

Ekitai no Okashi [liquid snack]. (1917). *Shojo Gaho* [Girls' Pictorial], vol. 6, no. 1.

Gendai Jogakusei Kakusi-kotoba Jiten [Modern schoolgirl jargon dictionary]. (1926). *Shojo Gaho* [Girls' Pictorial], Vol. 15, no. 4. 98-113.

Honda, M. (1990). *Jogakusei no Keifu*: *Saishikisareru Meiji* [Geneology of Schoolgirls: Colored Meiji era]. Tokyo: Seidosha. 129-130.

Jogakusei no Tachigui [School girl eating standing]. (1895). *Marumaru Chimbu* [Comic Paper], no. 1023, 13.

Jogakusei to Tabako [Schoolgirl smoking cigarettes]. (1895). *Marumaru Chimbun* [Comic Paper], no. 1022, 14.

Jogakusei, Sake o Nomu [Schoolgirl drinking alcohol]. (1895). *Marumaru Chimbun* [Comic Paper], no. 1024, 7.

Kawamura, K. (1993). *Otome no Inori: Kindai Josei Imēji no Tanjo* [Pray of Maiden: The Generation of images of modern women]. Tokyo: Kinokuniya Shoten.

Kodomo ni Dekiru Oyatsu no Tsukurikata [Recipes of snacks for children]. (1914). *Fujii no Tomo* [Female's Friend], vol. 8, no. 8, 138-139.

Kodomo no Kanshoku ni Tsuite [About Snacks and children]. (1907). *Jido Kenkyu* [Research of Children], vol. 10, no. 6, 50-51.

Kyoiku Gakujutu-kai [Education and academy]. (1908), vol. 17, no. 5, 93.

Nakamura, M. (2007). Onna-kotoba wa Tsukurareru [The process of being invented female gendered language]. Tokyo: Hitsuji-shobo. 127-128.

Noji no Hana [Flowers in the glass]. (1913). *Shojo Gaho* [Girls' Pictorial], vol. 2, no. 10.

Sakai, K. (1902). *Katei no Shin-fumi* [New Tastes of Home]. Tokyo: Naigai-shuppan-kyokai, 357-361.

Takeda, S. (2014). Yoshiya Nobuko Kenkyu [The research of Yoshiya Nobuko] (Doctoral thesis, Gakushuin University, Tokyo, Japan). Retrieved from http://hdl.handle.net/10959/3449

Tompkins, K. (2012). *Racial indigestion: Eating bodies in the 19th century*. New York: New York University Press.

Washiyama, Y. (1908). Shukan ni Torawaretaru Fuji no Kanshoku [Female's Bad Habit of Having Snack]. *Fujin Kurabu* [Ladies' Club], vol. 1, no. 1, 39-42.

Watanabe, S. (2008). "Saffo" no Manazashi—Hanamonogatari to Sashie [The Eyes of "Sappho": Flower Tales and Illustrations], K. Satoko (Ed.), *Shōjo shōsetsu wandārando: Meiji kara Heisei made* [Girls' novels wonderland]. Tokyo: Meiji Shoin. 104-113.

Yoshiya, N. (2009). *Hanamonogatari* [Flower Tales]. Tokyo: Kawade Shobo.

Contact e-mail: umehara.yu.ft@u.tsukuba.ac.jp

From Virtual Space to "Third Space":
Mickey Mouse in Shanghai During the 1930s and 1940s

Yujing Qian, Beijing Film Academy, China

The IAFOR International Conference on Arts & Humanities in Hawaii 2022
Official Conference Proceedings

Abstract

Mickey Mouse made his Chinese debut in the Shanghai illustrated magazine Liangyou in 1932. Since then, urban audiences in Shanghai began to see both authorized and unauthorized Mickey Mouse cartoons in entertainment mediums, including magazines, newspapers, and films. Through the analysis of images in various Shanghai media, this paper explores how the cultural identity of Mickey Mouse in Shanghai went through a fundamental shift from a citizen of the world to a distinctly American figure in the late 1930s and 1940s. The paper has two sections. The first section focuses on Mickey Mouse images in early 1930s Shanghai. These images portray a universal character with no distinct definition of age, race, class, nationality, or local identity—a figure that can only exist in virtual space. The second section turns the focus towards the late 1930s and 1940s when unauthorized comic strip adaptations of Mickey Mouse created by Chinese cartoonists spring up in Shanghai. One such comic strip, Milaoshu you Shanghai (Mickey Mouse Traveling to Shanghai, 1948), exemplifies how Mickey Mouse shifts from being a symbol of cosmopolitanism to becoming a character with a specific national and racial identity: a white American man. By setting this white American male Mickey Mouse in 1940s Shanghai, Milaoshu you Shanghai depicts a world full of contradiction between the East and the West constructing a world that can be called, to use Homi Bhabha's term, a "third space" – a hybrid space emerged from the interface between existing cultural forms.

Keywords: Mickey Mouse, Early 20th Century Shanghai, Liangyou Illustrated Magazine, Third Space

iafor

The International Academic Forum
www.iafor.org

Introduction

The cartoon character Mickey Mouse created by Walt Disney was born in the United States in the late 1920s. Mickey Mouse was introduced to China only 4 years later. Mickey Mouse made his Chinese debut in the Shanghai illustrated magazine *The Young Companion* (*Liangyou*) in November 30, 1932 (Fig. 1). Although the magazine has done some editing on the image of Mickey Mouse, the figure of mickey mouse is faithful to the original animation and manuscripts created by Walt Disney.[1] Since the late 1930s, unauthorized comic strip adaptations of Mickey Mouse created by Chinese cartoonists has sprung up in Shanghai. Mickey Mouse has changed a lot in these local comics. A good example is the *Mickey Mouse Traveling to Shanghai* (*Milaoshu you Shanghai*) comic series. The two sets of *Mickey Mouse Traveling to Shanghai* comic strips were first drawn by cartoonist Fan Lang and published in the magazine *Shifeng*. They were published in January and February 1939. Later in 1948, fifteen more sets of *Mickey Mouse Traveling to Shanghai* created by Gong Chao and Shun Tian were sequentially published in another magazine *Children's World* (*Ertong shijie*) . This article focuses on the images of Mickey Mouse seen in the Shanghai mass media from the 1930s to the 1940s to explore how Mickey Mouse's visual characters, identity and cultural meaning altered during this period, and to uncover the social and political reasons behind these changes.

1. The global visual language in Early 1930s: Debut of Mickey Mouse in Shanghai

The Young Companion is a large-scale comprehensive illustrated magazine born in shanghai in 1926, its content involves everything such as news, advertising, movie, literature, art, sports. It is also a successful international publication.[2] There is a report about *Mickey Mouse* in *The Young Companion*. *The Young Companion*, no.72 (november 30, 1932) page28 (Fig. 3) published the pictures of mickey mouse and the working photos of Disney and its team producing Mickey Mouse, including eight pictures. There are also some short English and Chinese introduction to the pictures. On the top right corner is a picture that Mickey Mouse and his pet dog Pluto are reading a magazine; intrestingly, the cover of this magazine is that of *The Young Companion* (Fig. 1). This picture has a caption "Mickey Mouse is also a reader of *The Young Companion*". At that time, there was a post-retouching technique called

---

1. *Plane Crazy* is the first black and white silent short film of Mickey Mouse directed by Walt Disney and Ub Iwerks in 1928. There is a scene where Mickey is reading a book about how to fly, which is very similar to the image of Mickey Mouse reading a magazine in The Young Companion. The two images of Mickey Mouse are three-quarters of the side holding a book.

2. *The Young Companion*, a large-scale illustrated magazine that values image arrangement, needs a chief editor with fine art and professional art editors to deal with it. Therefore, Liang Desuo 梁得所 and Ma Guoliang 马国良, the editors of *The Young Companion*, are both highly skilled in art. A Lingnan student, Ma Guoliang 马国良 found Wan Laiming 万籁鸣, father of Chinese cartoon films, as the art editor during his time as an editor. Li Xudan, a graduate of Shanghai Xinhua Art College, and cartoonist Ding Cong 丁聪, also served as assistant editors during Liang Desuo's 梁得所 editing period. They are the tractor behind the modern sight of *The Young Companion,* see Huang, G. (2017) "Yizhong modeng shixian de yingjie—lun *liangyou* huabao de xiandai bianpai fenlei" 一种摩登视线的引介——论《良友》画报的现代编排分类 (An Introduction to Modern Sight—On the Modern Arrangement and Classification of *The Young Companion*). *Zhongguo wenxue yanjiu* 中国文学研究, 44, 145-190.

"darkroom technology" which can merge different pictures into the same picture.[3] The picture used this technique to put the cover of *The Young Companion* into Mickey Mouse hand.[4] *The Young Companion* published a picture of Mickey Mouse reading *The Young Companion* which turns this picture into a self-referential one. More intriguingly, the image of mickey mouse using similar visual language appeared on the cover of a magazine on the other side of the world almost at the same time—*Film Selectos*, a weekly film magazine in Barcelona, Spain. The *Film Selectos* in december 1932 used the image of Mickey Mouse as the cover (Fig. 2). The Mickey Mouse in the image is reading a magazine and the cover of the magazine is Film Selectos. As we can see from Fig. 1 and Fig. 2, Mickey Mouse in those two pictures have a high degree of resemblance—both appear at almost the same angle and direction, both smiling with an open mouth. Also similarly, this self-referential Mickey Mouse image in Film Selectos has a caption below, too, which reads "Mickey Mouse during the filming breaks of his celebrated films read our magazine as can be seen in this picture sent by the great cartoonist and animator Walt Disney." By underlining the Mickey Mouse image as a photo sent by Walt Disney, *Film Selectos* ensures the authenticity of their cover image. It can be seen that the ideas behind the self-referential Mickey Mouse in these two magazines, *The Young Companion* and *Film Selectos,* are very close. According to their captions, both the two magazines set Mickey Mouse as a world famous star, and are proud of the fact that this film star reads their publications. Why did Mickey Mouse images using similar visual language appear at the same time in two cities far apart-Shanghai and Barcelona?
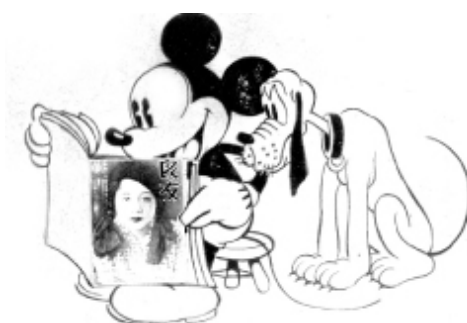
Figure 1: Mickey is also a reader of *the Young Companion* (Mickey Mouse is also a reader of the Young Companion), *The Young Companion* no.72 (November 30, 1932)

---

3. Li, X. (2005). "Hualong zhongzai dianjing—qiantan anfang jishu dui sheying zuoping de yingxiang" 画龙重在点睛——浅谈暗房技术对摄影作品的影响 (The Finishing Point——On the Influence of Darkroom Technology on Photographic Works). *Xinjiang shiyou jiaoyu xueyuan xuebao* 新疆石油教育学院学报, 1, 95-97.

4. First use a blade to scrape off the unnecessary parts of the two films, then repair them with a brush, and finally stack the two films together for shooting. This technique corresponds to matting, brush repair and multiplying in modern times.

Figure 2: Films Selectos cover December 16,1932

Figure 3: *The Young Companion*, no.72 (November 30, 1932)

1.1. Mickey mouse self-referential image

In *The Young Companion* and *Film Selectos,* Mickey Mouse is reading a magazine, which is the magazine that the Mickey Mouse image is printed on. The self-referential image of Mickey Mouse is actually very common in early D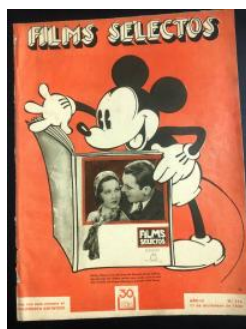isney publications. For example, the cover of the inaugural issue of *Mickey Mouse Magazine* in January 1933 (Fig. 4) uses the same visual language. Its publish time is very close to *The Young Companion* and *Film Selectos* discussed above. In this picture, Mickey and his girlfriend Minnie are frolicking on the seesaw, with a self-referential *Mickey Mouse Magazine* in their hands. An earlier example can be found in the *Mickey Mouse Story Book* published by Disney in 1931 (Fig. 5), on the cover we can see that Mickey Mouse is telling the story to two child-like Mickeys. From the details of the exposed book pages, Mickey is telling stories from the *Mickey Mouse Story Book*. The other types of Disney books such as the product sales catalog- *Mickey Mouse Merchandise* (fig. 6) also use the same self-referential image.

Figure 4: *Mickey Mouse Magazine* 1933.1.
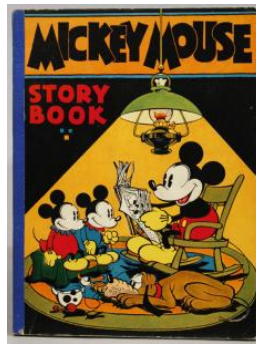
Figure 5: Hardcover book from 1931.

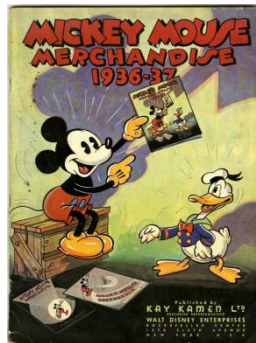Figure 6: *Mickey Mouse Merchandise* 1936-37. Published by Kay Kamen, Ltd., Exclusive Representative, WaltDisney Enterprises, New York." 84 pages...
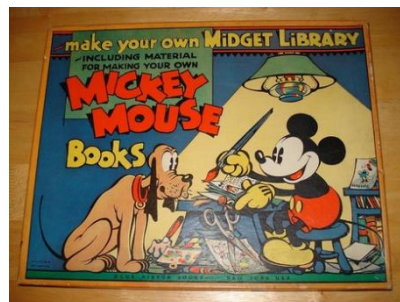

Figure 7: *Blue Ribbon Books*, The Mel Brinkrant Collection1933.

Figure 8: This promotional photo from the mid-'40s shows Walt returning to his first love: drawing. He acted mostly as a producer and story man for Disney, but he grabbed a pencil to pose for the cameras.
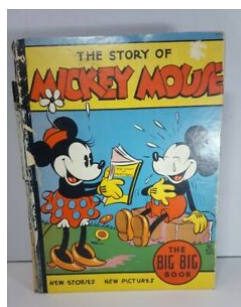
Figure 9: Walt Disney. The Story of Mickey Mouse and the Smugglers. Racine: Whitman Publishing, 1935. *The Big Big Book*. 316 pages.

This kind of self-referential image in many cases appears on the cover of the printed Mickey Mouse books, which aims to introduce the readers into the narratives (or products) in the books.[5] In these pictures, Mickey Mouse is an intermediary between the story world and outside of it. As a medium, Mickey Mouse plays various roles in these self-referential pictures. First of all, he is a performer, or the one being viewed. The content of the magazine that Mickey Mouse guides us to read is the stories about Mickey Mouse. In other words, the Mickey Mouse on the reading covers mentioned above is the performer in the book stories that serves as a preface to the world of the story to attract audiences. Secondly, Mickey Mouse in these self-referential images sometimes also plays the role of a creator. Fig. 7 is an illustration printed on the top of the box of Mickey Mouse book set, in which Mickey Mouse is drawing on a page of a book. What he draws is Mickey Mouse's own image, as if he is introducing the set of books to readers, with a posture very much like Mr. Disney (Fig. 8) sketching Mickey Mouse on the paper. Here, as a creator, Mickey Mouse invited us to read the stories. Thirdly, Mickey is also a reader in some of the self-referential images. For instance, we can see in Fig. 9— Minnie playing the role as a reader is telling Mickey a story, the content of which is mostly likely that of *The Story of Mickey Mouse*. Mickey thus connects the real world and the story one, guiding the audience into the space inside the story.

Therefore, *The Young Companion* and *Film Selectos* apparently adopted the common self-referential visual language we see in the Disney-created Mickey Mouse books. But one question that remains to be answered is why these two similar images of Mickey Mouse appear in different corners of the world almost at the same time?

1.2. The global citizen in virtual space—Mickey Mouse

The popularity of Mickey Mouse's self-referential image, as I will demonstrate, reflects the interchangeability of Mickey Mouse's identity to a certain extent. The interchangeability of Mickey Mouse's identity is a feature that differs from many other cartoon characters of the same period. In the first Mickey Mouse animated short film *Plane Crazy* created by Disney in 1928, Mickey Mouse is a creative pilot who builts airplanes with the assistance of farm animals. Released in November of the same year, Mickey Mouse in *Steamboat Willie*, the first sound Mickey Mouse animation, was a crew who was able to sail. The short movie shows the interesting story that occurred among him and his animal crews on the boat. In the following year, , Mickey Mouse in the Disney animated short film *The Karnival Kid* plays a

---

5. Li, X. (2019) "Cong mixieer de 'yuantuxiang' dao nanxi de 'zizhu'—dangdai tuxiang lilun de ziwo zhishe" 从米歇尔的"元图像"到南希的"自主"——当代图像理论的自我指涉 (From Michel's 'Meta-image' to Nancy's 'Autonomy'——The Self-referentiality of Contemporary Image Theory). *Wenyi pinglun* 文艺评论, 4, 50-58.

small vendor who sang and sold hot dogs at the animal playground and pursued Minnie in a brave show. In the 1930s, Mickey Mouse also played many other roles in Disney short films, he could be a worker in the building site, a conductor of a band, or a cleaner for the clock tower. Mickey Mouse can be anyone you can think of and go to any imaginable space.

Mickey Mouse has no clear age, race, class, nationality, political affiliation, or local identity. Such a universal character cannot be found in the real world. In other word, Mickey Mouse only exists in the virtual space. The virtual space here refers to a space that does not have a specific geographic location or exists in a specific country. His changeable identity enables him to travel through a variety of virtual spaces with different identities. Mickey Mouse can shuttle in virtual spaces such as farms, ships, playgrounds, and even skyscrapers, the universe, ocean and so on.

The versatility and interchangeability of Mickey Mouse's identity are the reason why he crossed national boundaries and spreads widely all over the world in the 1930s. Every civilization can embrace Mickey Mouse because of his simplicity and universality, as the critic Alva Johnston says:
"Charlie Chaplin and Mickey Mouse are the only universal characters that have ever existed. The greatest kings and conquerors, gods and devils, have by comparison been local celebrities. Mickey's domain is today even more extensive than Chaplin's. Charlie's mustache, hat, pants, shoes and cane belong to western civilization and make him a foreigner in some regions. Mickey Mouse is not a foreigner in any part of the world.[6]"
It is this charm of "not a foreigner in any part of the world" that earns it fame in Shanghai and many other cities outside the United States. Mickey Mouse was a dose of medicine for the Americans at that time who were living at the bottom of their lives, since the gloom of the economic depression always hangs over people's eyebrows from time to time.[7]

The Mickey Mouse images in the early 1930s showed that he could become anyone in any virtual space. He was a world citizen—in another word, a symbol of cosmopolitanism. It is precisely for this reason that Mickey Mouse was welcomed all over the world, and quickly appeared in publications in different parts of the world, such as *The Young Companion* and *Film Selectos*.

1.3. Mickey Mouse illustration of The Young Companion in Global Pictorial Culture

As shown in the case of the report in *The Young Companion,* the Mickey Mouse mania in the 1930s was also flooded into Shanghai, China. As we read the Mickey Mouse article written by Chen Binghong in *The Young Companion* (1932 November), it is clear that the Chinese audience at that time fully realized the versatility and interchangeability of Mickey Mouse's identity.[8] Mickey in this article is presented with many different identities and roles. Firstly, Mickey Mouse is a film star, the article says that "The name of Mickey Mouse and those of the big stars are hung on the cinemas' commercial lightings." However, Mickey differs from other stars, since he can be someone omnipotent: "This star can do anything that no one else can do. For example, he can play various musical instruments. He can run faster than anyone

6. Alva, J.(1934). Mickey Mouse. *Woman's Home Companion*, 7, 108.

7. Bao, Y., Zhong, D. (2009) "Meiguo xuezhe dui "Disney disini" de yanjiu yu piping (zhiyi)" 美国学者对 "国 学者对 " " 迪斯尼" 的研究与批评(之一) (American Scholars' Research and Criticism on "Disney" (Part One)), *Dianying pingjie* 电影评介, 8, 5-7.

8. Chen, B. (1932) "Yishu chengming zhi huajia," 以鼠成名之画家 (The Painter Who Became Famous With the Mouse). *Liangyou huabao* 良友画报,72.

else. He can climb the highest mountain without much effort and swim across the ocean." Secondly, Mickey Mouse in the article is also understood as a creator, as Chen says: "Walt Disney is Mickey Mouse himself". Thirdly, Mickey Mouse is nothing but ink paintings created by Disney, as the article ends with the meaningful sentence "It is strange to say that all the fame and popularity (that Mickey earns) come from ink! "

In the early 1930s, Shanghai was involved in a global culture of illustrated magazine. Thanks to the help of the advanced printing technology at this time, A good number of pictures and texts were printed and copied in high quality.[9] At the same time, the free and loose political environment and international cultural atmosphere enabled Shanghai illustrated magazines participants of this global illustrated magazines trend. *The Young Companion*, as a typical representative, was founded in 1926 in shanghai. Its monthly sales reached the number of more than 40,000 in two years. With an international vision, Wu Liande, the founder of *The Young Companion*, takes the Western publishing industry as a reference and aims to create an international newspaper and magazine.[10] He not only borrowed the concept of the international illustrated magazine *London News Illustrated*, carefully arranged the pictures and text, but also aligned with the *Saturday Evening Post* published in the United States, improving the quality of printing and improving the content. This international vision made *The Young Companion* show international communication concept, which was finally recognized by readers at home and abroad.[11]

Illustrated magazine uses pictures as a means of public communication. This visual communication method makes it easier to cross different languages and text, which becomes a "world language" to spread easily. The pictorial crossed area limitation to sale widely around the world, which constructed a complex global information network using the pictures as the main approach to transfer information. Readers from different regions can quickly obtain information from all over the world through this pictorial network, which builds a globally shared public communication space for urban audience all over the world. In the early 1930s, shanghai's *The Young Companion* was a part of global illustrated magazines culture network. As a world citizen, Mickey Mouse was apparently quite active in this globally shared virtual space of illustrated magazines.

The Young Companion and *Film Selectos* have borrowed the self-referential schematism which appeared common on the Mickey Mouse book covers created by Disney. The reason why this kind of self-referential schematism quickly appeared in mass media in China and Spain simultaneously is that the illustrated magazines from different regions in the 1930s constructed a globally shared public space, and Mickey Mouse often appears in this virtual public space as a symbol of cosmopolitanism. *The Young Companion* and *Film Selectos* also imagined Mickey Mouse, a popular world citizen, reading their own magazines to promote their own illustrated magazine, since Mickey's interests proved the popularity and, more importantly, the cosmopolitanism of their illustrate magazines. Indeed, Mickey Mouse in *The*

---

9. Tang, H. (2021) "kan de zijue yu shuangchong 'shijie-tuxiang'—jindai zhongguo de shijue xiandaixin" 看的自觉与双重"世界-图像"——近代中国的视觉现代性 (The Consciousness of Seeing and the Double "World-Image"——The Visual Modernity of Modern China). *Kuawenhua Yanjiu* 跨文化研究, 1, 1-30.

10. Liu, Y. (2007) "Zuowei shidai tuxiangzhi de Liangyou huabao" 作为时代图像志的《良友画报》 (The Young Companion as an Iconography of the Era). (PhD diss.,Huazhong University of Science and Technology), 5, 131.

11 Shi, J. (2018) " 《Liangyou》 huabao de guojihua yanjiu" 《良友》画报的国际化研究 (The International Study of The Young Companion). Xiangtan University.

Young Companion and Film Selectos promoted not only these illustrated magazines, but also the very act of viewing illustrated magazines itself, which is understood as an act of cosmopolitan viewers.

2. Mickey Mouse image from late 1930s to 1940s in Shanghai

Figure 10: "Mickey Mouse" serialized in *Funny Illustrated magazine (Huaji huabao)* in 1936

Figure 11: Foreign Mickey Mouse, visit Mr. Wang. From *Xianshi Bao*, vol.53, 12

When Mickey Mouse was introduced to China from the United States in the early 1930s, the images of Mickey Mouse we see in Shanghai's print media were very faithful to the original manuscripts and animations created by Disney. Mickey Mouse has also appeared in other media many times after his debut in *The Young Companion*, some of which imported Disney's original comics on it.[12] For example, *Humor Illustrated magazine* (*Huaji huabao*) translated and published the Disney comic strip series of Mickey Mouse in the 1936 (Fig. 10). Indeed, Mickey Mouse we see in the early 30s' Shanghai publications was always a global citizen without specific national restrictions and cultural identity that only exists in the virtual space. However, since the late 1930s, local cartoonists in Shanghai began to adapt Mickey Mouse cartoons. Mickey Mouse in these mostly unauthorized comic strip adaptations was no longer a character in the virtual space. Instead, he began to enter reality, in which his identity and cultural meaning altered during this period.

2.1. Mickey Mouse comics adaptations in Shanghai

Most of the mickey mouse comics adaptations created by Shanghai local cartoonists in the

---

12. Shanghai tushuguan wenxian tigong zhongxin. (2016). *"Dishini Shanghai wangshi: minguo shiqi de chengshi jiyi"* 迪士尼上海往事: 民国时期的城市记忆 (*Disney's Past in Shanghai: The Memory of the City During the Republic of China*). Shanghai Keji Wenxian Chubanshe.

late 1930s exhibit a binary relationship in their visual and narrative structures. Mickey Mouse in the comics is no longer a global citizen, but converted into a white American man. For example, there was a comic published in *Modern News* (*Xianshi bao*) in 1939 (Fig. 11). In this comic, Mickey Mouse and Mr. Wang—a lower class citizen that is a comic character created by Mr. Ye Qianyu—stand against one another, which forms a dichotomous relationship. In this comic, you can see that Mr. Wang is an old and skinny man with triangle-shaped bald head and a handle-bar beard, who wears traditional clothes and stands in a stiff and twisted posture. His appearance gives people a nasty and conservative impression. In the same space, Mickey Mouse opens his mouth and points his fingers at Mr. Wang, whereas Mr. Wang is retracting his head and leaning back in a trembling posture. The caption underneath the image reads:

Foreign Mickey Mouse, visiting Mr. Wang, has a big mouth and a high nose. How creepy he is! When Lao Wang (Mr. Wang) sees him, he is so scared that he calls: "Mister, please don't pull my leg. I'm frightened with tears." The mouse refuses and slaps him. Mr. Wang maintains no resistance by force. He is unable to stand and dies immediately.

The picture caption emphasizes the foreign identity of Micky Mouse, and Mr. Wang created by Mr. Ye is a typical representative of the low class in Shanghai. The text above also describes how Mr. Wang is frightened by Mickey Mouse, and yet Mickey Mouse slaps him and Mr. Wang dies. Mr. Wang's timidity and passive obedience contrast sharply with Mickey Mouse's boldness and violent behavior. The fact that "Mr. Wang maintains no resistance by force" reflects the social background of the Anti-Japanese War at that time, and satirizes this conservative idea of non-resistance. In the late 1930s, Shanghai urban audiences saw Mickey Mouse's entering into the real space of Shanghai. Mickey Mouse is no longer a global citizen in a virtual space. He represents the western culture, contradictory to the Chinese traditional one. During this period, why did the image of Mickey Mouse in Shanghai have such a big shift?

2.2. Mickey Mouse in the United States and Japan during the late 1930s to 1940s

Figure 12: Aircraft worker victory button worn by a worker at the Lockheed Martin munitions factory in Burbank, California (just over the hill from the Disney Studio), where thousands of aircraft were manufactured during the war. (Division of Political History)

The great transformations in the global political situation in the late 1930s to 1940s is likely an important factor that reshaped Mickey Mouse.[13] In fact, the shift of Mickey Mouse's visual characters and cultural identities in this time period took place not only in China, but also in Disney's original creations in the United States, as well as other places such as Japan. Mickey Mouse in the late 1930s to 1940s around the world, either authorized or unauthorized,

---

13. Filreis, A. (2021). *1960: When Art and Literature Confronted the Memory of World War II and Remade the Modern.* Columbia University Press.

shared a common feature that is Mickey began to move from the virtual space to the real one.

Since the capitalist country fell into a serious economic crisis in the 1930s, unbalanced economic development led to military and political conflict between the capitalist countries. Germany and Japan embarked on a fascist path, and they determined to seize the world market by war. To oppose the fascist countries, Britain, France, the United States, and other countries jointly formed an alliance group, which led to the outbreak of the Second World War in 1939. On December 7, 1941, Japan bombed Pearl Harbor, drawing the United States into World War II. The very next day U.S. Army troops requisitioned half of Walt Disney's Burbank, California, studio for their use.[14] Participated in the activities of war propaganda, Walt Disney himself and many artists and animators reshaped Mickey Mouse, Donald Duck, and other beloved Disney characters.[15] At this time, Mickey Mouse symbolically entered the real space of the United States as supporter or participant of world war II. The round badge in Fig. 12 is a badge made by the Disney company for American workers during the war. The badge has a capitalized English title: "Airplane Worker," and at the bottom, there is the text "Building an Airplane for Victory". With a line-drawn airplane in the background, the center of the badge is Mickey Mouse wearing working suit with manufacture tools in his hands which represents American aircraft workers. Such a Mickey Mouse badge is worn on the aircraft worker. As when the workers wears these badges, we can imagine that Mickey entered the real space—the American military factory—by means of the workers' bodies, and became part of the factory community.

Figure 13: *Evil Mickey Mouse Attack Japan* 1936

In Japan during the late 1930s to 1940s, similar as Shanghai China, we also see many local adaptations of Mickey Mouse animations and Mickey Mouse derivatives (such as posters, dolls, etc.). Mickey Mouse during this period in Japan also entered the real world, and his national identity has become more and more specific. A typical example is the 1936 Japanese Mickey Mouse animated short film *Evil Mickey Mouse Attack Japan* (Fig. 13). In the film, Mickey Mouse becomes as flying bat—the evil enemy, and leads an army (snakes and crocodiles) to attack innocent people on the island. Some believe that the evil Mickey Mouse and other animals in this short film symbolize the evil American soldiers attacking Japan. After the expiration of the naval treaty in 1936, many Japanese were concerned that the expiration will cause the United States to launch an immediate attack on them. At the same time, the short film could also have other meanings. Japan invaded China, South Korea, the Philippines, and Indonesia in the 1930s before the outbreak of World War II, massacring indigenous people, raping women, and plundering everything. This is similar to what Mickey Mouse did in the short film. Perhaps the evil Mickey Mouse here may also be a symbol of the

14. Jason, L. (2000). *Mickey Mouse and the Nazis: The use of animated cartoons as propaganda during World War II.* Film and Television York University.
15. Bethanee, B. (2018, April 18). M*ickey Mouse morale: Disney on the world war 2 home front.* https://americanhistory.si.edu/blog/ww2-disney.

Japanese themselves.[16] This Mickey Mouse short film adapted from Japan is undoubtedly closely associated with the rising international tension at that time. Mickey Mouse entered into the real space and became an evil invader. It can be found that Mickey Mouse was imbued with the ideology closely connected to the war. Mickey Mouse began to have a specific national identity, and step into reality and become a participant of the war.

Figure 14: *Special long comics: Mickey Mouse Traveling to Shanghai（1） (Teyao changpian manhua：Milaoshu you Shanghai(1))* Author: Fan Lang Title: *World Style (Shifeng)* Date: 1939 Issue Number: Issue 1 Page Number: 22-23.

Figure 15: *Special long comics: Mickey Mouse Traveling to Shanghai: Multiple comics (Teyao changpian manhua：Milaoshu you Shanghai：manhua duofu)* Author: Fan Lang Title: *World Style (Shifeng)* Date: 1939 Issue Number: Issue 2 Page Number: 18.

Figure 16: *Mickey Mouse Traveling to Shanghai:(13) Swatting Flies: Four Comics (Milaoshu you Shanghai: pai cangying: manhuasifu)* Title: *Children's World* (*Ertong shijie*)(Shanghai 1945) Publication Date: 1948 Volume Number: Volume 5 Issue Number: Issue 2 Page Number: Front Cover 2.

---

16. James, B. (2014, June 4). *Evil Mickey Attacks Japan (1934) - You Cannot Escape the Evil Mouse!* http://animatedfilmreviews.filminspector.com/2014/06/evil-mickey-attacks-japan-1934-you.html

2.2. Mickey Mouse in the "Third Space": A Case Study of "Mickey Mouse Traveling to Shanghai"

Before and after World War II, the visual characters and identities of Mickey Mouse in the United States and Japan were changed and specified as certain national symbols. As a result, Mickey Mouse entered into reality from the virtual world. From the late 1930s to the 1940s, China also experienced complex social changes.[17] The Mickey Mouse in Shanghai had also entered the real world, and had a more specific foreign identity. But unlike Japan and the United States, the images of Mickey Mouse in Shanghai unveil more anxiety about self-identity. The Second World War inspired the Shanghai intellectuals to re-examine themselves—their society, their country's relationship with foreign ones, and their cultural identity.

A good example is the comic series *Mickey Mouse Travelling to Shanghai*, which can be divided into two groups according to their publication times. The first group is published in the magazine *World Style* (*Shifeng*) by Fan Lang in 1939. Mickey Mouse in these two sets of comics enters into the metropolis Shanghai as an "American guy" (*meiguolao*). In the first set (Fig. 14), Mickey Mouse has just arrived the Bund in Shanghai from Hollywood, and he says "We are tired of Hollywood. We come to Shanghai for some fresh air." The second set (Fig. 15) is about "wearing Chinese costume." The second group is published in *Children's World* (*Ertong shijie*) by Gongchao and Xing Shuntian in 1948, including fifteen different long comics such as "Slap the Flies," and "Good Gifts." The following will be a case study of these two groups of *Mickey Mouse Traveling to Shanghai*.

First of all, both the two groups of the *Mickey Mouse Traveling to Shanghai* comics series used the gaze of Mickey Mouse, a white American man, to re-examine Chinese society. For example, in the "Slap the flies" (Fig. 16) published in 1948，Mickey Mouse, as an American bystander, witnesses that the bad people in China—the illegal vegetable vendor and the dishonest businessman—were brought to justice. However, in the meanwhile, Mickey also sees a Chinese official who bought a large western-style house abroad. Mickey Mouse thus concludes that "Only a few flies were slapped." This comic satires the Chinese government only punished those people with small evils (flies), whereas the powerful evils were far from being overthrown.
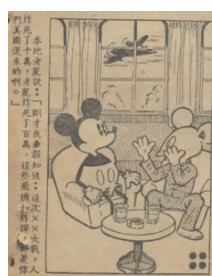
Figure 17: *Mickey Mouse Traveling to Shanghai: (Eleven) Good Gifts: Four Comics (Milaoshu you Shanghai: (shiyi) hao liwu: manhuasifu)* Title: *Children's World* (*Ertong shijie*) Publication Date: 1948 Volume Number: Volume 4 Issue Number: Issue 12 Page Number: Front Cover 2

---

17. He, R. (2018) *Mingguo shiqi dishini kuawenhua chuanbo yu Shanghai chengshi wenhua* (1930-1949) 民国时期迪士尼跨文化传播与上海城市文化（1930-1949) (Disney's Intercultural Communication and Shanghai Urban Culture in the Republic of China (1930-1949)). Shanghai Normal University.

Secondly, there are several comics in *Mickey Mouse Traveling to Shanghai* in 1948 that examines the relationship between China and foreign countries.[18] These comics use Mickey Mouse to express their deep thoughts and worries about the subtle and complex relationship between China and the United States. Different from the early 1930s when cosmopolitanism came to the fore, in the 1940s the relationship between nations became more complicated as the Second World War reshuffled the international order. The relationship between China and foreign countries is not like the explicit hostile one we observe in the Japanese animation *Evil Mickey Mouse Attack Japan* mentioned early on, but is full of contradictions and complexities. A comic "Good Gifts"(Fig. 17) in *Mickey Mouse Traveling to Shanghai* in 1948 highlights the complexity of the relationship between China and the United States. Mickey Mouse, as a white American man, goes to the local rat's house to have a meal. He sees that the local rat eats the American rice, and thus he says to the local rat, " You should be thankful to America, since the American rice feeds you." The local rat tells Mickey Mouse: "The newspaper says one hundred thousand people were killed and a million mice were killed in the war. The planes and bombs were all shipped from America." The group of comics shows that while the United States is offering food for China, it is also providing the weapons and bombs for Japan to attack China, which uncovers the complex relationship between the United States and China.

Figure 18: *Mickey Mouse Traveling to Shanghai: (six) The Moon is Better in American: Four Comics (Milaoshu you Shanghai: (liu) yueliang yeshi meiguo hao: manhuasifu)* Title: *Children's World* (*Ertong shijie*) Publication Date: 1948 Volume Number: Volume 4 Issue Number: Issue 7 Page Number: Front Cover 2
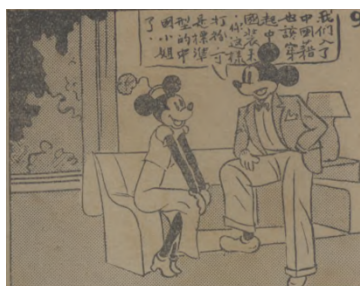
Figure 19: *Special long comics: Mickey Mouse Traveling to Shanghai: Multiple Comics (Teyao changpian manhua: Milaoshu you Shanghai: manhua duofu)* Author: Fan Lang Title: *World Style (Shifeng)* Date: 1939 Issue Number: Issue 2 Page Number: 18

Thirdly, there are also some comics in *Mickey Mouse Traveling to Shanghai* that show Chinese people's anxiety and thoughts about their own cultural identity.[19] A good example is

---

18. Zhu, G. (1995). Kangri zhanzheng shiqi de zhongmei guanxi 抗日战争时期的中美关系(China and the U.S. Relations during the War of Resistance Against Japan). *Shijie lishi* 世界历史, 4, 16-23.

19. Wang, P., Hu F. (1995). Mingzu wenhua rentong: neihan yu jiegou 民族文化认同:内涵与结构 (National Cultural Identity: Connotation and Structure). *Shanghai shifan daxue xuebao (zhexue shehui kexueban)* 上海师范大学学报(哲学社会科学版), 1, 101-107.

"The Moon is Better in American" in 1948 (Fig. 18), this comic embodies the Chinese people's blind worship for Western culture and their doubts about their own identity. In the comic, a Chinese student studying in the United States sighs after seeing the moon: "America is good. The moon in the United States is always round." Then Mickey Mouse shows him a night newspaper, on which we see a title says: "The lives of American miners are difficult, and hundreds of thousands go on strike." This comic satires the blind worship of the students studying in the United States from the perspective of Mickey Mouse. The opposite example is the second set of *Mickey Mouse Traveling to Shanghai* in 1939. We can see that Minnie, as an American, puts on a Chinese *cheongsam* and has also joint Chinese nationality (Fig. 19), which reflects the Chinese people's affirmation of their own identity and culture. Instead of blindly worshipping and pursuing, they inspire the readers to treat Western culture rationally and encourage readers to build up Chinese people's confidence in their own identity and culture.

In the comic *Mickey Mouse Traveling to Shanghai*, Mickey Mouse comes to Shanghai in reality as an American. In fact, he is never truly localized and is still a virtual character in animations, which embodies the intersection and fusion of reality and virtuality. At the same time, Mickey Mouse appears in the local comics as a symbol of Western culture, reflecting the conflict and collision of Western culture and local culture of Shanghai. The world constructed in the comics *Mickey Mouse Traveling to Shanghai* can be called, to use Homi Bhabha's term, a "third space," which is full of contradiction between the East and the West and between fictional figures and real-world places.[20]

Conclusions

In the early 1930s, Mickey Mouse in Shanghai had no identity limitations—a character with no distinct definition of age, ethnicity, race, class, nationality, or local identity—a figure that can only exist in virtual space. Because of this, he could be a global citizen and travel in various virtual worlds. In addition, He was popular all over the world and existed in the virtual public space of global illustrated magazines. However, the great shift in the global political situation, most importantly the Second World War, caused Mickey Mouse to step out of the the virtual space, and entered the real world in which he was no longer a symbol of cosmopolitanism, but a figure that has specific national and racial identities. In the comic *Mickey Mouse Traveling to Shanghai* which was adapted by Shanghai local cartoonists, Mickey Mouse is often a white male through whom the Shanghai cartoonists re-examine the China society and Chinese people's cultural identity. Meanwhile, comics have constructed a "third space" full of a mixture of Eastern and Western cultures, and a fusion of reality and virtuality.

---

20. Wang, J. (2008) "Zarou yu quanqiuhua wenhua shengchan:yi dishini donghua weili" 杂糅与全球化文化生产:以迪斯尼动画为例 (Hybrid and Global Cultural Production: Taking Disney Animation as an Example). *Donghua daxue xuebao (shehui kexueban)* 东华大学学报(社会科学版), 4, 263-266.

References

Alva, J.(1934). Mickey Mouse. *Woman's Home Companion*, 7, 108.

Bao, Y., Zhong, D. (2009) "Meiguo xuezhe dui "Disney disini" de yanjiu yu piping (zhiyi)" 美国学者对"Disney 迪斯尼"的研究与批评(之一) (American Scholars' Research and Criticism on "Disney" (Part One)), *Dianying pingjie* 电影评介, 8, 5-7.

Bethanee, B. (2018, April 18). *Mickey Mouse morale: Disney on the world war 2 home front.* https://americanhistory.si.edu/blog/ww2-disney.

Chen, B. (1932) "Yishu chengming zhi huajia," 以鼠成名之画家 (The Painter Who Became Famous With the Mouse). *Liangyou huabao* 良友画报,72.

Filreis, A. (2021). *1960: When Art and Literature Confronted the Memory of World War II and Remade the Modern.* Columbia University Press.

Huang, G. (2017) "Yizhong modeng shixian de yingjie—lun liangyou huabao de xiandai bianpai fenlei" 一种摩登视线的引介──论《良友》画报的现代编排分类 (An Introduction to Modern Sight—On the Modern Arrangement and Classification of The Young Companion). *Zhongguo wenxue yanjiu* 中国文学研究, 44, 145-190.

He, R. (2018) *Mingguo shiqi dishini kuawenhua chuanbo yu Shanghai chengshi wenhua (1930-1949)* 民国时期迪士尼跨文化传播与上海城市文化（1930-1949) (Disney's Intercultural Communication and Shanghai Urban Culture in the Republic of China (1930-1949)). Shanghai Normal University.

Jason, L. (2000). *Mickey Mouse and the Nazis: The use of animated cartoons as propaganda during World War II.* Film and Television York University.

James, B. (2014, June 4). *Evil Mickey Attacks Japan (1934) - You Cannot Escape the EvilMouse!*

Li, X. (2005). "Hualong zhongzai dianjing—qiantan anfang jishu dui sheying zuoping de yingxiang" 画龙重在点睛——浅谈暗房技术对摄影作品的影响 (The Finishing Point——On the Influence of Darkroom Technology on Photographic Works). *Xinjiang shiyou jiaoyu xueyuan xuebao* 新疆石油教育学院学报, 1, 95-97.

Li, X. (2019) "Cong mixieer de 'yuantuxiang' dao nanxi de 'zizhu'—dangdai tuxiang lilun de ziwo zhishe" 从米歇尔的"元图像"到南希的"自主"——当代图像理论的自我指涉 (From Michel's 'Meta-image' to Nancy's 'Autonomy'——The Self-referentiality of Contemporary Image Theory). *Wenyi pinglun* 文艺评论, 4, 50-58.

Liu, Y. (2007) *Zuowei shidai tuxiangzhi de Liangyou huabao* 作为时代图像志的《良友画报》 (The Young Companion as an Iconography of the Era). Huazhong University of Science and Technology.

Shi, J. (2018) *"Liangyou"huabao de guojihua yanjiu* 《良友》画报的国际化研究 (The International Study of The Young Companion). Xiangtan University.

Shanghai tushuguan wenxian tigong zhongxin. (2016). *Dishini Shanghai wangshi: minguo shiqi de chengshi jiyi* 迪士尼上海往事: 民国时期的城市记忆 (Disney's Past in Shanghai: The Memory of the City During the Republic of China). Shanghai Keji Wenxian Chubanshe.

Tang, H. (2021) "kan de zijue yu shuangchong 'shijie-tuxiang'—jindai zhongguo de shijue xiandaixin" 看的自觉与双重"世界-图像"——近代中国的视觉现代性 (The Consciousness of Seeing and the Double "World-Image"——The Visual Modernity of Modern China). *Kuawenhua Yanjiu* 跨文化研究, 1, 1-30.

Wang, P., Hu F. (1995). Mingzu wenhua rentong: neihan yu jiegou 民族文化认同:内涵与结构 (National Cultural Identity: Connotation and Structure). *Shanghai shifan daxue xuebao* (zhexue shehui kexueban) 上海师范大学学报(哲学社会科学版), 1, 101-107.

Wang, J. (2008) "Zarou yu quanqiuhua wenhua shengchan:yi dishini donghua weili" 杂糅与全球化文化生产:以迪斯尼动画为例 (Hybrid and Global Cultural Production: Taking Disney Animation as an Example). *Donghua daxue xuebao* (shehui kexueban) 东华大学学报(社会科学版), 4, 263-266.

Zhu, G. (1995). Kangri zhanzheng shiqi de zhongmei guanxi 抗日战争时期的中美关系 (China and the U.S. Relations during the War of Resistance Against Japan). *Shijie lishi* 世界历史, 4, 16-23.

Star Trek and the Metaverse:
An Analysis of Foresight for Augmented Reality in Science Fiction

Eric Hawkinson, Kyoto University of Foreign Studies, Japan

The IAFOR International Conference on Arts & Humanities in Hawaii 2022
Official Conference Proceedings

Abstract

An analysis combining viewpoints of futurism, strategic foresight, computer science, learning technology, and film studies to compare and contrast themes found related to Augmented Reality in Star Trek to trends found in the development and commercialization of these technologies. The use and proliferation of immersive media such as augmented and virtual reality is increasing, with new terms like 'metaverse' and 'digital twins' being used to describe a blending of human experience into media like never before. This study looks to examine the predicting capabilities of science fiction, most specifically Star Trek and all of its iterations, and compare/contrast with current trends in immersive technology media development. There are examples that can be seen in current trends from several decades before commercial availability in Star Trek. The stories and themes discussed surrounding these technologies within the context of this fiction can inform emerging conversations of how these technologies will impact human communication, our perception of reality, and society as a whole. This study relates signals and themes from Star Trek surrounding augmented reality and matches them with current research topics. It also provides an idea of how these technologies can alter or modify our lives and mainly guides us on handling them correctly. Introducing a new technology affects society; Star Trek tries its best to make those impacts of technology a more positive one.

Keywords: Augmented Reality, Star Trek, Foresight, Predictive Fiction, Technology in Society

iafor

The International Academic Forum
www.iafor.org

Introduction

In the field of futurism and foresight, signals are studied and analyzed to tell stories and highlight possible trends moving to the future (Golden 2020; Hiltunen 2008). Star Trek since it's first iteration in the 1960's has been a wonderful source of signal interpretation of technology through the lens of science fiction storytelling. Some of the first well known glimpses of technologies like the cell phone, tablets, transparent aluminum, automatic doors, teleconferencing, and many more were shown in the various Star Trek shows and movies (Lasbury 2016). This analysis seeks to focus on augmented reality, a technology that still largely is not realized but is increasingly viewed as a technology that will be used widely and in all aspects of life, much like the smartphone today. There are many instances of Star Trek depicting the use of augmented reality from as far back as Star Trek: The Next Generation in the 1980's and many of these depictions were predictive of current trends but also highly descriptive of themes, issues, and trends around the effects of people and society. In the following passages, let's look at three of these telling portrayals of the use of augmented reality in Star Trek.

Retina Projection and Cognitive Effects

The first example is from Star Trek: The Next Generation: Season 5, Episode 7; The Game. In this episode, Commander William Riker, first officer of the Enterprise in Star Trek, goes to a pleasure planet where he is given an augmented reality headset. The headset turned out to be a video game that was also a mind control device to be used in a plot to take control of the ship. Basically, it was a plot set up for aliens using the headsets to implant commands into the minds of the Enterprise crew and to take over their ship. It is impressive how the device in this episode interprets all the brain's thoughts and stimulates its pleasure center. It actually mind-controls the crew through subliminal messages using the projection right into the retina that are interpreted by the brain subconsciously. Scary and also outlandish, right? But from what we are learning about what happens to users of augmented and virtual reality, it points out how we might use these headsets to influence behavior, much like the software in our smartphones are competing for our attention for targeted advertising (E. Hawkinson and Klaphake 2020). There is little consensus yet on the mental and physical effects of AR/VR use, especially for children or over extended years of use, we still require to know a lot of the physiological effects on every individual using immersive technology. Still, there is already a lot of research and evidence that points to virtual reality and augmented reality having a greater ability to influence us more profoundly than any other traditional media we have encountered before (Kang et al. 2012; Bekele et al. 2013; Wu et al. 2013). Having extra agency in the use and consumption in our media opens us up to be more empathetic to the content, and connected to the story (Schutte and Stilinović 2017; Herrera et al. 2018; Shin 2018). In my opinion, if the content the augmented reality is designed in a way that resembles how we are designing current online content to maximize engagement, I think the use of AR/VR can exasperate many physiological issues we see in smartphone use like compulsion loops, sleeplessness, and issues of self-esteem.

As far as the design of the headset is concerned, it also seems indicative of the trends and goals in the development of augmented reality capable headsets, eye glasses, or other optical technologies. Often headsets are fond of using a lot of glass, a lot of projection, or we try to make use of very pixel dense displays as they can give us that feeling as if the proximity between our eyes and the screen is really narrowing or some projected glass image. But Virtual Retinal Display, which can be called the retinal projector, is a technology that has started to

make its way from engineering labs to consumer facing products (Kleweno et al. 2001). It is a display technology that draws a raster display directly onto the eye's retina. The user sees what apparently a conventional display is floating in space in front of them. It has been frequently discussed in recent papers, sometimes called 'screenless displays', implying it is just around the corner (Lohchab and Sadaf 2017; Shinde and Others, n.d.; Sugawara, Suzuki, and Miyauchi 2017). It might be possible to utilize this type of display with the problem of eye strain, eye discomfort, eye fatigue, and blurred vision, and cybersickness that might be felt from many of today's headsets. One of the current leading headsets include recent HoloLens from Microsoft, which is probably the most common headsets used for augmented reality. With HoloLens, the user experiences 3D holographic images as though they are a part of their environment (Liu et al. 2018). Moreover, these headsets were sent for military tests, too, where Microsoft earned contracts from the US military worth billions of dollars (Ji et al. 2019; Wang et al. 2020). So, with so many incoming demands, it is safe to say that the use of AR headsets will only increase and the use cases will broaden. Somebody actually recreated a scene from this episode of Star Trek using HoloLens.

This episode does not only examine the device but also the possible effects to our behaviors. This depiction implies we might need to have more social and behavioral considerations in the design of AR/VR hardware as well as content. Also the need for much more research on the lasting effects and possible dangers of influence. This is not only influenced by what you are shown with AR/VR but the influence from real world entities that seek to exploit the data collected from users as they use AR/VR connected to other internet connected services.

Diminished Reality and Biological Calibrations

The concept of an AR headset was also seen in an episode of Star Trek: Deep Space 9, season 6, episode 1; A time to stand. This is where the crew of space 9 steals a Jem'hadar warship during the ongoing war with The Dominion. Usually, starships contain a window or a view screen to watch what is going on outside the ship. But, this stolen ship has a very different way of actually viewing the space from inside the bridge.

The command structure set for this alien race is very hierarchical and thus only a few in charge are allowed to get most information, thus only one or two people can peek outside the ship. This social structure has highly influenced the design of the ship and technology in it. There are no windows on the bridge and only those in charge get headsets that allow outside viewing. This kind of cultural influence on technology design has been observed often, one example being the 'Galapagos Syndrome' in technology design in Japan (Eric Hawkinson 2017; Hobo 2014). The few in command put these headsets on and it allows them to look through the hull of the ship. As the ship is stolen, during the mission the only one who was able to look outside was the mission leader Captain Sisko. This concept of using augmented reality to remove parts of the physical world has been in development for some time and is known as diminished reality. Diminished Reality is one kind of computer-aided reality where objects are recognized and removed from view, sometimes in real-time (Nakajima, Mori, and Saito 2017; Mori, Ikeda, and Saito 2017). When you put on an augmented reality headset or view the world through a digital lens, it can help you remove, conceal, or eliminate real-life objects from your surroundings. Its applications can be found all around you. It has been happening for many years now in Google Street view, like people are automatically removed from 360 images for privacy reasons mostly. This is achieved through a combination of software programs and hardware devices, and in some implementations allow headset users to remove objects from view in real-time, like a coffee cup from a table top or a building in a view of nature. In the

episode, the characters are using this type of real-time diminished reality, wherever you look the hull of the ship is removed from view to allow the user to see in 360 degrees anywhere outside, likely with the aid of positional and head-tracking. The view outside is likely provided using an array of cameras placed on the outside of the ship, possibly taking in 360 or stereoscopic video and displaying it to the user. Some commercial uses of this technology can be seen currently, such as home furniture smartphone applications that allow users to take out the furniture currently in a room and replace it with digital versions of items for sale. This allows users to 'try' the items to see if they fit and match the room configuration. Diminished Reality is also used by hairstyling and makeup apps. For instance, users can now try any hairstyle such as curls or bangs and see how that works without using scissors or machinery to get the look.

We also saw diminished reality portrayed in an episode of Black Mirror called White Christmas where the main protagonist played by John Hamm was sentenced to not being able to interact with people, so wherever he looked, wherever he went, the people were not only erased from his view, but voices were also removed or 'diminished' from his reality, that way he couldn't hear what people around him are talking about throughout his life. So, his interaction with people was diminished in this case.

One other very predictive theme in the use of this technology in this episode of Star Trek was that using these technologies might cause cybersickness, headache, and fatigue. If we delve deeper, we will realize how gradually augmented reality alters the way our brain understands information. It can cause you to misjudge the speed of oncoming cars, underestimate your reaction time, and unintentionally ignore the hazards of navigating in the real world. I have discovered this in my research here, where students are curating and creating virtual tours as a part of vocational training. They couldn't last more than a couple of minutes before getting a little bit exhausted in virtual reality as the cheap glasses were not correctly calibrated to the eyes of the individual students (Alizadeh and Hawkinson 2021). Due to the distance, their eyesight can get strained as well. Augmented reality is also quite expensive when used this way, and it might be less accessible for small businesses or harder to use in schools with little technology infrastructure like reliable broadband internet access.

AR Board Games and Holograms

Finally, we are coming to our 3rd example from Star Trek: The Next Generation, Season 2-Episode 21; Peak Performance. This episode shows a lot of the crew engaged in a type of electronic board game called Stratagem. It's basically like a puzzle game, a two-person game where the holographic grid is displayed in front of the two players. The elements are controlled by their hand and finger movements, and one person moves, another person moves. Points are scored for each claimed space that survives and is converted to a controlled space. The board is represented in three-dimensional space in front of the players, like a hologram. Controllers were placed on the fingers of the players to interact with the game. This feature is unique and compelling in numerous ways, because in many immersive media devices we see a lot of hand tracking with a camera to interact. The need for the technology to put things onto your fingers maybe isn't so necessary to interact as motion is captured with a camera, but there is a whole field of haptics that has arisen that facilitates physical feedback from a digital environment. That is what might be happening in this depiction of gameplay in Star Trek. Some headset controllers have finger placement sensors to project finger movement into virtual constructs as well.

The holographic technology depicted in this episode isn't available, but using projected light in different ways to perceive digital additions to one's physical surroundings is already being developed for commercial AR board gaming. In this implementation light is actually projected from the user's headset to be reflected back from a specially coated gameboard (Hartmann, Yeh, and Vogel 2020). A company is set to release an augmented reality board and headset to allow augmented reality to be paired with in-person and online gaming. Using this setup, no matter where you move or position your head, the projection of light coming out of your headset to be reflected onto the board is being changed. This allows for the perspective of the media to adapt to the position of each player and thus each person sees a three-dimensional image based on their vantage point of the gameboard.

The market for mobile computer games is constantly growing and prospering with recent developments in smartphones. The current generation of smartphones has the hardware to allow more advanced use of AR applications to be available that closely resemble this case use seen in Star Trek.

Similarly, AR can be used for many other purposes such as in certain events it could be used in theaters and cinemas, making movies and shows' billboards as an opportunity to gain access to all the extra details that can catch users' interest such as immersive media, trailers and connected social media. It could be an efficient way to make the fans' experience much more engaging, accepting and mitigating the privacy concerns being one possible obstacle.

Discussion

There is much to gain from these depictions of augmented reality in Star Trek that could help inform a more responsible design approach and implementation at a broader scale. These examples from Star Trek are very positive and very optimistic about the future. Many of the directions of this technology in science fiction turn to more dystopian themes. Even Star Trek has somehow given us hints about all the possible hazards and genuine ill effects we could face as this technology becomes more widespread. They have also portrayed physiological concerns, connections to functioning democracy, or maybe addictive issues, which we are uncovering with research in mobile technology and media (Sun and Zhang 2021; Deibert 2019). Lack of privacy can be a growing concern in AR-based applications. It has the ability, much like social media, to show one person something of the real world or take out something from the real world that other people have no sense of what's happening, making our common base of knowledge more fragmented (Alshaabi et al. 2020; Cinelli et al. 2021). Augmented Reality can convince people to miss out on significant moments in their lives, diverting our attention to our personal augmented version of events. Let's not forget how wonderful of a creation it is. If used widely, properly acknowledging the technology and following all the necessary precautions can be a real breakthrough for humanity in many ways. I hope the examples in Star Trek can help us gain more benefit and avoid more pitfalls of how we put AR to use overall in our society.

Conclusions

Star Trek continues to be a predictor and source of conversation for technology in society, and as the web goes through another evolution from mobile computing and the mobile web to immersive technology and web 3.0. Some of the themes discussed as these technologies were introduced in Star Trek can be good indicators of how these technologies will integrate in different ways with humanity. In the examples discussed in this study, themes of moving

devices from our pockets to our face and the implications of having a constant digital display in our field were apparent. Asking questions about the psychological and physiological effects of use and the mental and physical health of prolonged use. Diminished reality and not just augmented reality to be utilized in different ways and having it connected to status points to an already growing trend in the digital divide. Within years even more of the technology introduced in Star Trek is likely to be a reality, perhaps we should continue to examine these themes from Star Trek and other science fiction to bring out the best practices and outcomes while minimizing the risks and potential damages as we implement augmented reality more ubiquitously.

References

Alizadeh, Mehrasa, and Eric Hawkinson. 2021. "Case Study 10, Japan: Smartphone Virtual Reality for Tourism Education—A Case Study." In *Language Learning with Technology: Perspectives from Asia*, edited by Lindsay Miller and Junjie Gavin Wu, 211–22. Singapore: Springer Singapore.

Alshaabi, Thayer, David R. Dewhurst, Joshua R. Minot, Michael V. Arnold, Jane L. Adams, Christopher M. Danforth, and Peter Sheridan Dodds. 2020. "The Growing Echo Chamber of Social Media: Measuring Temporal and Social Contagion Dynamics for over 150 Languages on Twitter for 2009--2020." *arXiv Preprint arXiv:2003. 03667*. http://www.uvm.edu/pdodds/research/papers/years/2020/alshaabi2020a.pdf.

Bekele, Esubalew, Zhi Zheng, Amy Swanson, Julie Crittendon, Zachary Warren, and Nilanjan Sarkar. 2013. "Understanding How Adolescents with Autism Respond to Facial Expressions in Virtual Reality Environments." *IEEE Transactions on Visualization and Computer Graphics* 19 (4): 711–20.

Cinelli, Matteo, Gianmarco De Francisci Morales, Alessandro Galeazzi, Walter Quattrociocchi, and Michele Starnini. 2021. "The Echo Chamber Effect on Social Media." *Proceedings of the National Academy of Sciences of the United States of America* 118 (9). https://doi.org/10.1073/pnas.2023301118.

Deibert, Ronald J. 2019. "The Road to Digital Unfreedom: Three Painful Truths About Social Media." *Journal of Democracy* 30 (1): 25–39.

Golden, Garry. 2020. "Strategic Foresight." https://solihten.org/wp-content/uploads/2020/08/Solihten-Garry-Golden-PDF-Version.pdf.

Hartmann, Jeremy, Yen-Ting Yeh, and Daniel Vogel. 2020. "AAR: Augmenting a Wearable Augmented Reality Display with an Actuated Head-Mounted Projector." In *Proceedings of the 33rd Annual ACM Symposium on User Interface Software and Technology*, 445–58. UIST '20. New York, NY, USA: Association for Computing Machinery.

Hawkinson, E., and J. Klaphake. 2020. "Work-in-Progress—Legal and Ethical Issues in Immersive Education." In *2020 6th International Conference of the Immersive Learning Research Network (iLRN)*, 305–7.

Hawkinson, Eric. 2017. "Japan's Galapagos Syndrome and Educational Technology Development and Design." *Scientific Studies of Reading: The Official Journal of the Society for the Scientific Study of Reading* 1 (3): 59–65.

Herrera, Fernanda, Jeremy Bailenson, Erika Weisz, Elise Ogle, and Jamil Zaki. 2018. "Building Long-Term Empathy: A Large-Scale Comparison of Traditional and Virtual Reality Perspective-Taking." *PloS One* 13 (10): e0204494.

Hiltunen, E. 2008. "Good Sources of Weak Signals: A Global Study of Where Futurists Look for Weak Signals." *Journal of Futures Studies*. http://citeseerx.ist.psu.edu/viewdoc/download?doi=10.1.1.390.9014&rep=rep1&type=pdf.

Hobo, Flávio. 2014. "Galapagos Syndrome and Other Cultural Aspects Embodied in Contemporary Japanese Graphic Design." *Blucher Design Proceedings* 1 (2): 698–708.

Ji, Xiang, Hu Liu, Zizhao Wang, Yuge Li, Yongliang Tian, and Mingyu Huo. 2019. "Agent-Based MR Simulation as a Tool for Combat Search and Rescue Command and Control." In *Proceedings of the 2019 3rd International Conference on Artificial Intelligence and Virtual Reality*, 1–7. AIVR 2019. New York, NY, USA: Association for Computing Machinery.

Kang, O-Seok, Dong-Seon Chang, Geon-Ho Jahng, Song-Yi Kim, Hackjin Kim, Jong-Woo Kim, Sun-Yong Chung, et al. 2012. "Individual Differences in Smoking-Related Cue Reactivity in Smokers: An Eye-Tracking and fMRI Study." *Progress in Neuro-Psychopharmacology & Biological Psychiatry* 38 (2): 285–93.

Kleweno, C. P., E. J. Seibel, E. S. Viirre, J. P. Kelly, and T. A. Furness 3rd. 2001. "The Virtual Retinal Display as a Low-Vision Computer Interface: A Pilot Study." *Journal of Rehabilitation Research and Development* 38 (4): 431–42.

Lasbury, Mark E. 2016. *The Realization of Star Trek Technologies: The Science, Not Fiction, behind Brain Implants, Plasma Shields, Quantum Computing, and More*. PDF. 1st ed. Cham, Switzerland: Springer International Publishing.

Liu, Yang, Haiwei Dong, Longyu Zhang, and Abdulmotaleb El Saddik. 2018. "Technical Evaluation of HoloLens for Multimedia: A First Look." *IEEE Multimedia* 25 (4): 8–18.

Lohchab, Abhishek, and Sameera Sadaf. 2017. "Screenless Display." *Global Sci-Tech* 9 (3): 170.

Mori, Shohei, Sei Ikeda, and Hideo Saito. 2017. "A Survey of Diminished Reality: Techniques for Visually Concealing, Eliminating, and Seeing through Real Objects." *IPSJ Transactions on Computer Vision and Applications* 9 (1): 1–14.

Nakajima, Yoshikatsu, Shohei Mori, and Hideo Saito. 2017. "Semantic Object Selection and Detection for Diminished Reality Based on SLAM with Viewpoint Class." In *2017 IEEE International Symposium on Mixed and Augmented Reality (ISMAR-Adjunct)*, 338–43. ieeexplore.ieee.org.

Schutte, Nicola S., and Emma J. Stilinović. 2017. "Facilitating Empathy through Virtual Reality." *Motivation and Emotion* 41 (6): 708–12.

Shinde, Ms Pradnya, and Others. n.d. "Screenless Display-the Reality Of Future." *JournalNX*, 1–5.

Shin, Donghee. 2018. "Empathy and Embodied Experience in Virtual Environment: To What Extent Can Virtual Reality Stimulate Empathy and Embodied Experience?" *Computers in Human Behavior* 78 (January): 64–73.

Sugawara, Mitsuru, Makoto Suzuki, and Nori Miyauchi. 2017. "Retinal Imaging Laser Eyewear with Focus-Free and Augmented Reality." In *2017 24th International Workshop on Active-Matrix Flatpanel Displays and Devices (AM-FPD)*, 5–8. ieeexplore.ieee.org.

Sun, Yalin, and Yan Zhang. 2021. "A Review of Theories and Models Applied in Studies of Social Media Addiction and Implications for Future Research." *Addictive Behaviors* 114 (March): 106699.

Wang, Wei, Songgui Lei, Haiping Liu, Taojin Li, Jue Qu, and Ang Qiu. 2020. "Augmented Reality in Maintenance Training for Military Equipment." *Journal of Physics. Conference Series* 1626 (1): 012184.

Wu, Hsin-Kai, Silvia Wen-Yu Lee, Hsin-Yi Chang, and Jyh-Chong Liang. 2013. "Current Status, Opportunities and Challenges of Augmented Reality in Education." *Computers & Education* 62 (Supplement C): 41–49.