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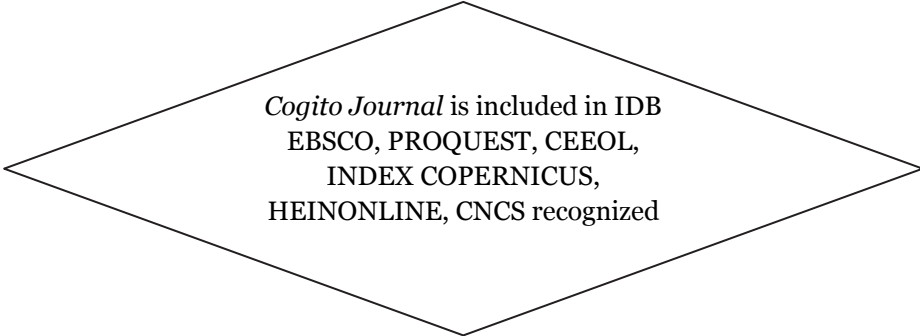
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OPERATORS OF LOGIC RULES AND RELATIONS BETWEEN THEM

Gabriel Iliescu*

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Abstract: *The aim of this paper is to extend a result concerning the truth function domain in the bivalent logic to the domain of logic of norms operators. Such as in the domain of truth function, for some logic of norms operators, there are contrary deontic operators. Starting from these, one can find out conclusive deontic operators for the same. So we have an alternative way than deduction, for obtaining the conclusions. Getting back the domain of truth function, for some given of them there are subcontrary functions. Starting from these, one can find out the premise functions for given function. The same, for some given deontic operators, there are subcontrary deontic operators. Starting from these, one can find out premise deontic operators of the given deontic operator. So we have a way for obtaining of the premises.*

Keywords: *the relation logical consequence, contradiction, contrariety, subcontrariety, premise, conclusion, deontic operator, obligation, permission, forbiddance, deontic liberty, deontic constraint.*

1. Preambul și ipoteza verificată

1.1. Preamble and hypothesis verified

The operators of logic rules to which I refer are: obligation, forbiddance, permission, deontic constraint, deontic freedom. Relations between them are both the opposition, like: contradiction, contrariety, subcontrariety and logical consequence. As regard to the latter, some of the operators, arise as a premisses and have operators-conclusion, others, arise as a conclusion and have operators-premisses.

As regards hypothesis verified, first I mention it in a nutshell and then I explain it. Thus the hypothesis tested is:

The two chains of equivalences from the truth functions domain, remain available if φ and ψ are deontic operators?

$$\text{Con}(\varphi) = \text{Ctr}(\neg(\varphi)) = \neg(\psi) = \text{Ctr}(\mathcal{A}(\psi)) = \{\gamma_1, \dots, \gamma_n\}$$

$$\mathcal{A}(\psi) = \text{Ctr}(\neg(\psi)) = \neg(\varphi) = \text{Ctr}(\text{Con}(\varphi)) = \{\sim\gamma_1, \dots, \sim\gamma_n\}$$

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I explain the meanings of the used symbols. The shown equivalences are detached from a previous research on truth functions table of bivalent logic. I distinguished two types of functions.

-some, conventionally called φ , for which there are, on the one hand conclusive functions, $Con(\varphi)$ noted $\{\gamma_1, \dots, \gamma_n\}$, and on the other hand, contrary functions for φ , $\neg(\varphi)$, noted $\{\sim\gamma_1, \dots, \sim\gamma_n\}$.

-others, conventionally called ψ for which there are on the one hand premise-functions, $\mathcal{P}(\psi)$ noted $\{\sim\gamma_1, \dots, \sim\gamma_n\}$, and on the other hand, subcontrary functions to ψ , $\Pi(\psi)$, noted $\{\gamma_1, \dots, \gamma_n\}$. What is the result of a previous article¹.

The negations: contrariety, $\neg p$, subcontrariety negations Πp , contradiction-negation $\neg p$ are rendered by Dumitru Gheorghiu². I rerun in this context their definitions to create the possibility of an independent reading of this text:

P	$\neg p$	P	ΠP	P	$\neg p$
1	0	1	1	1	0
0	1		0	0	1
	0	0	0		

Grid 1

Contradiction negation:

$$(1a) v(\neg p) = 1 \text{ iff } v(p) = 0$$

$$(1b) v(\neg p) = 0 \text{ iff } v(p) = 1^3$$

That means:

(1a) the of the contradictory $\neg p$ ($v(\neg p)$) of a sentence p is the truth (1) if and only if the value of p ($v(p)$) is false (0).

(1b) the value of the contradictory $\neg p$ ($v(\neg p)$) of a sentence p is false (0) if and only if the value of p ($v(p)$) is truth (1).

What this negation highlights is that a sentence and its contradictory-negation cannot be neither true nor false together.

Contrariety negation:

$$(2a) \text{ If } v(p) = 1 \text{ then } v(\neg p) = 0$$

$$(2b) \text{ If } v(p) = 0 \text{ then } v(\neg p) = 1 \text{ or } v(\neg p) = 0$$

¹ Iliescu, Gabriel, *Non-classical negations, concluding functions and premises functions*, in Problems of Logic vol. XVI, Academia Română Publishing House, Bucharest, 2013, pp.85-86

² Gheorghiu, Dumitru, *Existence, contradiction, truth*, Three Publishing House, Bucharest, 2005, pp.129-133

³ *Ibidem*, p.110

That means:

(2a) If the value of a sentence p , $(v(p))$, is the truth (1) then the value of the contrary of p , $\neg p$, is false (0).

(2b) If the value of a sentence p $(v(p))$ is false (0) then the value of the contrary of p , $\neg p$, is the truth (1) or is false (0)⁴.

Which highlights here D. Gheorghiu, is that two statements that contrary to each other can not be true together, but together can be false⁵. I stress that a proposition and its negation can be together false, with the indication that this negation is not contradiction but contrariety.

Negation subcontrariety:

(3a) If $v(p) = 0$ then $v(\neg p) = 1$

(3b) If $v(p) = 1$ then $v(\neg p) = 1$ or $v(\neg p) = 0$

That means:

(3a) If the value of a sentence p $(v(p))$ is false (0) then the value of the subcontrary of p , $\neg p$, is truth (1).

(3b) If the value of a sentence p $(v(p))$ is truth (1) then the value of the subcontrary of p , $\neg p$, is truth (1) or is false (0)⁶.

Also in this case the author urges upon the meaning that two sentences that are mutual subcontrary, cannot be together false but can be together true⁷. I also stress the idea that a sentence and its negation can be together true, specifying that this negation is the subcontrariety, not the contradiction.

Return to the domain of truth function. Based on this definitions I could operate with sets that contradictories of the set functions already mentioned: the contradictories of the conclusions $ctr(Con(\varphi))$, the contradictories of the premises, $ctr(\mathcal{A}(\psi))$, but also with the contradictories of the contraries, $ctr(\neg(\varphi))$, and the contradictories of the subcontraries $ctr(\neg(\psi))$.

In this case, φ and ψ will have an expanded resemnification, such as to include in their field, also the deontic operators. We could have deontic operators of the kind φ , respective ψ , possible noted φ_{Δ} and ψ_{Δ} . Deontic operators of the kind φ_{Δ} will be the ones that have conclusiv operators. And the ψ_{Δ} operators will be the ones to have premise- operators.

The two chains of equivalences characterize the functions of truth. Redrafting the hypothesis, this means: if these equivalences, available in the field of truth function, can be expanded also over an other field, such as of the deontic operators.

I consider enlightened the signifiante of the symbols composing the two strings of equivalences and also the content of verified hypothesis.

⁴ *Ibidem*, pp.129-131

⁵ *Ibidem*, p.130

⁶ *Ibidem*, pp.131-132

⁷ *Ibidem*, p.132

The purpose is to verify if the obtained strings of equivalences in the field of truth functions can be extended over deontic operators domain field.

2. Deontic operators, equivalences, and truth values

The aim of this paragraph is to introduce by short the definitional equivalences of the deontic operators, that Georg Henrik von Wright established.

He starts from the language of propositional logic, composed of propositional variables like p, q, \dots that mean some descriptive sentences in natural language. To these ones are applied truth functions such as negation \sim , material implication („if...then...”), the conjunction, $\&$ („and”), the inclusive disjunction \vee („or”).

Over these he adds deontic operators: "O" for "obligation", "F" for "forbidden", "P" for "permission" and "I" for "deontic indifference". So the 'Op' means 'p is compulsory', "Fp" means "p is forbidden", "Pp" stands for "permitted p" and the "Ip" means that "p is for whatever (or free)". Thus, "O~p" would mean "you must not have held State of p". What is tantamount to a ban, "Fp". On the other hand "F~p" means that it is compulsory p.

And indifference is defined by " \sim Op & \sim O~p" or "p is not required and not required ~p". In other words, "Omp⁸ & \sim O~p" that is „it is omisable p and it is not mandatory non-p”. Just the same correctly, the indifference, Ip, is also defined by „~F~p & ~Fp” that is „it is not forbidden p and it is not forbidden nor ~p”, but is also defined by „Pp & P~p” meaning that ”it is permitted both p and ~p”⁹.

After which the author „~O~p” as meaning the permission. On the other hand, for this one he indicates the operator „P”. Than also for the obligation he offers the combination „~P~”.

I also start from the next equivalences and mutual defining of the deontic operators. The same ones are also retaken by romanian logicians as Cornel Popa. We found on this author the following equivalences, but not in the same form of exposing as the lower one¹⁰, with completed variants of negations and the marking out of the derivations:

- | | |
|--|---|
| 1. $Op \equiv F\sim p \equiv \sim P\sim p$ | 7. $Lp \equiv Omp \& \sim Fp$; (6, De Morgan) |
| 2. $O\sim p \equiv Fp \equiv \sim Pp$ | 8. $C\sim p \equiv O\sim p \vee F\sim p$; (5, $p/\sim p$) |
| 3. $Omp^{11} \equiv \sim F\sim p \equiv P\sim p$ | 9. $C\sim p \equiv Fp \vee Op$; (8, 2, 1) |
| 4. $\sim O\sim p \equiv \sim Fp \equiv Pp$ | 10. $\sim Cp \equiv Lp$ (5, 6) |

⁸ Paul Mc Namara, *Deontic logic*, in Stanford Encyclopedia of Philosophy, *substantive revision Wed Apr 21, 2010*, <http://plato.stanford.edu/entries/logic-deontic/>

⁹ Von Wright, Georg, Henrik, „*Logic of practical discourse*”, transl. by Sorin Vieru and Drăgan Stoianovici in „*Norms, values, action*”, Politică Publishing House, Bucharest, 1979, p27-28

¹⁰ Popa, Cornel, *Theory of action and formal logic*, Științifică și Enciclopedică, Politică Publishing House, Bucharest, 1984, pp300, 302, 315.

¹¹ Paul Mc Namara, *Deontic logic*, in Stanford Encyclopedia of Philosophy, *substantive revision Wed Apr 21, 2010*, <http://plato.stanford.edu/entries/logic-deontic/>

$$5. Cp \equiv Op \vee Fp$$

$$6. Lp \equiv \sim(Op \vee Fp)^{12}$$

$$11. \sim Cp \equiv Omp \& \sim Fp; (10, 7)$$

$$12. \sim C\sim p \equiv \sim O\sim p \& \sim F\sim p; (11, p/\sim p)$$

$$13. \sim C\sim p \equiv Pp \& P\sim p; (9, 4)$$

Grila 2

Thinking deontic operators as based on this equivalences, and shorcuting și elaboration process, we get the folowing grid with logic values simultaneous designated by the already mentioned deontic operators. The possible number of combinations of truth values is 64. Among these, only three remain as a sequel of the rejecting of the deontic impossible combinations. Examples of imposible eliminated combinations are the concomitance of the truth both for the *obligation* and for the forbbindance of the same state of things or both for the constraint and for the freedom on the same state of facts and not only. That is the way we reach the next grid:

Op	Cp	Fp	Pp	Lp	$\sim Op$
1	1	0	1	0	0
0	1	1	0	0	1
0	0	0	1	1	1

Grid3

3. The plan sought to address grid

For each of the six operators, I follow the same steps as for the truth functions. First I expose these steps that consist in outputting:

1. A set of multitudes of concepts characterizing sets of deontic operators;
2. Two strings of equivalences between these concepts;
3. A set of inferences, building on the basis of equivalence string
4. An epistemic context associated to each operator.

Now I detail the above steps in a metateoretical form.

1. The set of multitudes of concepts splits into next two columns;

*For the operators with conclusions
and contraries*

1.1. the set of conclusions, $Con(\varphi_{\Delta})$

1.2. the set of contraries, $\neg(\varphi_{\Delta})$

1.3. the set of contradictories of the
contraries, $Ctr(\neg(\varphi_{\Delta}))$

1.4. the set of contradictories of the
conclusions, $Ctr(Con(\varphi_{\Delta}))$

*For the operators with premises
and subcontraries*

1.1.' the set of premises, $P(\psi_{\Delta})$

1.2.' the set of subcontraries, $\neg(\psi_{\Delta})$

1.3.' the set of contradictories of the
subcontraries, $Ctr(\neg(\psi_{\Delta}))$

1.4.' the set of contradictories of the
premises, $Ctr(P(\psi_{\Delta}))$

Grid4

¹² Popa, Cornel, *op.cit.*, pp.300, 302, 315

2. The two strings of equivalences are as follows: those on the left are for operators that have conclusions and contraries; those on the right refer to operators that have premises and subcontraries.

*For the operators with conclusions
and contraries*

$$2.2.1. Con(\varphi_{\Delta}) = Ctr(\neg(\varphi_{\Delta})) = \{\gamma_{\Delta 1}, \dots, \gamma_{\Delta n}\}$$

$$2.2.2. \neg(((\varphi_{\Delta})) = Ctr(Con(((\varphi_{\Delta}))) = \{\sim((1, \dots, \sim\gamma_{\Delta n}))\}$$

*For the operators with premises
and subcontraries*

$$2.2.3. \mathcal{P}(\psi_{\Delta}) = Ctr(\neg(\neg(\psi_{\Delta}))) = \{((1, \dots, ((n\}$$

$$2.2.4. \neg(\neg(\psi_{\Delta})) = Ctr(\mathcal{P}(\psi_{\Delta})) = \{\sim\delta_{\Delta 1}, \dots, \sim\delta_{\Delta n}\}$$

Grid5

3. Lot of inferences, building on the basis of equivalence string.

*Inference schemes for operators
which have conclusions and
contraries*

$$\frac{\varphi_{\Delta}}{((1} \quad \frac{\varphi_{\Delta}}{((n}$$

Grid6

*Inference schemes for operators which
have premises and subcontraries*

$$\frac{\delta_{\Delta 1}}{((} \quad \frac{\delta_{\Delta n}}{((}$$

Explicitly, grids above will illustrate this. Deontic operators with conclusions and contraries, the ones conventional noted φ_{Δ} , will exemplify the grids on the left. Deontic operators with premises and subcontraries, the ones conventional noted ψ_{Δ} , will exemplify the grids on the right. In this case, the first operator, an obligation is of type φ_{Δ} . As a result he will instantiate the grids on the left. It is noticed that operators of the type φ_{Δ} appear repeated in the premise and what differs from an inference scheme to another are the conclusions. The second operator, the constraint is of the type ψ_{Δ} . As a result he will instantiate the grids to the right. It is noted that the operators of type ψ_{Δ} appear repeatedly in the conclusion and those that differ from an inference scheme to another are premises.

4. Logical relations between the deontic operators

4.1. The operator obligation

For the operator obligation we have for the first the lot of conclusions and of the one of its contraries, Then the contradictories of each of these.

the set of conclusions of the operator O ,

the set of contraries of the operator O ,

the set of contradictories of contraries of the operator O ,

$$Con(Op) = \{Cp, Pp\}$$

$$\neg(Op) = \{Lp, Fp\}$$

$$Ctr(\neg(Op)) = \{Cp, Pp\}$$

the set of contradictories of the conclusions of the operator O , $Ctr(Con(Op)) = \{Lp, Fp\}$

Grid7

It is noticed the two strings of equivalences specific for the obligation operator:

$$Con(Op) = Ctr(\neg (Op)) = \{Cp, Pp\}$$

$$\neg (Op) = Ctr(Con(Op)) = \{Lp, Fp\}$$

Inference schemes detached from the first chain of equivalences are:

$$\frac{Op}{Cp} \qquad \frac{Op}{Pp}$$

Grid8

The above situation also suggests a special *epistemic context*. Knowing the contrary operators for obligation, by applying the negation-contradiction, are obtained its conclusions, constraint and permission, without use of deduction.

A second type of lots of deontic operators are the ones having premises and şi subcontraries.

4.2. The operator constraint

The second operator, the constraint, is of the type ψ_{Δ} . As a result, it will exemplify the grids 4, 5, 6 on the right. Concretely we have the set of premises and its subcontraries, then we have the contradictories of each of these.

the set of the premises of the operator C ,	$\mathcal{P}(Cp) = \{Op, Fp\}$
the set of the subcontraries of the operator C ,	$\mathbb{I}(Cp) = \{\neg Op, Pp\}$
the set of the contradictories the subcontraries of the operator C ,	$Ctr(\mathbb{I}(Cp)) = \{Op, Fp\}$
the set of the contradictories of the premises of the operator C ,	$Ctr(\mathcal{P}(Cp)) = \{\neg Op, Pp\}$

Grid9

Equivalence operator-specific strings for the constraint operator, C are:

$$\mathcal{P}(Cp) = Ctr(\mathbb{I}(Cp)) = \{Op, Fp\}$$

$$\mathbb{I}(Cp) = Ctr(\mathcal{P}(Cp)) = \{\neg Op, Pp\}$$

Inference schemes detached from the first set of equivalences are:

$$\frac{Op}{Cp} \qquad \frac{Fp}{Cp}$$

Grid10

The above situation also suggests, an other *epistemic context*. Knowing of the constraint subcontrar operators, by applying the negation-contradiction is possible to obtain its premises: obligation, forbiddance, that is not possible through an other deductiv procedure.

4.3. The operator forbidden

The forbidden operator is of the same type as obligation. As a result, it will instantiate the grids 4, 5 and 6 on the left. So we have the first, the lot of conclusions and of its contraries, then the contradictories of each of these.

<i>the set of the conclusions of the operator F,</i>	$Con(Fp) = \{Cp, \neg Op\}$
<i>the set of the contraries of the operator F,</i>	$\neg(Fp) = \{Lp, Op\}$
<i>the set of the contradictories of the contraries of the operator F,</i>	$Ctr(\neg(Fp)) = \{Cp, \neg Op\}$
<i>the set of the contradictories of the conclusions of the operator F,</i>	$Ctr(Con(Fp)) = \{Lp, Op\}$

Grid11

Equivalence operator-specific strings for the forbidden operator, F are:

$$Con(Fp) = Ctr(\neg(Fp)) = \{Cp, O_{mp}\}$$

$$\neg(Fp) = Ctr(Con(Fp)) = \{Lp, Op\}$$

We detach the inference schemes from the the first equivalence string:

$\frac{Fp}{Cp}$	$\frac{Fp}{O_{mp}}$
-----------------	---------------------

Grid12

Here we also have an other *epistemic context*.

Knowing the forbiddance contrar operators, by applying the negation-contradiction, its conclusions can be obtained: constraint, non-obligation, without recourse to deduction.

4.4. The operator permission

In turn the operator permission is a new case of constraint category. As such returns to the instantiation of the right grid. Thus, we have the lot of premises, of its subcontraries and of their contradictories

<i>The lot of the premises of the operator P,</i>	$\mathcal{P}(Pp) = \{Op, Lp\}$
<i>The lot of subcontraries of the operator P,</i>	$\neg\neg(Pp) = \{O_{mp}, Cp\}$
<i>The lot of the contradictories of the subcontraries pof the operator P</i>	
<i>Operator P,</i>	$Ctr(\neg\neg(Pp)) = \{Op, Lp\}$

The lot of contradictories of the premises of the operator P , $ctr(P(Pp)) = \{Omp, Cp\}$

Grid13

We detach two separate chains of equivalence operator-specific prohibition, F:

$$\mathcal{P}(Pp) = ctr(\Pi(Pp)) = \{Op, Lp\}$$

$$\Pi(Pp) = ctr(P(Pp)) = \{\neg Op, Cp\}$$

Inference schemes learned from the first chain of equivalences are:

$$\frac{Op}{Pp} \qquad \frac{Lp}{Pp}$$

Grid14

Epistemic context here begins from the subcontray permission operators. By applying the negation-contradiction can get its premises: obligation and freedom, given that we do not have at their disposal a deductive procedure.

4.5. The deontic freedom operator

The deontic freedom operator is in the same category with the obligation. Therefore it has a lot of conclusions and of the contrary.

The lot of conclusions operatorului L ,

$$Con(Lp) = \{Pp, Omp\}$$

The lot of contraires of the operator L ,

$$\neg(Lp) = \{Fp, Op\}$$

The lot of mulțimea contradictories of the contraries of the operator L ,

$$ctr(\neg(Lp)) = \{Pp, Omp\}$$

The lot of contradictories of the conclusions of the operator L ,

$$ctr(Con(Lp)) = \{Fp, Op\}$$

Grid15

There are also two chains of equivalence operator specific freedom, L

$$Con(Lp) = ctr(\neg(Lp)) = \{Pp, \neg Op\}$$

$$\neg(Lp) = ctr(Con(Lp)) = \{Fp, Op\}$$

Inference schemes learned from the first chain of equivalences are:

$$\frac{Lp}{Pp} \qquad \frac{Lp}{Omp}$$

Grid16

And here, equivalence chains offer an epistemic context. Knowing the contrary freedom deontic operators, by applying the negation contradiction, it can get its conclusions: permission and non-obligation, by non-deductive procedure.

4.6. The operator denial of the obligation

Finally, the last of the operators, *denial of the obligation*, is the same category as constraint. Being the contradictory of the obligation, has premises and subcontraries. As a result it is related to the following sets:

The set of premises of the $\sim O$, or O_m operator	$\mathcal{P}(O_{mp}) = \{Fp, Lp\}$
The set of subcontraries of the O , or O_m operator	$\mathcal{P}(O_{mp}) = \{Pp, Cp\}$
The set of contradictories of subcontraries of the $\sim O$, or O_m operator	$Ctr(\mathcal{P}(O_{mp})) = \{Fp, Lp\}$
The set of contradictories of the premises of the $\sim O$, or O_m operator	$Ctr(\mathcal{P}(O_{mp})) = \{Pp, Cp\}$

Grid17

Chains of negation operator-specific obligation, $\sim O$ equivalents are:

$$P(\sim Op) = Ctr(\mathcal{P}(\sim Op)) = \{Fp, Lp\}$$

$$\mathcal{P}(\sim Op) = Ctr(P(\sim Op)) = \{Pp, Cp\}$$

Inference schemes learned from the first chain of equivalences are:

$$\begin{array}{cc} \underline{Fp} & \underline{Lp} \\ O_{mp} & O_{mp} \end{array}$$

Grid18

Epistemic context offered by the above situation, starts from the subcontrary operators to the non-obligation. By applying negation-contradiction, it can get its premises: the forbiddance and freedom.

4.7. Comparison between conflicting operators

In the table initially, deontic symmetric operators depart from the middle line are mutually contradictory.

I compare these contradictory pairs to highlight new epistemic contexts.

I used the following order: in the first column I have placed the conclusions/premises, in the second column contraries/subcontraries, in third position contradictories of conclusions/premises and finally contradictories of contraries/subcontraries.

1. $Con(Op) = \mathcal{P}(\sim Op) = Ctr(P(\sim Op)) = Ctr(\mathcal{P}(Op)) = \{Cp, Pp\}$
2. $P(\sim Op) = \mathcal{P}(Op) = Ctr(Con(Op)) = Ctr(\mathcal{P}(\sim Op)) = \{Lp, Fp\}$
3. $Con(Lp) = \mathcal{P}(Cp) = Ctr(P(Cp)) = Ctr(\mathcal{P}(Lp)) = \{\sim Op, Pp\}$
4. $P(Cp) = \mathcal{P}(Lp) = Ctr(Con(Lp)) = Ctr(\mathcal{P}(Cp)) = \{Op, Fp\}$
5. $Con(Fp) = \mathcal{P}(Pp) = Ctr(P(Pp)) = Ctr(\mathcal{P}(Fp)) = \{Cp, \sim Op\}$
6. $P(Pp) = \mathcal{P}(Fp) = Ctr(Con(Fp)) = Ctr(\mathcal{P}(Pp)) = \{Lp, Op\}$

Compare chain of equivalences that begin with the conclusions of the obligation and the obligation negation premises of line 1.

With the conclusions of the operator obligation, $\text{Con}(\text{Op})$ (line1, column 1), we know subcontraries obligation negation $\neg(\sim\text{Op})$ (line1, column 2).

But at the same time we also know the negation of the same operator premises contradictories $\text{Ctr}(\text{P}(\text{Omp}))$ (line1, column 3). Which means that applying them obtain negation premises of the obligation, $\text{P}(\text{Omp})$, din linia 2.

Vice versa knowing the premises of the omission obligation of p, $\text{P}(\text{Omp})$, (line2, column 1) thus we know th econtraries of the obligation, $\neg(\text{Op})$ (line2, column 2). But these are in line with the contradictories of the conclusions of obligation, $\text{Ctr}(\text{Con}(\text{Op}))$ (line2, column 3). Also în this case, applying the negation-contradition on $\text{P}(\text{Omp})$, respectiv on $\neg(\text{Op})$ or $\text{Ctr}(\text{Con}(\text{Op}))$, we get the conclusions of the obligation, $\text{Con}(\text{Op})$, from the line 1.

With the conclusions drawn of the operator obligation, $\text{Con}(\text{Op})$ (line1, column 1), we know te subcontraries of negation obligation, $\neg(\sim\text{Op})$ (line1, column 2). But at the same time we also know the contradictories of negation premises of the same operator $\text{Ctr}(\text{P}(\sim\text{Op}))$ (line1, column 3).

The same kind of thinking is applyied also for the pairs of equivalence strings of the conclusions liberty-operator $\text{Con}(\text{Lp})$ (line 3) and of the premises of constraint-operator, $\text{P}(\text{Cp})$ (line4), then for the conclusions of forbiddance $\text{Con}(\text{Fp})$ (line5) and for the premisele of the permission, $\text{P}(\text{Pp})$ (line6).

Simplifying, simultaneously with conclusions of a deontic operator (column 1, lines 1, 3, 5), we can know the premises of its contradictory (column 1, lines 2, 4, 6), if we apply the known ones to the contradiction operator (column 3, lines 2, 4, 6).

Vice versa, knowing the premises of a deontic operator (column 1, lines 2, 4, 6), we can know the conclusions of its contradictory (column 1, lines 1, 3, 5), by applying negation- contradiction (column 3, lines 1, 3, 5).

Generalizing, I note down, the having conclusions deontic operators, such as Op , Lp și Fp , by „ φ_{Δ} ”. These are equivalent to a set $\gamma_{\Delta 1}, \dots, \gamma_{\Delta n}$. then I also note down the having conclusions deontic operators by „ ψ_{Δ} ”. The relation between the two kind of operators is mutual contradiction: $\varphi_{\Delta} \equiv \neg\psi_{\Delta}$, $\neg\varphi_{\Delta} \equiv \psi_{\Delta}$.

$$\text{Con}(\varphi_{\Delta}) = \neg(\psi_{\Delta}) = \text{Ctr}(\text{P}(\psi_{\Delta})) = \text{Ctr}(\neg(\varphi_{\Delta})) = \{\gamma_{\Delta 1}, \dots, \gamma_{\Delta n}\}$$

$$\text{P}(\psi_{\Delta}) = \neg(\varphi_{\Delta}) = \text{Ctr}(\text{Con}(\varphi_{\Delta})) = \text{Ctr}(\neg(\psi_{\Delta})) = \{\neg\gamma_{\Delta 1}, \dots, \neg\gamma_{\Delta n}\}$$

Conclusiions

1. *The epistemic context* is only foreshadowed here and adressed singlesided. In some cases, I assumed as known the contrary operators of some deontic operators. Applying to these the negation - contradiction I obtained conclusive operators. For this I did not use the deduction.

2. In other cases, we assumed as being known subcontrary operators of the deontic operators considered. Applying them negation-contradiction we

obtained premise operators. Note that we do not have the prerequisites for obtaining a deductive procedure.

3. Beyond the strict deontic frame, epistemic context referred to, in paragraphs 1 and 2 refer to the importance of knowing both the premises leading to a norm and its conclusions.

4. As well, epistemic context could be addressed in reverse. We could have assumed known deontic operators conclusion of a given deontic operator. By negation contradiction we have obtained contrary opposites of the same.

5. In other cases we have assumed as known deontic-premise operators. By applying negation-contradiction to, we could get subcontraries opposites, of the deontic operator.

6. Also, beyond the strict deontic frame, epistemic context referred to in paragraphs 4 and 5 refers to the ability to think opposites of database concepts. This means the ability to think of alternative theories to a given theory. Their purpose would be to approach a piece of true angle of view complement or expand.

7. Points 1-2 and 4-5 show that acts of negation, contradiction, as medium term. Thus, both the shift from deontic operators premises to deontic operators subcontrary and vice versa is done through negation contradiction. Similarly, both the shift from deontic operators contrary to deontic operators conclusion and vice versa is also made through negation contradiction. Negation contradiction fulfills the same role in the functions of truth.

8. Among deontic operators considered here, there are not some who have also premises-operators and conclusion-operators. That, and not only, distinguishes this area from that of truth functions.

9. Negation-contrary, i.e. the subcontrary ones of the deontic from the built table were obtained by applying the matrix definitions of the two non-classical negations¹³.

10. At least a quantitative difference to the functions of truth, it must be said. Both in truth functions and deontic operators, logical consequence relation of six operators can be represented deontic including a tree. Based on the grid 3, there can be extracted the tree:

	→	1.1.Cp
1.Op		
	→	1.2.Pp
	→	2.1.Cp
2. Fp		
	→	2.2.O _m p
	→	3.1.Pp
3. Lp		
	→	3.2.O _m p

¹³ D. Gheorghiu, *op.cit.*, p. 240

On the same relationship between truth functions develop a more complex tree structure. It has four functions in the first column four premises-functions over a period of four continuous treeing more columns than lines in this case¹⁴.

In addition the functions of truth involves a so-called transitivity which we called non-classical. This is based on the medium term. Its first appearance contains conjunction. A second occurrence contains disjunction¹⁵.

11. Hypothesis in Section 1 was confirmed. However, we can formulate some expectations and questions on their applications. Exactly the same conceptual structure announced in paragraph 3, fits also for order relations. These in turn can be seen especially in the economic field, as relationship between the values of the efficiency ratio at different time points. There are other areas of logical entities to which they apply? If so, where and how many? The number of those who can benefit from this expansion is finite or infinite?

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¹⁴ Iliescu, Gabriel, *Non-classical negations, oppositions between conclusions and between premises*, in Problems of logic, vol XIII, Academia Română Publishing House, Bucharest, 2010, p 172-173

¹⁵ Iliescu, Gabriel, *Euler diagrams and tranzitivity*, in Annals of Spiru Haret University, Philosophical Studies Series, No 10, Fundația România de Măine Publishing House, Bucharest, 2008, pp147, 156-157

“THE VIEW FROM THE SKY” AND SELF-CONSCIOUSNESS

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“What is the philosopher’s place within the city? It will be that of a modeller of man and of a craftsman forming loyal and respectable citizens. His only profession will be to purify himself and the others in order to live his life according to human nature; he will be the father and teacher of all the citizens, their reformer, counselor and protector, being at everybody’s disposal to cooperate for the fulfillment of the whole good, rejoicing with the happy ones, sympathizing with the afflicted ones and comforting them.”

(Simplicius, Commentary on Epictetus’ Handbook)

Abstract: *The idea of our text refers to the possibility of reaching a state of total detachment from the daily nothingness through a certain comprehensive capacity of ontologically penetrating things in their essentiality. Detachment does not mean, in our view, isolation (separation) from reality, it is symbolized by the enshrined expression “view from the sky”¹ which cannot be attained without effort, without spiritual practice, without the examination of one’s conscience; **the philosophical paradigm that we propose is the axiological prerequisite of acquiring self-consciousness, which should enable the “view from the sky” freely and wisely.** Self-consciousness could somehow coincide, in terms of the perspective proposed, with the consciousness of transcendence. Thus, the title of our article could become the profession of faith of each philosopher.*

Keywords: *self-consciousness, view from the sky, death, philosophy, wisdom, happiness, God.*

The ideal of each philosopher is to acquire self-consciousness, a living according to the spirit. ”In order to reach self-consciousness, the subject needs an expansion in the universe and a motion through which the entire self

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¹ Pierre Hadot uses this phrase in his works: *La citadelle intérieure. Introduction aux Pensées de Marc Aurèle*, Paris, Arheme Fayard, 1992; *What is Ancient Philosophy?*, Iași, Polirom, 1997; *Exercices spirituels et philosophie antique*, Paris, Albin Michel, 2002; *La philosophie comme manière de vivre*, Paris, Albin Michel, 2002; *Eloge de la philosophie antique*, Paris, Allia, 2003;

reintegrates into the Whole to which it belongs but which, without keeping him in prison, will allow him to expand into an infinite space and time”.²

From the heights to which he rose by thinking, the philosopher looks upon the earth and the people and appreciates them at their fair value. Throwing a glimpse from the sky means looking at things with detachment, remotely, distantly, objectively, reintegrating them in the vastness of the universe, in the whole of nature, without attaching them the false prestige assigned by human passions and conventions.

In the light of the lived philosophy we share, becoming self-conscious is an essentially ethical act, thanks to which the way of being, living and seeing things changes. The self-awareness of those who make *a modus vivendi* from philosophy is a kind of barometer of their moral state. The very essence of philosophical life, the existential choice of a particular way of life, the experience of some states of mind, of some interior moods, cannot be fully expressed in the philosophical discourse. No discourse deserves to be called philosophical if it is separated from the philosophical life, no life is philosophical unless it is linked to the philosophical discourse. The richness and originality of the philosophical discourse, which we invent or develop, does not matter, what matters is *the way in which one lives*. What really matters, above all, is *to become a better person*. Being the expression of an existential choice of the one who speaks or writes, the philosophical discourse is a privileged tool through which the philosopher can act upon himself and the others, always having, directly or indirectly, *a formative, educational, psychological and therapeutic function*. This is, actually, the meaning of our approach in this article and we hope that it will have the intended effect.

Self-reference and the examination of consciousness

Human knowledge is based on the assumption that man is cosmic by his nature, that he is the center of existence. Man as a closed individual being would not be in the possession of the paths to the knowledge of the universe. Such a being could not rise above the particular things of the world, could not overcome particular states. "The anthropological way is the only way of getting to know the universe and this way involves an exceptional self-consciousness of man. It is only in man's self-awareness and in his inward feeling that the divine mysteries are revealed. In essence, philosophers have always accepted this thing, either consciously or unconsciously"³.

Man is the intersection point of two worlds. This is proved by the duality of self-consciousness, that pervades the whole history. Man has the consciousness of belonging to two worlds, his nature halves and either a side of his nature or the other prevails in his consciousness. The Kantian viewpoint is impressive in this respect, Kant⁴ arguing that through his sensitivity man belongs to the

² Pierre Hadot, *What is Ancient Philosophy?*, cited works, p. 252.

³ N. Berdiaev, *The Sense of Creation*, Bucharest, Humanitas, 1992, p.68.

⁴ Imm. Kant states his conception on man in his works dedicated to ethics: *Grounding of Metaphysics of Morals*, Bucharest, Humanitas, 2006; *The Critique of Practical Reason*, Bucharest, Iri Publishing House, 1999.

empirical world, he is subject to the empirical, phenomenal determinism, therefore he is not free; through his intelligence he belongs to the world of the thing-in-itself or to the noumenal world, where there is no coercion, being free. This is actually *the metaphysical drama of man who lives simultaneously in two worlds*. The human consciousness is divided into subject and object. "Man is aware of his greatness and power, as well as of his nothingness and weakness, of his royal freedom and enslaving addiction, he is aware of himself as God's image and likeness and drop in the world of natural necessity"⁵. *The supreme self-consciousness of man is inexplicable starting from the natural world and remains a mystery to this world*.

The self-concern in relation to the universe envisages adoption by the subject of a metaphysical perspective on the things and events of this world and of a "discipline of desire." These results can be achieved only through a contemplation of nature, through the knowledge of the laws thereof, through a meditation on the unity and harmony of the universe. With the help of this cosmic perspective, the subject comes to understand the destiny of the human being in the world, to accept with detachment and even with joy the events resulting from the universal nature course, from the action of "external causes" and from the order of the universe, and to have a pious attitude towards divinity. Such an attitude is obtained through an overview of space and time, but also through an understanding of the natural transformations the elements undergo. "*The view from above*", as Hadot calls it in his works, enables the self to contemplate the panorama of human reality under all its aspects, geographical, social, metaphysical, to think and to weigh it on a cosmic scale. *The view from the sky changes our judgments of value on things. Luxury, power, war, borders, everyday life, all these become ridiculous*.

The texts of the Stoics speak about a total transformation of the perception of the world along with the study of the universal laws of nature and with the contemplation of the whole universe. Marcus Aurelius considers that: "You can remove many of the pointless problems that trouble you, since these depend on your opinion, and thus you will provide yourself with a large space. You can you comprehend the whole universe with your mind, contemplate the eternal time and conceive the rapid change of each and every thing in order to see how short the time from birth to disaggregation into elements is and, also, how infinite it is after disaggregation."⁶ The Stoic philosophical concept "view from the sky" enables us to penetrate the mysteries of nature, to see the world we belong to and, therefore, to see ourselves in this world.

This type of knowledge allows us not to look away from what we are but, on the contrary, to have permanently upon us a certain perspective - ourselves inside the world, ourselves in our quality of existences located inside a chain of causes and particular effects, necessary and rational ones, which we must accept if we really want to free ourselves from this chaining under the only possible

⁵ N. Berdiaev, *cited works*, p.70.

⁶ Marcus Aurelius, *Meditations*, Bucharest, Humanitas, 2013, IX, 32, p.281.

form, namely recognizing the necessity of this chaining⁷.” Reflecting upon all these things, you cannot imagine anything of greater significance than this: to act according to your nature and, on the other hand, to bear what the universal nature brings you⁸. Everything is based on a certain understanding to which very few people have access. From the height of the calm lands, Lucretius⁹ looks down towards the people and sees them “wandering everywhere and blindly searching for the path of life”. For Seneca¹⁰, the philosopher's soul, carried among the stars, watches the earth from the height of the sky, which appears to him as a mere point. A reason to mock at the luxury of the rich ones. The wars for the borders that people set up between themselves look ridiculous and the armies invading territories are nothing but ants struggling in a confined space.

The self-reference implies a self preoccupation that authentically claims for a real capability of self-knowledge, of philosophizing. Moreover, the beginning of philosophy, in all schools, especially in ancient times, is to become aware of the state of alienation, of waste, misery in which we find ourselves before converting to philosophy. The Epicurean principle¹¹, “*Admitting to be wrong is the beginning of salvation*” answers to the Stoic principle: “*The beginning of philosophy is the awareness of one's own weakness and helplessness*”.¹² But it is not just thinking about one's own mistakes, but also evaluating the progress made. When we speak of self-reference we do not have in mind a selfish exercise or a narcissistic contemplation, we refer to an approach from the perspective of self-awareness which leads inevitably to the *examination of consciousness*, practiced by people in which consciousness becomes “a product of man's supreme wakefulness”.¹³ An eloquent example in this respect is Epictetus¹⁴ who used to recommend the observation of common mistakes and that everyone should write down, for example, if they get angry every day or two, or every three or four days.

As a rule, *the examination of consciousness* does not get lost in such details. On the contrary, it is less a balance, positive or negative, of the state of the soul and, even more, *a means to restore self-consciousness*, attention to the self, the power of reason. In Christianity, the consciousness shows the seriousness of the sin, for which God lets himself to be heard only in the silence of the consciousness' voice. In other words, the access of proximity to divinity is hoped to be achieved only through this superior attribute of the human soul. *We must rise ourselves to consciousness in order to be close to God.*

⁷ Michel Foucault, *The Hermeneutics of the Subject. Lectures at Collège de France (1981-1982)*, translated by Bogdan Ghiu, Iași, Polirom Publishing House, 2004, p.256-271.

⁸ Marcus Aurelius, *cited works*, XII, 32.

⁹ Lucrețiu, *On Nature*, II, 8, apud. P. Hadot, *What is Ancient Philosophy?*, cited works.

¹⁰ Seneca, *Natural Problems*, I, Prolog, 7-10, ibidem.

¹¹ Seneca, *Letters to Lucilius*, 28, 9; citing an Epicurean text, translated into Romanian by Gheorghe Guțu, Bucharest, the Scientific and Encyclopaedic Publishing House, 1967.

¹² Epictetus, *Conversations*, II 11, 1, apud. P. Hadot, cited works.

¹³ L. Blaga, *On the Philosophical Consciousness*, in *Works*, 8th vol., Bucharest, Minerva Publishing House, 1983, p.190.

¹⁴ Epictetus, *Conversations*, II 18, 12.

The consciousness fulfills a great work and there is light in it¹⁵; it synthesizes the life of the soul, but it has an unfortunate character and it is the source of suffering. There is not only one "unhappy consciousness" any consciousness is unhappy because the great metaphysical drama of the human being is that of existing simultaneously in two worlds: a phenomenal world and a noumenal one. Man, in order to overcome his misery and suffering, either is forced to rise to a higher consciousness or falls into the subconscious. Consciousness is the path followed by man and it is between the subconscious and superconscious. "Man suffers that he is double and that he lives simultaneously in the world of phenomena noumens. Man is phenomenon, natural being subject to the law of this world, but he is also "thing-in-itself"¹⁶, spiritual being, free from the power of this world. His consciousness is in an intermediate position and this is the reason for its double or aspect.¹⁷ Thus, the examination of consciousness appears somehow as a much vaster exercise, that of meditation. The movement of focusing on the self and the attention to the self appears to be intimately linked to the reverse movement, that of dilatation and expansion by which the self restores itself from the perspective of the Whole, of its relationship with the world. In all the schools that practice it, the exercise of thought and imagination consists, for a philosopher, in becoming aware of his being in the Whole, like a tiny point and for a short time, but able to expand in the vastness of the infinite space and to learn, just by intuition, the totality of reality. The ego will thus know a double feeling, that of its smallness, seeing his body individuality lost in the infinite of space and time, and of his greatness, feeling its power to embrace all things.¹⁸ It could be construed that it is an exercise of detaching, of growing apart, aiming to teach us to see things impartially and objectively.

As shown, self-consciousness, whether it occurs in the movement of focusing on the self, or in its tendency of expansion toward the Whole, it always requires *the exercise of death*, which is, starting with Plato, the very essence of philosophy. The thought of death plays a decisive role. We have seen that Plato used to define philosophy as an exercise of death, to the extent to which, death being a separation of soul and body, the philosopher detaches spiritually from the body. In the light of Plato, we thus reach asceticism which consists in discovering the sheer self and overcoming the selfish ego bent over its own individuality, separating it from everything that clung to it and he has become attached to, and which prevents him from getting acquainted with itself. *Awareness appears as an act of asceticism and detachment and self-awareness involves the thought of death, one of the fundamental philosophical exercises.*

¹⁵ G. Pohoată, *Discovering the Consciousness*, Cogito, vol. VI, no.2, Bucharest, Pro Universitaria, p.45-51.

¹⁶ Imm. Kant, *The Critique of Pure Reason*, Bucharest, the Scientific and Encyclopaedic Publishing House.

¹⁷ 1964. *The thing-in-itself* in Kant's work means the basis of existence, it can somewhat be identified with transcendence or divinity.

¹⁷ Berdiaev, *Essay on Eschatological Metaphysics*, Bucharest, Paideia Publishing House, 1999, p. 93.

¹⁸ P. Hadot, *La Citadelle intérieure*, cited works, pp.195-198.

The exercise of self-consciousness is thus limited to an exercise of attention¹⁹ to oneself and to vigilance, which involves, every time, renewing the option for life, that is the purity of intention, of the conformity of the individual will with the will of universal Nature and that everyone should keep alive in his mind the principles and rules of life that express him. The philosopher must be, all the time, well aware of what he is and what he does.

Focusing on the present moment involves, like the Platonian self-awareness, “an exercise of death”. In fact, the thought of possible death gives you the measure at any time and for any action in your life²⁰:

Always act, speak and think as if you could leave life any moment. Perform each action as if it were the last one, taking it all easy.

What makes perfect your way of life is to let everyday pass as if it were the last one[...].

Have death in front of your eyes every day, and you will no longer have any vile thought or exaggerated desire.

Also, the Epicurean meditation on death aims to increase the awareness of the absolute value of existence and of the void of death and, at the same time, to provide love for life and overcome the fear of death.²¹

The reflections above help us to understand that the exercise of death cannot radically oppose to Plato, on the one hand, to the Stoics and Epicureans, on the other hand. In both cases, due to the thought of death, this exercise always implies, ultimately, a self-awareness since, in one way or another, the ego that reflects on his death, thinks in the timelessness of the spirit or of the being. Besides, *self-consciousness leads to the consciousness of death and the thought of death is somehow the highest philosophy.*

Preoccupation for the self in relationship with the other

Self-consciousness is made up ontogenetically in relationship with the fellow man, as “a differentiating riposte” but also as a confirmation of the consciousness concerning the “other”. An addagio of the contemporary psychology claims: “Get to know yourself permanently comparing yourself with the others”. Thus, we can state that the equation of modern personality is formed by our image of ourselves plus the others’ image about us. From a philosophical perspective, self-consciousness signifies the awakening of the spirit in man, his living on a superior plan, a metaphysical one, without eluding the immediate experience of reality. Reaching this level of knowledge after a long paideutic exercise leads to a certain comprehension, discerning the essential from the non-essential, the truth from falsehood, the good from evil. It's like a sort of enlightenment, followed by a genuine detachment that becomes a kind of protection from the blows of life, failures and disappointments. K. Jaspers establishes admirably the characteristics of a philosophical way of life: “Philosophizing is the decision to

¹⁹ Epictetus, *Conversations*, VI, 12, apud. P. Hadot, *What is Ancient Philosophy?*, cited works, p. 217.

²⁰ Marcus Aurelius, *Meditations*, II 11, II, 5,2, VII, 69, Epictetus, *Handbook*, p. 21, Seneca, *Scrisori*, 93,6,101,7, idem. p.218.

²¹ Epicurus, *Letters to Menoeceus*, p.126, Balaude, p.193, apud. P. Hadot, cited works.

reawaken the origin, to rediscover and to help oneself with all the strength, through inner action. It is true that the factual being (Dasein) is the first thing we reach: it is the solution for the concrete tasks, for the daily imperatives. But the will to lead a philosophical life means not finding contentment in this everyday life, but to live the experience of transforming work and fulfillment by attaining the goals on the way to self-oblivion and thus in loss and guilt. It also means to take seriously the experience with people, the experience of happiness and humility, of success and failure, of darkness and obscurity, not to forget, but to appropriate deep down in your soul, not to distract your attention, but to process innerly, not to abandon, but to clarify, this is the philosophical way of life. It can be achieved in two ways: in the solitude of meditation, by means of any contemplation and, on the other hand, among people, through communication, in mutual understanding, in joint action, in mutual discussion and silence".²² It can be achieved in two ways: in the solitude of meditation, by means of any contemplation and, on the other hand, among people, through communication, in mutual understanding, in joint action, in mutual discussion and silence". Starting from Socrates' thought and his statement "I know that I know nothing" Jaspers assigns a special power of inner transformation not so much to the knowledge that can be valorized directly, but to the awareness of the limits of this knowledge. In this respect, the German philosopher argues: "The passion for knowledge consists in reaching, by supreme intensification, just the point where knowledge fails. In ignorance, but only in fulfilled, acquired ignorance there is an irreplaceable source of self-consciousness of our being. Knowledge stops at these limits, while thinking does not. Through my knowledge I can act exteriorly, technically, but ignorance makes possible the inner action, which transforms myself."²³ Self-concern, in our view, lies in the effort for knowledge and self-knowledge, even more in harnessing the knowledge acquired to perform a permanent psychoanalysis of the self, necessary to identify the limits. We cannot speak of genuine concern of the self without the exercise of self-knowledge. Self-knowledge is not a passive reflection, it is a struggle that requires a profound synergy between intelligence, faith, courage, but the effort is worth because the enriched soul can no longer alter in front of the evil. In this respect, Camus's phrase "The struggle itself towards the heights is enough to fill a human soul" is relevant.²⁴ Thus, an educated, spiritually elevated man, can positively influence the others, being an asset in any community.

This traditional practice of guiding the consciousness has led to a better understanding of all that the purity of moral action claims.²⁵ We will set as an example the meditations of Marcus Aurelius²⁶, where we find a perfect description of the manner in which you have to practise the action on your fellow men. We can only admire, for example, the extreme fineness with which Marcus Aurelius defines the attitude that we must have in order to act on the conscience

²² K. Jaspers, *Philosophical Texts*, Bucharest, Political Publishing House, 1986.

²³ Ibidem.

²⁴ A. Camus, *The Myth of Sisyphus*, Bucharest, Rao Publishing House, 2009, pp. 213-216.

²⁵ P. Hadot, *What is Ancient Philosophy?*, cited works p.242.

²⁶ Marcus Aurelius, *Meditations*, cited works.

of our fellow men, the kindness shown to the one who made a mistake and how we must address to him.²⁷

Without humiliating him, without giving him the feeling that we tolerate him, but with sincerity and kindness ... gently, without irony, without humiliation, but with affection, with the soul devoid of harshness, nor as we would do it at school, nor to arouse the admiration of someone who attends the discussion, but really in private, even if others are present, too.

Marcus Aurelius seems to see here that kindness is something so delicate that wanting to be gentle would mean stopping to be gentle, as any artifice and any affectation may destroy gentleness. Incidentally, we can act effectively on the others only when we try not to act upon them, when we avoid any violence, even the spiritual one, towards ourselves or the others. It is precisely this smoothness and gentleness that have the power to change opinions, to convert, to transform the others. Likewise, when we want to do good to our fellow men, this intention will be really pure only if it is spontaneous and unconscious of itself. The perfect benefactor is the one who does not know what he did²⁸: “He must belong to that kind of people who do good in spite of themselves”. Here we come to the ultimate paradox: such a strong will that it suppresses the will in itself and a habit that becomes second nature and spontaneity. Meanwhile, the perfection of the relationship with the fellow men reaches a climax with the others’ respect and love. What motivates deeply in all schools, the choice of the way of life, as well as their discourse is the love for people. This love inspires Socrates in Plato's *Apology* or *Euthyphron*²⁹, the Epicurean or Stoic propaganda and, later, even the Kantian discourse. According to Kant, man has no debt but to himself and his fellow men, in their capacity as individuals, as existences living in the physical world.

Before Kant, the representatives of the eudaimonistic-empiricist conceptions had asserted that the goal in life is the promotion of personal well-being (happiness) within a general thriving, without specifying where the first ends and where the second begins, and the rationalist representatives of the conceptions according to which the goal of life is perfection laid emphasis on personal perfection, without taking into account its social aspect. Kant reconciled the theses of these opposing views, restoring them to their true value, by stating the following moral command “Set *your own perfection and the external happiness* as goals of your actions”. Your own perfection and not the others’, as the others, if they do not possess it, cannot be instilled with a good consciousness, this good conscience being the work of each of us. The external happiness and not the personal one, because we tend instinctively to personal happiness and we do not need anyone’s urge and competition in this respect.

Instead of conclusions

We depend on each other, our destinies interwine, but we can reach the Truth only by ourselves. Thus, our love for truth, what I would call lucidity or, in

²⁷ Marcus Aurelius, *Meditations*, XI, 13, 2 and XI, 18, cf. P.Hadot, *La Citadelle intérieure*, p. 241.

²⁸ Ibidem, V, 6, 3.

²⁹ Platon, *Dialogues*, Bucharest, Iri Publishing House, 1998, p.9-63.

other words, the awakening of the spirit in the human being, causes less a relationship with others and more a self-reference. This is due less to morality and more to wisdom. This is the link with happiness, at least if we want it to be authentic. Any true happiness requires a relation to the truth, because living in lie or illusion, we know only a false illusory happiness. So, *wisdom means living as happily as possible, but, of course, not in any way. Wisdom is happiness in truth - maximum happiness in maximum lucidity*³⁰.

Happiness is inseparable from self-consciousness that once acquired can objectify itself through that "view from the sky". It is a state of mind that can keep your creativity alive, with your consciousness awake and lucid.

Finally, to resume L. Brisson's expression³¹, it would be a matter of "learning to live philosophically in a common intention to undertake disinterested research, in deliberate opposition to the sophistic mercantilism³². This is already a life option. Living in a philosophical manner means especially returning to an intellectual and spiritual life, achieving a conversion³³ whose stake is "the whole soul", that is the moral life. It means somehow to strive to explain the reasons for acting in one way or another and to reflect upon our own existence and the others'. Without this reflection, philosophical life can fall into the banality or flatness, boredom or absurdity. Undoubtedly, we cannot expect to write ourselves *The Critique of Practical Reason* in order to live philosophically, but we cannot deny that living philosophical means, in essence, reflecting, reasoning, conceptualizing, in a logical and rigorous manner, *thinking for oneself*, as Kant said. The philosophical life is a search that never stops.

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³⁰ André Comte-Sponville, Jean Delumeau, Arlette Farge, *The Most Beautiful Account of Happiness*, Bucharest, Art Publishing House, 2015, p. 43.

³¹ L. Brisson, *Presupposes et conséquences d'une interprétation esoteriste de Platon*, in *Les Etudes philosophiques*, 1993, no.4, p.480, apud. P. Hadot, cited works.

³² Aristotle, *Metaphysics*, 1004 b 2 5, Bucharest, Iri Publishing House, 1996.

³³ Plato, *The Republic*, 518 c, translated by Andri Cornea, in *Works V*, Bucharest, the Scientific and Encyclopaedic Publishing House, 1986.

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ECCLESIASTICAL EVENT, RELIGION AND POWER. SOME OBSERVATIONS ON AGAINST RELIGION BY CH. YANNARAS

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Abstract: *In this paper I'm proposing to analyse the relation between religious phenomenon and power, starting from the distinction between ecclesiastical event and religion proposed by Christos Yannaras, in his work, Against religion. By emphasizing the intimate link that exists between the origins of the religious phenomenon and power, I tried to show that religion is, in a certain way, inseparable from the phenomenon of power, both of them presenting positive and negative aspects. The submission of the religious phenomenon to the dimension of power can change it into ideology. I also tried also to criticize Yannaras's attempt to purify the early Christianity from the dimension of power and to present it in the pure form of ecclesiastical event. In this regard, Yannaras's approach is similar to that of Marcion, one of the first great heretic of Christianity.*

Keywords: *Christos Yannaras, Divine Justice, Ecclesiastical Event, Ideology, Magic, Power, Religion, Sacredness.*

This study begins from the assumption which is common sense, that all great religions preach love and forgiveness, yet, at the same time, we all know that during the history of humankind people have slain one another in the name of God or for the different beliefs of our brethren. Persecutions and religious wars have almost been a constant event in the history of humankind, from Socrates who was murdered for his belief in new gods, Jesus Christ because he considered himself the son of God, the first persecuted Christians by the Roman authorities or the heretics condemned by the Great Church for their faulty beliefs. More recently, no longer than a few months ago, some comic writers were executed for having published blasphemous images of the Prophet Mahomed, while the Prophet's avengers cried out their victory: *Allahu Akbar* (Allah is great). The religious phenomena experiences all throughout all these paradoxical seemingly incompatible traits.

Religions and ecclesiastical event at Yannaras

In the following study I am going to make some reflections on this subject, starting from the work of Christos Yannaras, *Against Religion*¹. The title of the

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¹ Christos Yannaras, *Against Religion*, Bucharest: transl. from Greek by T. Dinu, Anastasia, 2011.

book is provocative and the conclusions of the work are worthy of attention and reflection. In his philosophical work the Greek philosopher makes the distinction between *religion* / *religiosity* and *ecclesiastical event*. According to Yannaras human religiosity is the result of the self-preservation instinct, a way through which man knows and draws to his side the fearsome forces of the universe. “Religiosity is considered a manifestation of the self-preservation instinct. It belongs to the reflexes created by human nature (automatic, involuntary psychosomatic reactions) in order to conserve oneself through survival.”² “Religion ensures man what his natural functions ask from him: certain truths in the metaphysical realm. It is about ‘truths’ which, although having no support in the daily life or in logics, are changed into certainties by the infallible authority of those who represent the Sacred or by supernatural revelation.”³ Therefore, the need for certainty which the individual subject experiences in his ephemeral life is provided by the religious and metaphysical truths of institutionalized religions. And the sacrifices offered in past religions are circumscribed in the same logic of assuring the individual ego against the superior forces of the universe: “The logic of sacrifice is that of exposing some feelings of abnegation: it is meant to prove that God is more precious than anything that man holds as the best and the dearest. Indirectly, there is also the logic of ‘bribing’ involved here: man credits God by the quality of the gift he offers”.⁴ Hence institutionalized religions and their rituals are no more than means of prolonging the individual ego, through his projection or its alliance with the superior forces of the universe, while the truths provided by religious dogmas, forms of ensuring one’s ego with the certainties of metaphysical knowledge. In Yannaras’s own words, religions do not do anything more than to develop a form of “sacred narcissism”.⁵

This is briefly Yannaras’s viewpoint on religion and human religiosity, which is finally no more than a more subtle development of the self-preserving instinct, and which could be ultimately reduced to a sort of metaphysical selfishness. So, the religious connotations are, generally, pejorative.

Yannaras opposes religion to what he calls “ecclesiastical event”. For the ancient Greeks, *ekklesia* refers to popular gatherings in the urban fortresses, in order to judge and deliberate regarding public events. It is here about a “certain way of communion”, by a “common effort” of the citizens which aims at a “lifestyle in accordance with truth”.⁶ The Greek model of ecclesiastical gatherings has been taken by the first Christians, who have gathered around the table at the Last Supper. “The Greeks’ *Ekklesia* reunited in *agora*, the Christians had supper in a private space.”⁷

In Yannaras’s interpretation the basis of the ecclesiastical Christian event is the resurrection from death of Jesus Christ, which is not portrayed as a miracle, as a phenomenon that breaks down the laws of nature, but as a man’s call to a

² *Ibidem*, p. 13.

³ *Ibidem*, p. 16.

⁴ *Ibidem*, p. 17.

⁵ *Ibidem*, p. 20.

⁶ *Ibidem*, p. 40.

⁷ *Ibidem*, p. 41.

new way of life, of assuming total freedom, a freedom which is beyond the limits of nature and to self-promotion. Hence “the ecclesiastical event does not put forward objective ‘truths’, axiomatic differences, obligatory ‘principles’ as in the case of religions”⁸, but aims at a continuous strive “of each of us of transcending of the self and self-sacrifice, which has as an objective that sort of knowledge which results from love”.⁹ The ecclesiastical event does not bring with it the assuredness and the calm which is a token of religion and metaphysical truths. This is from Yannaras’s viewpoint the message brought about by Jesus Christ, a message understood by the first Christians living in martyrdom and the imminent expectation of the end of the world. As time passed, the ecclesiastical event has turned into religion, Yannaras drawing a few determining results in this sense: the transformation of Christianity into the official religion of the Roman Empire, the individualizing faith of Saint Augustin, the more poignant political role of the Roman Catholic Church in Western Europe and the transformation of Christianity into an official ideology which justifies the Papal political power, the protestant pietism which changes Christianity into a personal sentimental religion or the intertwining between the Church and the nationalist ideology in the Eastern Orthodox space.¹⁰

What surprise us finally in Yannaras’s whole theoretical construction is the radical distinction between religion and the ecclesiastical event, and the almost exclusive pejorative connotation which he gives to religion. Religion, as a result of the survival instinct, is almost exclusively selfish and hasn’t got anything to do with the dimensions of love for one’s neighbor which Jesus preaches in the Gospels and about which apostle Paul¹¹ says that it stands for the difference between Jews and the Christians. Moreover, according to the history of the transformation of the ecclesiastical event in religion which Yannaras presents in his book, we are under the impression that in time the Church has shifted almost exclusively into an institution of power and the ecclesiastical event has been an event which have benefited only the first Christians, because later the Christian “miracle” changes into an institution which aims to control the believers. Yet, at length, could this radical and univocal distinction be maintained, in the way Yannaras’s states, between *religion / religiosity* and *ecclesiastical event*? Should the ecclesiastical event be considered as part of the religious experience, or could it be discarded from the religious experience as Yannaras suggests? Is the ecclesiastical event available just in the case of Christianity or could we speak about it within other religions as well? Is the dimension of power, a consequence of the self-preservation instinct, inherent in the religious phenomenon, or is it that it does not represent but an alteration of the phenomenon? Even if the radicalism of the title of the work makes us think about the combative tendency of the author, of his

⁸ *Ibidem*, p. 59.

⁹ *Ibidem*, p. 59.

¹⁰ Yannaras presents the details of the transformation of the ecclesiastical event in religion in two bulky chapters of his work: C. „The Transformation of Religion into an Ecclesiastical Event – the Symptomts” (Yannaras, pp. 76-183). And D. „The Transformation of Religion of the ecclesiastical event – the historic origins” (Yannaras, pp. 187-235).

¹¹ „Love your neighbor as yourself.’ Love does no harm to a neighbor. Therefore love is the fulfillment of the Law..” (*Rom.* 13, 9-10), accessed August 15, 2015, www.biblegateway.com.

desire to wake up his contemporaries from the “dogmatic slumber” of tradition or, why not, to attract readers “shocked” by a so inciting title, I still think that these inquiries are still legitimate after following Yannaras’s path.

In order to attempt an answer to these queries I will resort to the way the religious phenomenon has been treated by some well-known names of history and the philosophy of religion, such as Rudolf Otto and Julian Ries.

Sacredness and religion

In *The Idea of the Holy*¹², a masterpiece of the twentieth century, Rudolf Otto describes the traits of the holy (the *numinous* reality, as he calls it), that reality which appears in a decisive way in any kind of religious experience. Therefore, according to the testimonies of religious experiences listed along the time, the numinous manifests itself as a strange reality, which could be characterized through the following attributes:

- The fearsome (*tremendum*) – it is that feeling of fear, which cannot be confused with any other fear, but that can be understood by analogy with the usual natural fear. Man has this feeling of horror, of a fearsome presence, because of the strangeness which the numinous reality can acquire (*orge*, *tremor*, *Schauervoll*, “the holy shudder”).
- Absolute power (*majestas*) – characterizes the force and the absolute superiority of the divine in comparison with the human being.
- The mystery (*mysterium*) – refers to the secret reality of the divine, which is sometimes fearsome. It refers to a state of paralyzing amazement, which leaves one flabbergasted, something strange, incomprehensible and unclear. It is that that produces wonderment (*mirum*) and which allows the miracle to happen.
- The attractive and the fascinating (*fascinans*) – it refers to that power of attraction and befuddlement that the numinous exerts on the human soul, an attraction which frequently meshes with the feeling of fear. Love and compassion are only like rational sketches of this irrational feeling.
- The colossus (*deinos*) represents anything that surpasses any measurement in terms of constitution and proportion. It names overwhelming experiences and realities, strong, amazing, fearsome, which manifest under a monstrous-horrible or monstrous-shocking guise. The attribute *deinos* is closely related to the *tremendum* of the numinous.¹³

Of course, the author warns us from the very beginning that his writing is aimed against the rationalizing and moralizing perspective on God which was widespread in the protestant countries at the start of the 20th century¹⁴, and

¹² Rudolf Otto, *The idea of the Holy: an inquiry into the non-rational factor in the idea of the divine and its relation to the rational*, Bucharest: transl. from German by I. Milea, Humanitas, 2005.

¹³ For describing in detail the characteristics of the sacred, see Otto, pp. 11-63.

¹⁴ “If we call rational something apt to be clearly understood by such conceptual thinking, the essence of the deity described by these attributes can be designated as rational and religion that knows and affirms these attributes is also, equally, rational religion.” (Otto, p. 7).

therefore there is his emphasis on the irrational traits of divinity which manifest themselves in the religious experience. However, what may surprise us in this description of the holy phenomenon and may set us thinking is the almost complete lack of an important (if not essential) attribute to any religious experience, the more so of a Christian: love! R. Otto talks about love only when he talks about the fascination exerted by the numinous on the believer, but he considers love a schematization and reduces it to the level of the ‘natural’ experience of sacred fascination: “The representations and the rational conceptions which go parallel with this irrational element and schematizes it are: love, pity and mutual support: all ‘natural’ elements of the spiritual experience generally.”¹⁵

We can hence notice that the majority of the superlative attributes which characterize the holy at R. Otto relate to the domains of *power* and *fear*. And the authors confirms this hypotheses, highlighting as plausible the presence of fear as the historical origin of the religious feeling: “It is possible, even probable, on the first steps of its development, the feeling of holy to have showed up through one of its poles, namely that is *repulsive*, and to have gain ground first as a fear of demons.”¹⁶ Therefore the holy manifests first and foremost as fear, even if the author insists on saying that this fear is not the same thing as “natural fear” with which man is confronted on the daily basis, but rather a state of fear derived from “the feeling of being a creature”, which comes from the awareness of the meekness of our existence.¹⁷

If we take into consideration the theory of the holy at R. Otto we notice that the way in which Yannaras describes religiosity is not arbitrary and does not derive from a certain theoretical “eccentricity” of the author. If sacredness imposes itself in the eyes of the primitive man (and not only) as a fearsome presence, then, obviously, religiosity appears as a reaction to this “primordial” state of fear, while man attempts to tame these overwhelming forces. In this regard religiosity is intimately linked to the survival instinct in man and automatically implies a dimension of power. Then, the phenomenon of power presents itself as having a common origin with the religious phenomenon.

If we analyze the terms used in Greek and Latin to refer to the reality of the sacredness we reach similar conclusions. In Greek, *hagnos* – the root *hag*, similar to the Sanskrit for *yaj* – has the meaning of “veneration” or “sacrifice”. The verb *hazesthai* designates the religious fear in Homer, the feeling of gratitude to the divinity¹⁸. *Hagios*, the term which will later on refer to “holy”, is a verbal adjective of *hazesthai*¹⁹. *Hieros* – which will form the word “hero” – is a term related to the Sanskrit *isirah*, which means “powerful”, “bearer of life”. For Homer *hieros* does not relate to people, but to beings and realities that are connected to the power of gods. It does not qualify the divinities in any way, but

¹⁵ *Ibidem*, p. 50.

¹⁶ *Ibidem*, p. 50.

¹⁷ *Ibidem*, p. 16.

¹⁸ Julien Ries, *The Sacred in the Religious History of Humankind*, Iași: transl. from Italian by R. Utale, Polirom, 2000, p. 113.

¹⁹ *Ibidem*, p. 117.

refers to outstanding deeds and acts, whose origins are yet divine²⁰. *Hieros anthropos* will later become the official designation of the one initiated in the mystic cults. The term does not describe a “saint”, but a man linked to the divine power²¹.

To the Romans, the people who had privileged relations with gods are among those who stand up for the religious cult or the political power: *sacerdos* and *imperator*. The Romans’ link to the gods is intermediated through the presence of the two characters. The *sacerdos* is given the task of performing the religious ceremony and all ritual acts. Wisdom and abstinence are the conditions for a well-functioning of its attributes. The *imperator* leads and has a happy relation with the gods because of this. The *imperator* is *felix*, meant for success, on condition of being *pious*, submissive and fair in his relations to the gods. The connection between *pietas* and *felicitas* is established in the day of *inauguratio*, when the augurs indicate in favor of the King²². After the establishment of the Roman Republic the political functions become separated from the religious ones; the *pontifex* turns into the ruler of the sacerdotal body and maintains the relationship between man and gods (beforehand the *rex* was the head of the cult). Soon after the word *religio* turns up, which refers to “the activity of offering a proper cult to the gods, according to old-prescribed norms, as well as understanding the will of the gods for the human will to comply with it.”²³

In the New Testament Jesus goes beyond the sacredness of former pagan religions and that of the Old Testament, he being a saint and leading mankind to holiness. Hence, the past hierophany loses its meaning, Jesus being the only mediator of sacredness.²⁴ In the New Testament, holiness (*hagios*) represents the essence of God, being the groundwork of the unity between Father and Son, of the unity of the faithful and of the chosen ones to receive holiness²⁵. The Holy Spirit (*Pneuma hagion*) – a concept present in the Old Testament (*ruah* = “breath of life”) – is a force that someone possesses, or that acts in the life of some, people who could be sanctified.²⁶

Religion, divine power and magic

Therefore, the essential terms of the religious field are, etymologically speaking, terms which express power and submission. Have these terms been available in the first centuries of Christian religion or has the ecclesiastical event anything to do with religion, but comes, according to Yannaras, to disturb the religious terms? Does Jesus manage through his teachings to escape the confines of power or is it present in his deeds and words?

It is a well-known fact that in ancient times the priests were communication with the gods and they were also using divine powers. From this point of view,

²⁰ *Ibidem*, p. 118.

²¹ *Ibidem*, p. 119.

²² *Ibidem*, pp. 140-141.

²³ *Ibidem*, p. 147.

²⁴ *Ibidem*, p. 195

²⁵ *Ibidem*, p. 197.

²⁶ *Ibidem*, p. 198.

Yannaras's overview referring to Jesus Christ is extremely clear: "The difference in the Church's testimony lies in exclusively taking into account or using Christ's signs as 'miracles': it is thus forbidden to interpret and to use Christ's signs as proofs so as to make the submission to Christ's, his apostles' and his teachings' prestige irrefutable."²⁷ In this passage Yannaras refers to the episode in which Jesus has been tempted by the Devil as evidenced in the *Gospel of Matthew*, 4, 1-11. The Greek Philosopher comprehends this episode in the existential-Dostoyevsky-like manner, following the Russian writer's interpretations in the chapter concerning the Grand Inquisitor in *The Brothers Karamazov*.²⁸ According to this interpretation, the miracle, the prestige or the mystery are three dimensions present in religious manifestations which make people obey the authority and give up their freedom. In this way they become the servants and even the slaves of religious leaders, personified though the figure of the Grand Inquisitor. Jesus refuses, in this episode, the Devil's invitation to change stones into bread, to throw himself off the Temple and receive human honors, just to prove that he strives for freedom and not man's submissiveness. This is the message of the ecclesiastical event that Jesus states *against* religion.²⁹

However, besides this episode in which Jesus does not give way to the Devil's temptation, there are numerous other stories in the New Testament in which Jesus is highlighted as healer and miracle maker: he cures the blind, the limpers and the lepers, he resurrects Jair's daughter and Lazarus, he multiplies loaves of bread, he turns water into wine at the Marriage at Cana, he calms the storm etc.³⁰ There are numerous episodes in which Jesus is surrounded by the crowd because of his fame as a healer and miracle worker.³¹ Moreover, there are authors who state the centrality of the miraculous dimension in Jesus' activity as a preacher.³² He is the Messiah just because the divine power through which he performs the miracles and the healings is the power which the Prophets of the Old Testament were waiting for from the future Messiah as a proof that He is the chosen one.³³ The presence of the Kingdom of God, which the Jews had been

²⁷ Yannaras, p. 51.

²⁸ *Ibidem*, p. 30.

²⁹ *Ibidem*, pp. 30-32.

³⁰ *Matthew*, 8, 2-4; 8, 23-26; 9, 1-5; 9, 18-34; 12, 10-13; 15, 30-38; *Mark*, 1, 23-27; 1, 40-42; 2, 3-7; 3, 1-12; 4, 37-41; 5, 22-34; 8, 22-26; *Luke*, 4, 31-42; 5, 12-26; 8, 22-54; 18, 35-43; *John*, 2, 1-12; 4, 43-53; 6, 1-14; 9, 1-7; 11, 1-45; etc.

³¹ *Matthew*, 4, 25; 5, 1-2; 12, 22-23; 15, 30; *Luke*, 7, 11-17; 11, 14; 13, 17; 19, 1-3; *John*, 5, 13; 6, 1-2; 11, 55-56; 12, 9-12; *Mark*, 1, 45; 2, 2-4; 3, 7-9; 5, 21-23; etc.

³² See, for example, Morton Smith, *Jesus the Magician*, (London: Gollancz, 1978); or Graham H. Twelftree, „The Miracles of Jesus: Marginal or Mainstream?“, *Journal for the Study of Historical Jesus*, 1, 1, (2003): pp. 104-124.

³³ The moment in which John the Baptist's messengers ask Jesus: „When John, who was in prison, heard about the deeds of the Messiah, he sent his disciples to ask him, 'Are you the one who is to come, or should we expect someone else?' Jesus replied, 'Go back and report to John what you hear and see: The blind receive sight, the lame walk, those who have leprosy are cleansed, the deaf hear, the dead are raised, and the good news is proclaimed to the poor.'” (cf. *Mt.* 11, 2-5) – with a clear reference to the prophecy from *Isaiah*, 35, 4-6: “Say to those with fearful hearts, 'Be strong, do not fear; your God will come, he will come with vengeance; with divine retribution he will come to save you.' Then will the eyes of the blind be opened and the ears of the deaf unstopped. Then will

waiting for, is certified by the fact that God's power acts through Christ: „the kingdom of God is 'where God exercises his power' or is 'the ruling power of God'. In short, we can say that, for Jesus, *the kingdom of God was the powerful presence of God*.”³⁴ As a matter of fact, Jesus gets into conflict with the Jewish religious authorities also because of the fact that he maintains his power to do miracles through the power he has got from the Father.³⁵ Moreover, because of this, he is accused by the Jewish pundits that he received the power to cure those who are possessed by demons, which he passed on to his apostles, from Beelzebub himself: "He is possessed by Beelzebub! By the prince of demons he is driving out demons." ³⁶

Therefore, the miraculous dimension in Jesus's activity cannot be neglected, and this fact adds to the discussion the topic of the problem of miracles and magic, together with the relation that can be established between magic and religion in Antiquity.

Starting with *magos*, the Persian term which designated the priestly order or anyone specialized in the religious domain; the term is attested in the Greek language around the fourth century BC.³⁷ As time passed magic would separate from religion and constitute a separate field inside the religious phenomena. Philosophy and natural sciences have contributed, even since ancient times, to this autonomization.³⁸ Despite this, magic will be separated entirely from religion only following the process of the disenchantment of the world initiated by Reformism in the Western world.³⁹ It is important that, at least in the period we refer to, magic does not constitute a field that could be differentiated through practices from the religious field. The criterion through which “the magi” were not taken into account and hence delegitimized was rather a social one, without having to do with any practice or certain institutions. At least as far as the Judaic

the lame leap like a deer, and the mute tongue shout for joy. Water will gush forth in the wilderness and streams in the desert.”

³⁴ Twelftree, „Miracles of Jesus”, p. 118.

³⁵ *Mt.* 9, 3-8; *Mk.* 2, 5-12; *Lk.* 5, 17-26; Cf. also Twelftree, „Miracles of Jesus”, p. 113.

³⁶ *Mk.* 3, 22; *Mt.* 9, 34.

³⁷ Fritz Graf, „Excluding the Charming: The Development of the Greek Concept of Magic”, in ed. Marvin Mayer and Paul Mirecki, *Ancient Magic and Ritual Power*, (Boston – Leiden: Brill Academic Publishers, 2001), pp. 30-31.

³⁸ The hypothesis of the Frazer-ian division between religion and magic sketched first in ancient times is supported by Fritz Graf in the already mentioned study. A major impact between theology and the practice of magic in ancient Greece is due to philosophy, especially Plato's philosophy, which criticizes the knowledge of the divine universe as a system of forces which man can interact with and even control. The other influence came from the naturalist camp (a work by a Hippocratic doctor is quoted, *About Holy Illnesses*, dating from the fifth century BC) which criticizes the supernatural „divine” cause of various illnesses, especially the psychological ones. (cf. Graf, „Excluding the Charming”, pp. 38-39).

³⁹ „The traditional view of the structural cleavage between magic and religion that has prevailed in Western scholarship in recent centuries is the result, in part at least, of the sharp Protestant reaction to certain Roman Catholic sacraments and other practices. [...] John Calvin wrote that the Roman Catholics 'pretend there is a magical force in the sacraments, independent of efficacious faith'.” (Stephen D. Ricks, „The Magician as Outsider in the Hebrew Bible and the New Testament”, in ed. Marvin Mayer and Paul Mirecki, *Ancient Magic and Ritual Power*, (Boston – Leiden: Brill Academic Publishers, 2001), pp. 133-134).

environment is concerned, this criterion is related to being part of another community than the Hebrew one or to upholding unorthodox practices according at least to the Judaic traditions.⁴⁰ There are plenty of well-known practices from the Old Testament in which wise people and the Jewish religious believers compete against other “magicians”, just in order to prove the superiority of the God of Israel over other gods.⁴¹ As a matter of fact, Jesus himself is blamed for practicing “magic” by the Jewish pundits in the *Mt.* 9, 43 episodes only because they do not accept Jesus Christ’s daring statement that he had received his thaumaturgic powers from the God of Israel. Jesus will be perceived for a long time as a magician both by the Jews and the Greeks.⁴²

As we have already pointed out, magician acts are not insignificant for Jesus Christ’s activity and, on the other hand, there is no real distinction between religion and magic in the ancient times, in the period of early Christianity. A preacher’s or a religious leader’s activity (such as the lives of the saints later on) was intimately connected to his capacity to manipulate the divine powers and make miracles happen. On the other hand, of course not all of Jesus Christ’s activity is based on the prestige and the ability to make miracles take place. Besides the episode in which Jesus refuses the devil’s temptation, there are other episodes in the Gospels in which Jesus refuses to prove his almightiness, allowing humans the freedom they needed to truly believe.⁴³

The most meaningful episode from this perspective is, without any doubt, the episode in which, crucified, he refuses to accomplish the “miracle” of his escape.⁴⁴ However, this dimension in Jesus Christ’s activity represents just a part of his entire activity, which has to be integrated and understood in the general framework of his teachings.

Therefore, all in all we can say that, although the *ecclesiastical event* inaugurated by Jesus is significant for his activity, this *cannot be separated from the religious dimension* of his activity. As a consequence, we believe that in the case of early Christianity *the ecclesiastical event is rather a part of the religious dimension* rather than a reality which aims to topple down religious terms. In the

⁴⁰ „According to these studies, magic in antiquity was not regarded as a separate institution with a structure distinct from that of religion, but was rather a set of beliefs and practices that deviated sharply from the norms of the dominant social group, and was thus considered antisocial, illegal, or unacceptable.” „There it is not the nature of the action itself, but the conformity of the action (or actor) to, or deviation from, the values of Israelite society—as these values are reflected in the canonical text of the Bible—that determines whether it is characterized as magical.” (Ricks, „The Magician as Outsider”, pp. 131-132).

⁴¹ Cf., for example, *Genesis* 41; *Exodus* 7, 8-13; *Daniel*, 2 etc. The difference between the Jewish miracle workers and other magicians does not have anything to do with their different practices and methods, but because the Jews act as the „legitimate” power of Yahweh, while the others use the power of some unknown gods and even hostile to the Jews.

⁴² See, for example, a few testimonies: Irenaeus of Lyon, *Adversus Haereses* 32,3; Justin Martyr, *Primae Apologiae* 30; Lactantius, *Divine Institutions* 4,15,1; 5,3; Origen, *Contra Celsum* 1,6; 1,28; 1,38; 1,68; 2,9; 2,14; 2,16; 2,48; 2,49; 6,77.

⁴³ Jewish pundits or other simple folk ask Jesus various signs to certify his status as Messiah, signs that Jesus refuses to make: cf. *Mt.* 12, 38-39; 16, 1-4; *Mk.* 8, 11-13; *Lk.* 11, 16; *John* 6, 30-35.

⁴⁴ *Mk.* 15, 29-32; *Mt.* 27, 39-44; *Lk.* 23, 35-39.

Gospels which tell about Jesus's teachings there are episodes which advise people to have the courage and the freedom to take on their own belief, as are episodes (not a few) in which Jesus is followed by crowds and people believe in him because of his power to work miracles.

And here enters into discussion the problem of power generally, of the significance of the power phenomenon and the relation it has to the religious phenomenon (acknowledged with a wider meaning, not necessarily the restricted sense which we find in Yannaras's book). In Yannaras's book there is a chapter devoted to the question of power, entitled "Power as subservience".⁴⁵ Commentating on a passage from *Mark*, 10, 42-44⁴⁶, Yannaras states: "Each form of power has as a causal principle its need of the functionality and the efficiency of the people. Hence any form of exerting power has as a primordial feature the will to serve. It is a mystery respected by everyone, the one who exerts power serves the community, the needs of his brethren."⁴⁷ And then he continues: "It is just that common experiences confirm other aspects: the exercise of power presents diametrically opposed features to those which we think are the original features."⁴⁸, devoting whole pages to the negative and pathological aspects of power.

These excerpts from Yannaras's work can induce us to reflect on the possibility of a double root of power: one that springs from the natural ego of all individuals, from the need to dominate, which is not more than an answer to the inability of facing up to unknown experiences, which it confronts and which is beyond it, and another one, which is embedded in the needs of a community that could be served, at a certain moment, by the abilities that an individual possesses.

Naturally, this second form of power, "power as subservience", can be at a certain moment adulterated and used for the personal interest of the person who exerts it, or for the self-accomplishment of one's ego. In the same manner, the opposite phenomenon can happen: an individual that clutches all power instinctively and acquires all the means available (wealth, prestige, influence etc.) decides at a certain moment to use this power in the service of others (there are many examples of such conversions). Power seems to be an ambivalent phenomenon⁴⁹ and, according at least to the analysis of the holy provided by R. Otto, it is not foreign to the religious phenomenon. The more primitive man's religiosity is connected to the self-preservation instinct, the more the phenomenon of power is intimately linked to the birth of religion. We could even say, without exaggerating too much, that religion and power originate from the

⁴⁵ Yannaras, pp. 67-75.

⁴⁶ "Jesus called them together and said, 'You know that those who are regarded as rulers of the Gentiles lord it over them, and their high officials exercise authority over them. Not so with you. Instead, whoever wants to become great among you must be your servant, and whoever wants to be first must be slave of all'". (*Mt.* 10, 42-44).

⁴⁷ Yannaras, p. 69.

⁴⁸ *Ibidem*, p. 69.

⁴⁹ Although he suggests this ambivalent source of power, however, Yannaras does not follow on this track, drawing firm conclusions: „Based on these data one can infer that the phenomenon of power, as a qualitative *mode of existence*, is found at the opposite spectrum of the ecclesiastical *mode of existence*" (Yannaras, p. 70).

same mysterious source⁵⁰, though power cannot be comprehended just in its natural or egocentric understanding. In this sense, “power as subservience”, which is specific to the ecclesiastical event according to Yannaras, could be understood in itself as an important dimension of the religious phenomenon and not as a reality which is completely out of its reach.

Justice and divine power at the first Christians

As we have seen, Jesus does not refrain from using the divine power he received from the Father, even if he does not use to satisfy his own ego. His sacrifice on the cross is the supreme proof in this regard. However, beyond this, debates concerning the nature and the manifestation of the divine power are reported even among the first Christians. More precisely, it is about the debate that took place in the 2nd century AD, between the heretic Marcion and Tertullian, the orthodox defender. The concluding remarks of this debate have settled the religious status of Christianity from its very beginnings.

Marcion will make the distinction between Yahweh, the God of the Old Testament and the God of the New Testament, preached by Jesus Christ. The first is a God of justice. The creator and the ruler of this world, the second one is the God redeemer, kind and compassionate, foreign to this world. In his more relevant work, alluding already in its title *Antitheses*, Marcion demonstrates the contradiction between the two Gods, starting from passages evidently opposed from the Old and New Testament:

“But if there is serious injury, you are to take life for life, eye for eye, tooth for tooth, hand for hand, foot for foot, burn for burn, wound for wound, bruise for bruise.” (*Ex.* 21, 23-24)

“But I tell you, love your enemies and pray for those who persecute you” (*Mt.* 5, 44)

Tertullian will answer Marcion in an ample work, entitled *Against Marcion*⁵¹, in which he will demonstrate that the spirit of justice and divine kindness are not contradictory, but, on the contrary, they are two complementary aspects of a single unity. Justice without kindness is nonsense, as well as kindness without justice. Kindness is rational⁵² and, as far as it is rational, it is also good. Tertullian will abide by his statement, demonstrating the absurdity of the hypotheses according to which the Christian God of Marcion could be kind without being, at the same time, just.

The pure kindness of Marcion’s hidden God, as long as it is not backed up by justice, will sooner or later confront it. This kindness cannot be in agreement to the sin committed by man when we fell for the snake’s lure, yet, despite all this,

⁵⁰ See in this regard the phenomenon of sanctifying power, alive in all ancient religions and even within Christianity in the Middle Ages.

⁵¹ Cf. Tertullian, *Contre Marcion (Adversus Marcionem)*, Livre I, II, III, IV, V, (Paris: édition bilingue, trad. du latin par René Braun, «Sources Chrétiennes», no. 365, 368, 399, 456, 483, Les Editions du Cerf, 1990, 1991, 1994, 2001, 2004). Marcion’s work has been completely lost, his thesis being recovered from Tertullian’s criticism.

⁵² „*Exigo rationem bonitatis.*” (Tertullian, I, 23, 1).

the good God did not react to man's sin. There are two possible reasons behind this: either God did not have the power to react, which is not permissible to a God who is above the Creator of the Old Testament, or disagreed with man's sin so as to send his son to preach love between men. This last hypothesis, however, portrays to us a sadistic God, who looks over the suffering of those he created, until he finally decides to send his Son to save them.⁵³ The son was later sent for that people consumed by sorrow and suffering to receive him without restraint and to adore him willingly. The kindness of the foreign God is perverted into evilness. Kindness, as long as it remains hidden, could become the sign of a certain weakness or meanness. Henceforth, the first form of manifesting kindness is by being just.

From Tertullian's perspective, the God of the Old Testament warns man on his temptation to sin and refuses him the privilege of eating from the Tree of Knowledge. God shows his disapproval for man's act of disobedience, punishing him in order to make him aware of his evilness and giving him the option to repent. Divine kindness manifests in such a negative way through coercion only at the beginning. God's action does not come from his own initiative, but as a reaction to man's deeds. The manifestation of divine justice is fortuitous. It comes only later, according to an accidental reason, but it is intimately connected to divine kindness.⁵⁴

Hence God sets a *system of juridical sanctions* which will be the foundations of a *moral code*. The system is based on the rational rule of exchange: a good deed pleases God and will be rewarded sooner rather than later and a bad deed will be immediately punished. The fear inspired by a possible punishment will make this system acceptable and respectable. The Talion easily inspires fear because it brings a similar suffering: nothing is more painful than to suffer yourself what others have suffered because of you.⁵⁵ The law of the Talion, based on sanction, institutes a restrictive regime: its principle is based on avoiding reprehensible actions from the point of view of their reciprocity. Therefore, without the negativity within the juridical sanction one cannot devise any moral code. The system of juridical sanctions represented by the law of the Talion in the Old Testament is the first form of the manifestation of the divine good, a form without which divine good could not exist. This system of interdictions instituted in the Old Testament will be then developed by Christ through the formula of love for others: love your neighbor as you love yourself. If the law of the Talion states what one cannot do to one's neighbor, Jesus's maxim states what you should do: what you would like others to do to you. To the old rule of interdictions is added with the positive precept of love for one's neighbor. The just kindness, manifested through constraint in the Old Testament, is added up with the obligatory (positive) kindness Jesus preaches⁵⁶. And to the two types of moral behavior one might add disinterested kindness, preached by Jesus as well: love your enemies, bless those who curse you, do good deeds to those who hate you.

⁵³ *Ibidem*, I, 22, 9.

⁵⁴ *Ibidem*, II, 18, 1.

⁵⁵ *Ibidem*, II, 18, 1.

⁵⁶ *Ibidem*, I, 23, 5-6.

This inducement to love one's enemy is the crowning achievement of the moral system whose basis is set in the Old Testament. It is the way in which Tertullian interprets the Pauline expression according to which Jesus comes to realize the Law of the Old Testament. His rational demonstration, according to which kindness and justice are part of the same unity, the unity of the Christian God, and that they could only be comprehended together, is persuasive, his arguments being part of the legacy in the Great Church. Marcion, with his God of pure kindness is excommunicated and, following this, the dimension of a sometimes coercive power, which is intermediated by the Christian divinity, is once and for all made part of the Christian tradition.

Of course, Yannaras's attempt to consider the ecclesiastical event and, through it, Jesus's preaching and the early period of Christianity as realities totally opposed to religion, is perfectly parallel with Marcion's attempt to separate God's kindness from any juridical or punitive dimension and, because of this, to discard Jewish religious traditions from the New Testament.⁵⁷ Marcion's failed attempt indicates once again that the dimension of power is part of Christianity from its very beginnings and that the ecclesiastical event which the first Christians benefit from could be rather comprehended as a feature of the religious phenomenon (an aspect brought to light by Jesus Christ himself) rather than something outside and opposed to religion.

Conclusions

Certainly, Yannaras's attempt in this work is important and deserves all out attention. I believe that Yannaras touches upon two important points by his distinction between religion and the ecclesiastical event. In the first place, he attempts to circumscribe a genuine nucleus of Christianity, which has essentially to do with Jesus's teachings. This is comprehended as the ecclesiastical event, with the corresponding features as attributed by Yannaras. Then, the Greek philosopher presents the historical evolution of the Church and the way in which the ecclesiastical event changes into religion, showing multiple ways of perverting belief and many ways of changing it into an ideology which serves the powers that be. Making these distinctions, such as the one belonging to Yannaras, seems more significant since the 20th century has brought to the world

⁵⁷ Marcion identifies Christ with his Father, the foreign unknown God who decides to reveal himself. There is no duality of nature in Jesus Christ. The Father's kindness manifests entirely in Christ's words. Jesus Christ is none other than God, He is entirely God, and his body is but a useful semblance in order to communicate to humankind (Cf. Adolf von Harnack, *Marcion. L'évangile du Dieu étranger. Une monographie sur l'histoire de la fondation de l'Eglise catholique*, (Paris: trad. par Bernard Lauret, Les Editions du Cerf, 2003), pp. 146-147). We can easily establish a connection between the ways Marcion identifies Christ with God the Father and Yannaras's tendency to reduce the Son to the Father: "The name of Son indicates that the respective hypostasis is not known and does not exist through and for itself. It wants to be because it loves the Father: its existence is a hypostatic answer to God's wish for love, as an existential act it relates to the Father, confesses about the Father and not about himself" (Yannaras, p. 47). "The written apostles' confession confirms that, in order to prove his identity, Jesus was using the determinant Son of the Father. He does not relate to himself, he does not consider his deeds, which act as signs, as his. There are the deeds of the Father, which he abides to bring to fruition, the deeds of the One who had sent him". (Yannaras, p. 52).

a series of events in which various phenomena related to the pathology of power had appeared under the guise of holy phenomena. It is first and foremost about the totalitarian ideologies of the 20th century, usually analyzed as political religions. Therefore I believe it is important to decide on a criterion by means of which we can interpret the change of the religious belief into an instrument of strengthening the ego, of domination and even of terrorizing of other people.

On the other hand, I believe that Yannaras's attempt, the way it was initiated and developed, has certain limits. First of all, the radical distinction between the ecclesiastical event and religion projects early Christianity into a paradisiac perspective and considers the whole history of the Church as a long series of "falls from Heaven", in other words, as a repeated series of estrangements from the purity of the original truth. Placing the ecclesiastical event *outside* religion only makes religion to be confounded with a form of sanctifying power, by which the individual ego enlarges itself and projects certain dogmatic metaphysical truths. Naturally, this radical separation can lead one to assume that in pre-Christian religions or in other geographically-remote religions there is no way of escaping the boundaries of individual selfishness.⁵⁸ Furthermore, the act of placing the ecclesiastical event in opposition to and outside religion results in emptying early Christianity from the important dimension of divine power. As we have tried to demonstrate, from this point of view, Yannaras's attempt is similar to Marcion's attempt of purifying Christianity of any Jewish influence and, hence, to cast aside any feature of divinity which refers to the manifestation of divine power and justice over all creatures. It is just that the Church had rejected Marcion's attempt and, hence, it had embraced power as a manifestation of the Christian God within Christianity.

Therefore, criticizing, from this viewpoint, Yannaras's attempt, I have tried to show that power is not a negative phenomenon in itself (such as religion, according to Yannaras), but rather that it possesses an ambivalent dimension (both positive and negative), being born together, in a certain way, with the religious phenomenon. Hence any form of power, even if it shows up as a means of serving, can be easily perverted and changed into a tyrannical power. So is faith (or religion, in a broad understanding) open to adulterations at some points in time and is transformed into an instrument of domination, which has nothing to share with the love for one's neighbor or with the striving towards Good. These transgressions can happen sometimes without our notice and that is why it is very important to set forth a criterion by means of which our understanding can realize the borderline dividing both.

⁵⁸ In a recent work of his, the British philosopher of religion John Hick tells about a series of religious experiences presented in the terms of an opening towards the Universe, correlated with a sensation of disappearance or doubling of the ego and, at the same time, with a feeling of love, or the feeling that life is a miraculous event, a gift man must cherish. Not all of these experiences refer to Christian believers and they are not necessarily related to the terms of the Christian religion. (cf. John Hick, *The New Frontier of Religion and Science*, Bucharest: transl. from English by A. Anghel, Herald, 2012, pp. 57-63).

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THE EUROPEAN IDENTITY AT THE CROSSROADS OF CRISES

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Abstract: *The European Union is facing for a decade now a multitude of crises and challenges, that put to the test its identity and stability. Some crises have internal sources, like the Euro-zone crisis and the crisis in Greece, others are generated by external causes, like the conflict in Ukraine, the threat of terrorism and, more recently, the crisis of the immigrants now underway. The Euro-zone crisis was a true test of strength for the European project, having as consequences a lower public confidence in European institutions and deeper economic discrepancies among the Member States. These days, Europe needs to find urgent solutions in order to manage the sensitive issue of the huge number of immigrants from the Middle East and Africa. It is a more complex crisis than others, with serious humanitarian and social components, but one that will have profound implications on the cultural identity of Europe.*

Keywords: *European Union, financial crisis, immigrants' crisis, European identity, Euro-skepticism.*

From the financial crisis to the immigrants' crisis

In our perception, Europe holds a special position on the world map, although for the U.S. or Japanese observers it may be different. It is an effect of our positioning in the real and symbolic space of the European world. We are part and parcel of this reference framework. The principle of relativity works not only in physics but also in the social space and the historical and cultural representations through which we relate ourselves to reality. For us, the „soft” Euro-centrism is a natural structural perspective and we are aware that we have to balance through a critical, open and relativistic stand. Nevertheless, it is a fact that the European space has generated the processes that have defined modernity: the adventure of geographical discoveries, the process of social and political emancipation, the nation-state and its democratic organization, as well as the first scientific and technological revolution. Therefore, in modern times, Europe has reached a universal „stock-exchange” of scientific ideas and artistic movements, „an unprecedented intellectual factory”, a fact which ensured its preeminence toward the others.¹

So far, throughout the centuries, Europe has been pivotal in global geopolitical equations. But, after the Second World War, the United States have become the main world power, surpassing Europe in all respects: scientific,

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¹ Paul Valéry, *The Crisis of the Spirit and Other Essays*, Iași, Polirom Publishing House, 1996, p. 231.

technological, economic, military and cultural. Nevertheless, it is worth mentioning that the European Union, by the novelty of its project, still places today this continent in a position of historical avant-garde, though it no longer plays a so important role globally. The European cultural model has still preserved its prestige and attractiveness, proof thereon being the thousands of refugees knocking these days on the doors of Europe, fleeing from the conflict areas in search of jobs and a stable shelter. The European Union is perceived as a „fortress” governed by clear rules, as an island of prosperity and stability in a troubled and uncertain world, a globalized world, still marked by development gaps, by absurd conflicts and sheer inequalities socially and economically. The issue of inequalities is central on the agenda of social, political and economic thinking, since the out-of-control discrepancies may endanger the social balance and the future of the European project.²

Since 2008, as we know, the developed countries, the United States and the European Union, in the first place, have undergone a profound financial crisis with multiple dimensions and implications. For Europe, there were several overlapping crises, of which the most visible one was the Euro-zone crisis, the sovereign debt crisis. Investigating the economic dimension of the crisis, which has continued for nearly five years, theorists openly talk now of „the European Union crisis”, because this crisis revealed *the structural deficiencies of European construction*. This would be the beneficial effect of the crisis, says Jürgen Habermas, namely that „the shrewdness of the economic reasoning - or the absence of any reasoning - brought the issue of the future of Europe back on the political agenda”.³ Faced with unforeseen circumstances requiring an urgent response, the Union could take recovery measures only after long debates, hesitations, stalemates and delays, which enormously raised the costs of the crisis for some states having serious problems, but also for the Union as a whole. The Union showed to be totally unprepared before this test, giving the impression that it was paralyzed, that it lost its balance. *On Europe's Constitution*.

A similar situation occurred in the summer of 2015, when the issue of migrants brought to the limelight the differences in attitude and interests of the European Union Member States. The older divisions acquired further prominence, while new rifts emerged within the community bloc, such as the differences in attitude between the Western and the East-European countries between Germany and the Visegrad group. Some European leaders encouraged immigration, through statements and diplomatic gestures, others condemned it and did not accept the idea of the relocation of immigrants by means of „mandatory quotas”. The fact is that the European states and institutions have still failed to devise a unified strategy in order to manage the complicated dossier of immigrants.

² Joseph E. Stiglitz, *The Price of Inequality: How Today's Divided Society Endangers Our Future*, W.W. Norton & Company, Inc., New York, London, 2013; Thomas Piketty, *The Economics of Inequality*, Harvard University Press, 2015.

³ Jürgen Habermas, *On Europe's Constitution*, Bucharest, Comunicare.ro Publishing House, 2012, p. 65.

There are common points and also differences between these financial crisis, which was largely overcome and the immigrants' crisis. The common elements reside precisely in the deficiencies of coordination among the states, in the absence of a unitary attitude towards the issue of financial debts (as in the case of Greece) and now towards the issue of immigrants. During the financial crisis, and also now, the states have relied on national policies in line with their own interests. When the Union was doing well and development prospects were promising, the prevailing trend was to „Europeanize” national policies. Conversely, in times of crisis, this trend is reversed, so that we witness „a renationalization of the public sphere” and the crisis-management policies.⁴

But the differences between these crises are also relevant. Unlike the crises Europe has gone through in recent years, the immigrants' crisis places us on a totally different level, because it is about the people's life, not about money, loans or financial deficits. Undoubtedly, the solidarity with the refugees' drama is part of the fundamental European values. As a matter of fact, initially, the humanitarian dimension of this crisis and its emotional implications overshadowed its other aspects.

Along with the humanitarian approach to this crisis, there is also a geopolitical approach, which is interested in the causes of this phenomenon and in the medium and long term consequences on the European Union. It should be noted that both the financial crisis in Greece and also the Euro crisis had mainly internal causes, they were truly „European affairs”, whereas the immigrants' issue has external causes and questions the relationship between Europe and its Southern and South-Eastern neighborhoods, torn by absurd conflicts. The geopolitical perspective makes use of a different reading scale of the crisis. Thus, the immigrants' file raises a series of questions, many still waiting an answer so far. Why suddenly the number of immigrants has increased in recent months? Who can guarantee that terrorists with criminal intentions are not hiding among the refugees? Under the journalists' pen it is increasingly recurrent the image of a Europe as a fortress besieged and vulnerable, on the verge of being conquered, without violence, by non-Europeans.

The analysts who (also) have sociological imagination tell us that we are witnessing a foreign, atypical, unconventional aggression against Europe, instrumented by this „provoked” exodus of the refugees. Indeed, lately, analysts began to speak more directly, bluntly, about the causal link between the humanitarian disaster caused by the operation called „The Arab Spring” and the exodus of populations from the Middle East to Europe. Reminding Samuel Huntington's old thesis, the analysts speak of scenarios and conspiracies meant to speed up the „clash of civilizations” in Europe, with the aim of destabilizing it and of dissolving, in time, Europe's cultural identity.

We do not know yet what the consequences of this crisis will be for the future of the European Union. However, under the increasing pressure of immigrants, it is natural to expect radical changes, we can only vaguely foreshadow. A long-term forecast can be deciphered in a recent statement made

⁴ Paul Dobrescu, *A Century-long Decade, The Century of an Emerging World*, Bucharest, Comunicare.ro Publishing House, 2013, p. 267.

by Mrs. Angela Merkel, the Chancellor of Germany, who argued that the refugees from the war zones should be accepted and integrated into the European Union space. On the same occasion, she also made an assessment with strategic significances: „The issue of asylum could be the next major European project, in which we show whether we are really able to take joint action.”⁵ In the same line is the statement made by Donald Tusk, the President of the European Council. „The current wave of emigrants is not a punctual incident, but the beginning of a true exodus, which means that we have to deal with this issue for years to come”.⁶ Thus, facing many difficulties, Europe is preparing for a long exercise in coexistence and intercultural communication, which will confirm its vocation of the cradle of humanism and freedom, interethnic tolerance and openness toward universal values.

The Euro-zone crisis and „the construction error” of the European project

Returning to the financial crisis that swept over the European space in recent years, we find that its shock was so unexpected and powerful that „the political dimension of the crisis was lost out of sight”.⁷ The crisis was interpreted in an *economic* paradigm and not in a political one. However, says Habermas, it is not only about wrong economic policies, but also about a *deep political crisis* that the European Union political leaders did not perceive. Leaving aside the labels by which this crisis was defined, it is clear that it is about „a European Union crisis” as a model of governance and as a political project. The gravity of this crisis is that it showed us that there was „the real possibility of a failure of the European project”. Why? Because there is, says Habermas, „a construction error” of the European project, a design error wherefrom both the difficulties of the monetary union and of the European project in general derive.

Habermas explains this flawed conception by the subordination of political decisions to the logic of financial markets. Thus, a monetary union was established „lacking any normative political powers” absolutely necessary to make it viable. „On the eve of turning Europe from an economic union into a political one, the political side seems to be out of breadth, in a gesture of prevarication”.⁸ In a more explicit formulation, the error of conception is defined as follows: „The European Union lacks the competences to imperatively harmonize national economies in a growing discrepancy in terms of their competitiveness”.⁹

According to Habermas, the European Union must choose between „transnational democracy and post-democratic executive federalism”.¹⁰ The last

⁵ Maria Khan, Germany: Angela Merkel stresses migrant issue bigger challenge for EU than Greek debt crisis, See the address: <http://www.ibtimes.co.uk/germany-angela-merkel-stresses-migrant-issue-bigger-challenge-eu-greek-debt-crisis-1515718>, accessed at 20 September 2015.

⁶ Donald Tusk, statement: „The exodus” will last for years to come, 8 Sept. 2015, See the address: <http://www.agerpres.ro/externe/2015/09/08/criza-migratorie-exodul-va-dura-ani-de-zile-avertizeaza-donald-tusk-00-17-27>, accessed 20 Sept. 2015.

⁷ Jürgen Habermas, *op.cit.*, p. 63.

⁸ *Ibidem*, pp. 65-66.

⁹ *Ibidem*, pp. 65-66.

¹⁰ *Ibidem*, p, 71.

formula is the one which is applicable today. Habermas invokes many sophisticated legal arguments to show how to build the legitimacy of transnational political structures, pleading for overcoming these obstacles and for „trans-nationalizing democracy” as the only way to discipline and regulate „the unleashed forces” of financial markets. Therefore, „European Union treaties must be changed”, but there is neither a clear outlook in this regard, nor the necessary political will to achieve this imperative.

From another perspective, the Euro-crisis was primarily „a crisis of an economic model based almost exclusively on debts”, a model adopted in the last decade in the U.S. and, by contagion, in other countries. Then, it was „a crisis because deregulation was misunderstood”, a crisis which can be seen as a „Waterloo of neo-liberalism”, a doctrine based on the idea of the minimal state and the mistaken belief that „the market can operate without rules”. This highly documented and penetrating diagnosis belongs to Guy Verhofstadt, a former Belgian prime minister (1999-2008), a liberal thinker, who learned the lessons of the crisis. „The mistakes and abuses that destroyed the financial markets worldwide developed in such a regulatory vacuum”.¹¹

Finally, everybody spoke at first about a „global crisis”. Then, the analysts’ speeches became more applied and they understood that, paradoxically, it was only about „the crisis of the developed world”. Proof there is that the emerging countries, the BRIC (Brazil, Russia, India, China) and others (Mexico, Indonesia, Turkey, South Africa) recorded impressive development rates precisely when Europe and the U.S. were in decline.¹² How this apparently abnormal phenomenon can be explained? Some argue that the emerging countries will overturn the current rankings and will produce a „new world order”. These changes are taking place before our eyes but we do not see them. Verhofstadt anticipates that, in about 20 years, when G7 will meet, let’s say, „No European country will be part of this group, on its own.” The competitive advantage of the emerging countries is that „they have the people and the assets.”¹³

Divergent projects: „federalists and nationalists”

For several decades now, the European project has generated tension between two conceptions on the future of Europe: a Europe of nations or a federal Europe? The crisis has radicalized divergent positions and generated more heated debates. The auto-critical speeches have prevailed and they are pervaded by the feeling that Europe has become „a marginalized continent”, „without ambition, without ideals, without hope.” „We have been rapidly reached by the developing countries, unable to react with inventiveness. We find no innovation and we generate no economic growth. Furthermore, Europe is a continent with gray hair. Its population quickly ages, while the population of the world increases dramatically and grows younger”.¹⁴ The cause of this deplorable

¹¹ Guy Verhofstadt, *Out of the Crisis. How Europe Can Save the World*, Bucharest, Comunicare.ro Publishing House, 2012, pp. 226-228.

¹² Paul Dobrescu, *op.cit.*, 2013, pp. 14-18.

¹³ Guy Verhofstadt, *op.cit.*, pp. 138-139.

¹⁴ Daniel Cohn-Bendit, Guy Verhofstadt, *Wake up Europe! A Manifesto for a Postnational Revolution*. Bucharest, Comunicare.ro Publishing House, 2013, p. 31.

situation is to be found in the EU Member States „selfishness.” „The Member States carry all the responsibility for the current crash. Their incompetence has led to the Euro crisis”, all of them being guilty of the fact that the EU remained „a hybrid entity”, „a divided and anachronistic union of nation-states.”

The solution? „More Europe”, say the authors quoted, in chorus with other supporters of federalism. That means „the swift and decisive transition towards a politically united and federal Europe”,¹⁵ abandoning the nation-states as outdated, obsolete political formulas, the urgent construction of the United States of Europe. The big obstacle is represented by national identities, which have to be abandoned, dissolved. „We must not fall into the trap of national identity. National identity is the new face of nationalism. They are the new clothes of nationalist ideology”.¹⁶ In the authors' opinion, the future of Europe must be dissociated from national identity, which are anachronistic structures. „The Europe of nation-states is a relic of the past, not an asset for the future”.¹⁷

This type of discourse, with certain nuances, is ever more frequently used by the supporters of European federalism. As clearly as the above-mentioned authors say, nation-states and national identities must be destroyed in order to build on their ruins a new Europe, which should „no longer be fragmented into nations”, only into parties, into ideological and political orientations. The schematic representations of these authors deal with two poles arranged on a vertical axis: upward, the federal Europe, its institutions and downward, the European citizens, dispersed like free atoms, without any aggregating formula, without the intermediate structure of nation-states.

The warnings of the analysts, mainly of the historians, who remained rational, are not taken into consideration. For example, Maurice Duverger warned that European nations and cultures and their political frameworks, the nation-states are lasting structures, „unbreakable elements, rooted in history and in minds”, „that would prevent any European Union if someone pretended to destroy them for this purpose”.¹⁸ Finally, let us remember the clear-cut assertion that „no nation within the European Union wants, and with good reason, to die away” in the name of a phantom-like European identity.¹⁹ This conclusion pours cold water over the heated heads of those who are quick to write death certificates of nation-states.

Crises fueled skepticism

The Euro-zone crisis and the tensions raised by the indebtedness of southern states (Greece, Italy, Spain) peaked in the period 2010-2013. They resulted in the downfall of economic activity and increased unemployment, which was reflected in the dramatic decline in the EU citizens' confidence. The yesterday praises for the European project deflated and then turned into doubt,

¹⁵ *Ibidem*, p. 34.

¹⁶ *Ibidem*, p. 76.

¹⁷ *Ibidem*, p. 79.

¹⁸ Maurice Duverger, *Europe from the Atlantic to the Danube Delta*, Bucharest, Omegapres Publishing House, 1991, p. 97.

¹⁹ Paul Sabourin, *The European Nationalisms*, Iași, The European Institute, 1999, p. 106.

and those who, before, made targeted criticism against certain European policies came declare straightforwardly the „failure” of the European experiment. „What unites European citizens today is the Euro-skeptic mindset that has become more pronounced in all of the member countries during the crisis, albeit in each country for different and rather polarizing reasons”.²⁰

Euro-barometers show us how the opinions and attitudes of European citizens towards the European project have changed in recent years. They measure several indicators, but the most relevant ones refer to the image of the European Union and the confidence of European citizens in the future of the European project. Our option is to comment the chart measuring how opinions have evolved with regard to the future of the European Union.

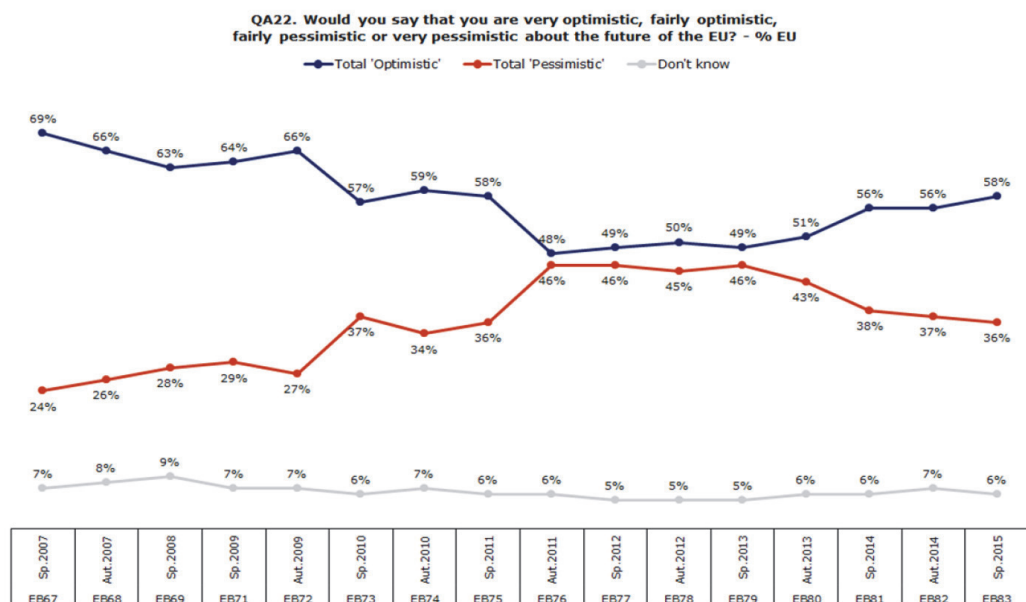


Figure 1. The future of the European Union: trend. Changes in the optimism vs. pessimism relationship

Source: European Commission, S Standard Eurobarometer 83 / Spring 2015, *Public opinion in the European Union*, p. 12, at: http://ec.europa.eu/public_opinion/archives/eb/eb83/eb83_first_en.pdf

If we study the opinion variation from 2007 to 2015, we shall notice see that the development of the economic crisis is faithfully reflected in the developments of public opinion. With the onset of the crisis, public confidence in the Union's future begins to decrease from 69 percent in 2007 to 48 percent in the autumn of 2013 (the lowest level of confidence). Hence, the share of those with an

²⁰ Jurgen Habermas, *Democracy, Solidarity And The European Crisis*, in: Social Europe Journal, 07/05/2013, la adresa: <http://www.social-europe.eu/2013/05/democracy-solidarity-and-the-european-crisis-2/> (accessed 15 September 2015).

optimistic view on the future of the Union decreased by 20 percent. Symmetrically, the share of the Eurosceptics increased from 24 percent to 46 percent.²¹

Thus, we see that the eroding image and confidence in the European Union was a widespread phenomenon, under the influence of economic difficulties. From 2011 to 2013, optimistic and pessimistic attitudes about the future of the European project were in a relative equilibrium, having relatively equal shares. Once the crisis was over, after 2013, we notice that the share of optimistic views gradually increases, reaching, in the spring of 2015, at 58 percent. It increased by 10 percent as compared to the autumn of 2011, although it still remained about 10 percent below the levels from 2017. Euro-skepticism decreased, throughout the Union, from 46 per cent in autumn 2011 to 36 percent in 2015.

Mistrust and Euro-skeptic attitudes have accumulated and produced a diffuse current of opinions that cannot be ignored by analysts or political leaders. Therefore, the crisis meant for the Union a massive loss of symbolic capital. Habermas' harsh statement must be taken into account. He believes that the Union has fallen down to the level of a technocracy in the service of financial markets. The citizens see only a Union of the capital that works for the benefit of banks and financial markets. It is no longer a Euro-skepticism motivated ideologically, but a pragmatic one that starts from cost-benefit type economic calculations.

Conclusions

European Union goes through successive crises, testing its strength, identity and ability to act as a unitary actor on the global stage. European identity is hard to coagulate and needs time to fit together and become a consistent reality. During the financial crisis, Member States turned more toward national policies, seeking answers according to their own interests, so that the solidarity principle was in distress. Now, during the immigrants' crisis, there are still differences in approach. We can say that these crises have deepened older fractures within Europe, between center and periphery, West and East, North and South, and especially between elites and citizens, the European institutions and Member States. If the crisis on migration gets worse, then it is likely that Euro-skeptic speeches would gain ground.

The worries raised around the alteration of European identity under the pressure of Muslim immigrants are probably exaggerated. So far, the share of non-European immigrants "has not exceeded the threshold above which the persistence of Western pattern might be called into question"²². Ever more theorists speak today about the decline of the Western world, starting from the ethnic and cultural hybridization generated by the massive waves of immigrants who bring with them beliefs, attitudes and cultural practices external to the

²¹ European Commission, Standard Eurobarometer 83 / Spring 2015, *Public opinion in the European Union*, p. 12, at:

http://ec.europa.eu/public_opinion/archives/eb/eb83/eb83_first_en.pdf (accessed 15 September 2015).

²² Lucian Boia, *The End of the Western World? Toward the World of Tomorrow*, Bucharest, Humanitas Publishing House, 2013, p. 83.

European world. But tomorrow, wonders the author cited, „would the original pattern be strong enough not to be deformed and lend to others as well its underlying model?”²³ History is an open work.

As we know, European integration was regarded until recently as an irreversible historical process. Nonetheless, let us note that the debates in the first half of 2015 were focused on the dilemma of whether it is a good thing or not that Greece should be out of Euro-zone and even the European Union. Ever since 2013, the Prime Minister of Great Britain, David Cameron, officially announced that he would run by 2017 a national referendum in which British people would decide whether their country should stay in or leave the Union. This issue was extensively debated in Great Britain during the election campaign of 2015. No one can predict how things will evolve, but the idea that the European Union may break apart is already a psychologically accepted issue and present on the public agenda.

The project of European unification was a brilliant idea, an “entirely original” idea, says Thierry de Montbrial, stressing that „great ideas in politics are rare, even rarer than in science and art”.²⁴ Indeed, it was an atypical project, which looked like an “exception”. In Noica’s opinion, this is the mechanism that defines the modern European spirit, namely the encouragement of innovation up to the threshold when „exception becomes rule”.²⁵ Meanwhile, Europeans and non-Europeans have become familiar with this exception called European Union.

However, lately, the questions and critical approaches vis-à-vis the project have begun to multiply and gain ground in intellectual circles and public spirit. It is the time when Euro-skepticism acquires theoretical and pragmatic foundations, beyond the ideological ones. For instance, two British authors, C. Booker and R. North consider, with credible arguments, that the European project is a new theoretical utopia, impossible to apply and achieve in the diversified world of European states and societies. The idea of European integration was “the most extraordinary political project in history”, say the authors, but it is a project doomed to fail, for it is built on a myth, an abstract vision, cut from reality. According to the authors, the true goals of the project were to establish a supranational technocratic and undemocratic-type government, meant to take the economic and financial strategic decisions out of the control of citizens and nation-states. The real goals were hidden by the founders, so that now, at the hour of truth, when the enthusiasm for European integration declines and Euro-skepticism grows (the authors’ favorite reference is, of course, Great Britain), we realize that the European project was “one of the biggest collective scams of the 20th century”, comparable only to “the self-delusion” which enwrapped those attracted by communist utopia.²⁶

Let us not forget that Europe has shown an astonishing ability to overcome crises and to reinvent itself. An identity born at the crossroads of crises is more likely

²³ *Ibidem*, pp. 85-86.

²⁴ Thierry de Montbrial, *The Memory of Present Time*, Iași, Polirom Publishing House, 1996, p.78.

²⁵ Constantin Noica, *The European cultural model*, Bucharest, Humanitas Publishing House, 1993, p. 11.

²⁶ Christopher Booker, Richard North, *The Great Deception. A Secret History of the European Union*, Bucharest, Antet XX Press Publishing House, 2004, pp. 313-314.

to be adapted to the contradictory tensions of the future. Surpassing the critical moments through their staunch effort and creative spirit, the Europeans will relaunch their cohabitation project, as defined by the principle of unity in diversity.

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THE SOUTH PACIFIC –THE FANCY, THE PROTOTYPE AND THE IDEATED SUB-REGIONAL

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Abstract: *The South Pacific has gained legitimacy as being imbued with a capital of both mystery and lack of interest! These are due to its geographical remoteness, on the one hand, and, on the other, to a shallow form of regionalism, through which it is represented in world affairs. The form of regionalism referred to here is the one pertaining to the Pacific Islands Forum. Throughout this article, we will not be engaging into a discussion of the regionalism propelled through the Pacific Islands Forum. However, we will be streamlining the sub-regional forms of cooperation, as they are rendered by the states resident in the geopolitical divisions of the South Pacific: Micronesia, Polynesia and Melanesia. The bulk of our focus will be given to why predilections for the existence of sub-regional endeavors in these areas exist and how they can be de-constructed.*

Keywords: *The South Pacific, Melanesia, Micronesia, Polynesia, regionalism, sub-regionalism, mini-lateralism.*

Preliminary Considerations

Security-wise, the **Asia-Pacific** is a macro-region that is starting to be re-pivoted by strategies, by the keen interest of policy-makers, by stories of economic success, and by their on-going tangibility to security issues. Currently, the Pacific seems actually embedded into rather calm waters:

“At present, the overall regional security environment appears to be relatively calm or benign, with no immediate threat of large-scale hostilities. There is general political stability, and potential conflict points are being addressed through diplomacy rather than military aggression. This situation clearly helps promote economic and business development to the benefit of the regional states and their external trading partners”¹.

As the Asia-Pacific as a whole is now becoming increasingly important, the South Pacific is obnubilated by the lancinating narratives of sub-regions, with a more upfront stance in the matters of Pacific affairs, like Southeast Asia, or South Asia. The South Pacific is highly unknown for the general public. More

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¹ William M. Carpenter, David G. Wiencek, *Asian Security Handbook: An Assessment of the Political-Security Issues in the Asia-Pacific Region*, M.E. Sharpe Publishing House, Armonk, New York, 1996, p.4.

than that, its **form of regionalism** has not been impassioned by the scientific literature with the same flair for study². The South Pacific is a macro-region, with a mixed extra-regional agency:

“Who are the external actors today and what do we know of their activities. The list is slightly different, but only very slightly, from that of the 18th and 19th century. Australia and New Zealand, the United States, China (both the PRC and ROC), India, Europe through the EU and France and the UK as residual colonial powers are all present”³.

Recognizing and drawing the fine distinctions of **regional actorness**⁴, within the frame of producing **regionalism** in the South Pacific represents the subject matter of this article. However, the focus of our scientific concern will be sent out in the relation to the forms of **sub-regionalism**, that exist in different areas of the South Pacific. The regional sub-setting offers more insight into the political tenure of the island-states and into the extended treatment of particulars, which represents the sub-regions to where they belong geographically.

Throughout this article, we will be utilizing the term of **regionalism** as a lender of defining the peculiarities and the specificities of a region, from a multilateral standpoint: security, economics, from the insights of a cultural and a civilizational optical position. At the same time, the term alludes to the amalgamation and to the harmonisation of these peculiarities into a shared⁵ situation of identity-building. We will consider the likes of **sub-regionalism** in the same shades and varieties of meaning, with the specification that the judging of the same faculties will occur at an intrinsic, lower level, than the one considered in the previous explanations of **regionalism**. **Sub-regionalism** embodies the manner in which intra-regional endeavors can be de-constructed, for the purpose of creating commons, with a smaller span of membership.

It is quite true the fact that:

“**Regionalism** in Asia today covers a range of policy fields that, at first sight, appear to be unrelated. First, in trade we are seeing a large number of initiatives. Countries are engaging in a variety of trade schemes that differ from the previous decade”⁶.

What is more, it is also true the fact that: “regionalist schemes have emerged in so many different parts of the world suggests that broad international forces

² We will agree that our remark is daring. Yet, it is sustained by the small quantity of studies, that one can find on the issue. Searching for scientific literature in this field can be allotted with difficulty. Studies, articles, books are hard to find from residences, that do not belong to the South Pacific area and to rather distant parts of the world, from the area considered.

³ Jim Rolfe, (2015), “The South Pacific: Regional Security and the Role of External Actors”, *Center for Strategic Studies*, New Zealand, CSS Strategic Background Paper-24, 2015, p.2.

⁴ With the sense of the array of significance and the correlates of being an actor.

⁵ Meaning that is shared by all the regional states.

⁶ Heribert Dieter (edt.), *The Evolution of Regionalism in Asia- Economic and Security Issues*, Routledge, New York, 2007, p.2.

may be at work and that a single-region focus is inadequate”⁷. In the following section, we will be expanding upon the **sub-regionalist schemes** in the South Pacific, brought together by some sort of comprehensive dissociation from the overhanging regional environment.

The Pacific Islands- Demarches and Ailments of how to Bear Regionalism Transplanting

Recording a redux outlook or visionary caucus upon the political conversations of creating commons, at a sub-regional level, seems to never have been this hard as in the case of the Pacific Islands⁸. The correlatives of the attributive phrase **the Pacific** actually fixes inalienably a fixture with the impressiveness of the Pacific Ocean:

“The Pacific Ocean extends from the arctic to Antarctic regions between North and South America on the east and Asia and Australia on the west. The international date line passes through it. It is connected with the Arctic Ocean by the Bering Strait; with the Atlantic Ocean by the Drake Passage, Straits of Magellan, and the Panama Canal; and with the Indian Ocean by passages in the Malay Archipelago and between Australia and Antarctica. Its maximum length is c.9,000 mi (14,500 km), and its greatest width c.11,000 mi (17,700 km), between the Isthmus of Panama and the Malay Peninsula. The principal arms of the Pacific Ocean are (in the north) the Bering Sea; (in the east) the Gulf of California; (in the south) Ross Sea; and (in the west) the Sea of Okhotsk, the Sea of Japan, and the Yellow, East China, South China, Philippine, Coral, and Tasman seas. Few large rivers drain into the Pacific Ocean; the largest are the Columbia of North America and the Huang He and Chang (Yangtze) of China”⁹.

The Pacific has been used as an axis to establish a seafaring strategy, with both conquest and overbearing exploitation in mind. For the island life, the Pacific implies the necessary accompaniment of three divisions: **Melanesia**, **Polynesia** and **Micronesia**. **Melanesia** is closely connected to the attuning of Australia, through the Arafura Sea.

⁷ Louise Fawcett, Andrew Hurrell, *Regionalism in World Politics: Regional Organization and International Order*, Oxford University Press, Oxford, 1995, p.3.

⁸ It is true that bringing to no effect a definition – satisfying for both the unconcerned eye and the depth intellect – as far assessing the power of the Pacific Islands to construct regional cooperative endeavors strikes better an expectation, a possibility, or quite a perspective than the specific situation of a successful mindset.

In order to achieve this, we are obliged to enter a large glossary of terms for both explanatory and analytical reasons.

When talking about the Pacific Islands, we can talk about the largess of a territorial compound, unveiled on the maritime surface that inhabits a third of the total surface of the Earth.

The Pacific is actually more than a maritime geographic division. It has a special cultural and civilizational colorfulness, which discloses a mutual relation which a security environment, that spells both gravity and intricateness.

⁹ *Pacific Ocean*, The Columbia Encyclopedia, 6th Edition, Columbia University Press, 2012.

The term Melanesia embodies an impressive geopolitical connection through the creation of ***the Melanesian Spearhead Group***¹⁰. ***The Melanesian Spearhead Group*** is a mini-lateral form of organization whose appropriateness in the security environment of the Pacific states cannot but rest duly noted. ***Mini-lateralisms***¹¹ have existed in other non-Western regional organisations, as they exist in the Pacific. This is why one should consider the ***Pacific Islands Forum*** as the regional bumbershoot, under whose platform other answerable forms of sub-regional cooperation cover a uniting function.

For instance, Brunei, Indonesia, Malaysia and Philippines have created the ***East Asian Growth Area***, widely known under the acronym of ***BIMP-EAGA***. The principles upon which the creation of this sub-regional forum was facilitated thrust in the abeyance of economic growth, sectorial liberalization and bridging economic disparities¹².

The founding members are also members of ***the Association of Southeast Asian Nations***, the regional assembly of Southeast Asia. This kind of initiative was propelled by the propitious impetus towards unconditioned free movements across the territories of the four countries, without the toilsome procedures of discussing these issues under the formalizations of ***the Association of Southeast Asian Nations***.

Southeast Asia's regional forum of assembly is acclaimed globally for its immunological resistance to legalism and formalism, up to such an extent that plenty of its decision-making would coincide with rebuffing, if the regional solidarity does not prevail. The four founding members did not embark randomly on the test-drive of cooperation, if some underlying facts were not taken into the logical consequence of considerations.

Why was such a decision argued in final adoption? All of the four countries are strategically conjoint by the tenure of their territory and by the nature of geographic approximation. More than that, all of the four countries are part of the Malay Archipelago, at the point of demarcation of Asian and Austrian geographic interplay, and all of them are co-sharers of Austronesian cultural elements of denomination¹³.

¹⁰ A sub-regional organization accommodating: Fiji, Papua New Guinea, Solomon Islands and Vanuatu, The Kanak and the Socialist National Liberation Front of New Caledonia. Its workings are organized inter-governmentally, gelling together a trade agreement complementary for the promotion of the economies of the member states, with a close direction to fusing political tradition with preferential talks of economic liberalization.

¹¹ Like *multilateralism*, *mini-lateralism* involves the workings of a concerted action. Unlike *multilateralism*, it regards the involvement of the smallest number of actors possible in order for a concurrent action to be performed.

¹² With the targeted areas like: fisheries, agro-industry, transportation and tourism.

¹³ We figured this example as doing a lot of favour to the comportment of the elaboration of *the Melanesian Spearhead Group*. The justification for its creation can be modelled on the same significant credentials of *the BIMP-EAGA countries*.

However, it seems that for *the Melanesian Spearhead Group*, the likes of discontent seem to pass with a less feverish remembrance, than in the case of the inter-state relations between the member countries of *the BIMP-EAGA*. It is quite true that for the former, the evidence of *mini-lateralism* did not shelve away issues of territorial discontent, that exist between Indonesia and Malaysia, for instance.

In the case of **the Melanesian Spearhead Group**, other elements, like anthropological variables, come to the crispness of observable facts. Especially for the analysts concerned with Area Studies, the expression of the Melanesian culture, besides the geographic brinks and brims, is very hard to enjoin in a thorough description.

The practices, the traditional try-outs, the pre-colonial practical experience, cannot be documented by the learning of a native system of writing, as the myths of old ages have been transmitted orally. Acts of contact, of supervision, are extremely important for the investment in the planes of reality of distributing and circulating knowledge about this culture.

This was a very important point to make, as the state of play of the existence of **the Melanesian Spearhead Group** is also circulated by the faculty of cultural promotion. In a clear view, **the Melanesian Spearhead Group** was born out of the desire to exchange high-politics with the ordinary progression of low-politics increasing velocity.

As fact renders, the Melanesian countries felt pretty much discontent with the decision taken by the South Pacific to expedite the Kanak pleas for independence in a manner that jettisoned the debate.

Consequently, “the initial agreement between the Melanesian countries—**the Agreed Principles of Cooperation Among Independent States of Melanesia**, signed in Port Vila, Vanuatu, in 1988—appears to have been motivated primarily by a wish to assert Melanesian support for Kanak demands for independence, reflecting the perception that the **Pacific Islands Forum**’s former colonial powers, Australia and New Zealand, and some Polynesian countries had been failing to take up the issue with sufficient vigor at the Forum. The later **Agreed Principles of Cooperation Among Independent States in Melanesia**, signed in Kiriwina, Papua New Guinea, in 1996, placed rather more emphasis on

It is not our designating aim to bring the discussion even further, to the outer limits of the analysis. However, we considered this comparison correspondent to *the craftsmanship of mini-lateralism*, as a not so recent event, and, even as a practice in *the non-Western forms of sub-regionalism*.

Of course, by introducing this new technicality, one may interrogate about the conditions under which the average and acceptable purposes of *mini-lateralism* can actually change into complex forms of *sub-regionalism*. The answer of this article is that, upon the creed of a needy fulfilment of complex systems of institutional decision-making, a mini-lateral effectual management of a sub-regional initiative can actually be transformed into the reality of a *potent sub-regionalism*.

Certainly, a competition between *sub-regionalisms* and clearly-designed and old –shaped, inclusive forms of *regionalism*, can be accelerated, depending on the hive of the matters discussed and depending on the political will to solve the requirements of talk and dissemination.

Mediation, as experienced, has shown, it is the most fragile common denominator for a regional organisation, especially for one, that does not complicate its existence with the lacework of security issues, but, which is willing to make them a priority for its institutional mechanisms, once they can no longer be ignored. This discussion is accurately fitted by both *the Association of Southeast Asian Nations* and *the Pacific Islands Forum*.

It is not only a veridical perception upon which one may feel disentangled from too much argumentation. It is a common fact generated by the absolute intergovernmentalism, that is a reflecting character of the two regional organisations.

the promotion of economic cooperation between MSG members, but retained a focus on sub-regional solidarity and 'respect for and promotion of its Melanesian cultures, traditions and values and for its defense and promotion of independence as the inalienable right of indigenous peoples of Melanesia and the promotion of their human rights'¹⁴.

It would have been deemed wrong to consummate all the descriptions and analyses regarding the **Melanesian Spearhead Group** on the premises on economics and culture alone¹⁵. Furthermore, it is no less true the fact that some members of this sub-regional group are also member of structures that have more or less panoptic commons with the former.

In order to make our ideas more transparent, we would like to underline the fact that Fiji was an assay that laid into probation the edifice of norms that the **Melanesian Spearhead Group** was assembled on. The sub-regional organization stresses the importance of a claiming togetherness that has to be enacted, as long as the respect for common norms is steadily accumulated.

The adhesion to democratic values and to the respect for human rights standards are examples of the incorporation, in this normative anatomical structure of **the Melanesian Spearhead Group**. A member of **the Melanesian Spearhead Group**, Fiji, endured three cycles of coups¹⁶. As member of the Commonwealth and also of the **Pacific Islands Forum**, Fiji was compelled to suspension from those bodies, but remained member of **the Melanesian Spearhead Group**, being permitted to exercise its membership by cause of the mutual adhesiveness to the different forms of solidarity that the founding treaty laid forward. As the group undertook a political campaign back in 1988 for the inflammatory process of independence gaining, now the same states failed to produce steady attachment to their premier norms of existence.

The tender fall into passivity tinged the image of the forum globally, on the one hand, and, on the other hand, it produced a refreshing sort of confusion of why another sub-regional organization should exist in the wider Pacific Rim and why its existence should be taken as an act with creditworthy accountability¹⁷. After all, the organization was a political gathering, too, besides the unobjectionable glue of economic links.

A democratically guided Fiji was a translucent anticipation in the first place. The mere fact that Fiji oriented its politics based on racial criteria until 1985 was a rather disconfirming sheet-fact of this country¹⁸.

The Melanesian Spearhead Group is created to have functional tasks based on the participatory rights of its members and on the animations of the

¹⁴ Ronald May, "The Melanesian Spearhead Group: Testing Pacific Island Solidarity", *Policy Analysis*, Australian Strategy Policy Institute, 8th of February 2011, pp.1-2.

¹⁵ No matter how powerful these sources can have a generic of a rallying, they can also bring malevolent effects for the rectitude of the analytical procedures we implement.

¹⁶ In 2000, 2006 and 2009.

¹⁷ The failure to produce a contestation of Fiji's handling of its domestic situation runs counter with the regional and global diplomatic recognition of the organisation.

¹⁸ Vanuatu broke the ice in 2009 by criticizing Fiji's failure to hold elections in 2009 as a dodging of the continuity of democratic reforms in the country.

sheer will power of its members. During the last June Summit of 2015 a closer and more engaging incumbency was given to West Papua and to the potentiality of its becoming a full member of the sub-regional body¹⁹. In addition to this, the body follows the unobstructed path of inter-**regionalism** by the elevation of Indonesia's status from the position of observer, to the position of associate member.

The Melanesian Spearhead Group is a classical history of crafting too many endpoints to solidarity through the tenancy of **sub-regionalism**. Melanesian union of interests and purposes seems quite impenetrable. Yet, the same effect of fellowship is not experimental use in the **Pacific Islands Forum**. This makes one wonder: to which point is regional solidarity a trial impression for the Pacific Islands?²⁰

Plentiful official and unofficial respect is conferred to the sub-regional body, considered to be, in finer terms of appreciation, the most puissant organization in the Pacific, through the confining of security issues by the interchange of economics. The two dimensions seem to work rather adroitly for a sub-region that has been functioning not that effectively, in terms of governance and justificatory exercises of authority.

In addition to what has been said, **Polynesia** nests the largest interpolation of islands for the Pacific. **Polynesia** is home to no less than 287 islands²¹. **Polynesia** has insular and oceanic intermissions as characteristics of its geopolitics:

“**Polynesia** [...], one of the three main divisions of Oceania, in the central and S Pacific Ocean. The larger islands are volcanic; the smaller ones are generally coral formations. The principal groups are the Hawaiian Islands (see Hawaii), Samoa, Tonga, and the islands of French Polynesia. Ethnologically though not geographically, **Polynesia** also embraces New Zealand. Malayo-Polynesian languages are spoken in **Polynesia**. The Polynesians were skilled navigators and sailors, and the Pacific islands they settled were often separated by enormous expanses of open ocean”²².

The Polynesian existence in the Pacific Ocean pre-dated the protrusion of the European explorers in the XVIth century. The Polynesian culture is embedded in the rhythm and in the existence of the Ocean²³.

¹⁹ Full membership was not a worthwhile precedence during the talks carried over this year. Nevertheless, important steps have been made to this direction, as *the United Liberation Movement for West Papua* was granted an observer status.

²⁰ It was Fiji who appealed to suspension of talks and dealings with the members of the sub-regional group, to the point of disembarking reasonable negotiations, with the sub-regional group.

²¹ Terrestrially, *Melanesia* has larger portions of habitable land. The calculations have been made with the maritime and terrestrial areas counted down.

²² *Pacific Ocean*, The Columbia Encyclopedia, 6th Edition, Columbia University Press, 2012.

²³ One must hold into account the fact that *Polynesia* -as an administrative sub-division of Oceania – is different from the territories under the exercise of the French colonial authority – *The French Polynesia*. *French Polynesia*, has under its expanse, five important island chains: the Society Islands; the Marquesas Islands; the Austral Islands; the Tuamotu Archipelago and the Gambier Islands.

If **a Melanesian culture** can be aptly debated, **a Polynesian culture** would be on equal footing of contention. The Polynesians encompassed an old-established people of the Pacific, before the arrival of the European explorers²⁴. There are some strong recommendations of the Polynesian as a people, with a successful ambitus of definitions.

On their turn, the Polynesians were laid important sea-work of exploration. They crisscrossed the lanes of the Pacific, pivoting commercial links, on the one hand, and, on the other hand, trying to form establishments on their own. It is quite unaccommodating to include a specific itemization of the ethnic stock that the Polynesians derived from. A theory, with enough ductile considerations, is yet on a too fluid of ground in order to be substantiated as a definitive product of research²⁵. The myth of the intrepid fisherman who constructs in argument the colonizing of virgin surroundings alludes to the spatial construction of bodies of the Polynesian cultural inheritance. Masterminding the art of seafaring entailed a proficiency level in all the activities associated with this diligence. For Polynesians, fishing is thought to have been an even more vigorous operation, than for the other old frontiersmen of the Pacific²⁶. Currently, **Polynesia** has, like **Melanesia**, a sub-regional representation, under the aegis of **the Polynesian Leaders Group**. Its creation was due to explanations of effectivity, on the one hand, and on the issuing of political discussions, in the format of **the Melanesian Spearhead Group**.

It circumscribes: Samoa, Tonga and Tuvalu – as independent Polynesian nations and: Cook Islands, Niue, American Samoa, French Polynesia and Tokelau as territories pendant to extraneous actors. Surely, the constantly intensifying economic exchanges between the countries, together with resource-depletion issues the Polynesian states encounter should have made quicker the emblem of **a Polynesian Group**.

Its quite recent dating, November 2011, indicates the fact that the creation of this forum has been precipitated by previous sub-regional initiatives. It was clear that no enmeshment between the Micronesian, Polynesian or the Melanesian States could be made, within sub-regional level.

The dispersal was utterly stark between the forms of sub-regional organization, which had to show exactly the geographic footprint of all the sub-regional bodies²⁷.

²⁴ The South Pacific did not manifest an important stimulus of discharge for the projectors of *Western Imperialism*. European imperial settlers were late-comers in the Pacific, despite the fact that adventures of exploration began some hundred years ago.

²⁵ Some theories reject the serious amount of expertise that these people might have had, in order to manage such long-durée voyages through the Pacific hubs of communication.

²⁶ The fact that fishing would have to have come at hand for the enduring livelihoods of the early Polynesians is a logical deduction of the aspect that the two had to be exercised coincidentally, to a higher degree for this group of people.

²⁷ In fact, geography and culture were taken to the point where no other vitamins of relation-energizing could be so efficient in order to change this view: the Melanesian states could not have been granted an admission to a form of sub-regional reunion that, through its appellation, manifested an exclusionary outlook.

No Polynesians in *the Melanesian forum*, no Micronesians in the *Polynesian one*. This prohibiting – initiated by the *Melanesian Group* - invited to a strife for rivalry between the three.

The South Pacific would start to handle effectively another sub-regional allegiance, that coalesced to combat the ravages of climate change against the territorial integrity of the Pacific nations, and also in order to confer suitable efforts for the maintenance of peace and stability, as one of the declaration of the group upholds:

“Our Ocean, ‘Te Moana o Hiva’ holds many riches. We strongly affirm that our collaboration with the world’s most industrialised countries can only be possible if they make their best efforts to mitigate their greenhouse gas emissions [...] We, **the Polynesian Leaders Group**, with the support of the international community, commit ourselves to make every effort to preserve the natural and cultural Polynesian heritage and thus become the world’s showcase for sustainable development”²⁸.

The circumstances for the creation of this group were not at all borrowed from the Melanesian one. Of course, rival industries of cooperation was a force of motivation for the reciprocity to be rehearsed, on the Polynesian side. American Samoa and French Polynesia do not enjoy full membership in the wider framework of the **Pacific Islands Forum**.

There is a grain of forward-thinking in the linking-in of this diverse range of actors, in terms of their political status and subsidiary subservience. In the words of Peter Christian, the acknowledgement of the Pacific nations to claim a multiple forbearance of visions is not a new factor in the twists and turns of **the Pacific security**:

“Pacific leaders have a long tradition of playing off rival suitors to get the cargo; we have worked the Chinese and Taiwanese rivalry, the British and the French, the Americans versus the Chinese. There is no reason to think we will not continue to play multiple sides to achieve our aims. Who can blame us? It is only following **the Pacific Way** - to build consensus, be non-confrontational, open to all and tolerant of difference”²⁹.

Nation-building is not a prerequisite for **the Polynesian Leaders Group**. Moreover, Polynesianness³⁰ and its Pacific territorial comprisals strived to include all the indigenous people of Polynesian lineage, as declared before the summit of 2013³¹. The inclusion of different nations under these sub-regional headings can provide impulsion for a more empowering echoing for the voices of liberation. The precedent has proved that a sphere of occupation can risk being contested.

²⁸ “Polynesian Leaders Group – Polynesia Against Climate Threats”, *Papeete*, 16th of July 2015, http://www.finances.gov.pf/files/Polynesian_PACT_EN_15-07-15.pdf, (date of accession: 10th of June 2015, accession time: 19:56 p.m)

²⁹ Peter Christian, "Patriot Games: Island Voices in a Sea of Contest", *Pacific Institute of Public Policy*, Discussion Paper 21, 2012, p.3.

³⁰ The capacity of referring to Polynesian cultural and civilizational traits, as confirming the process of identity-building of a politico-juridical entity. This entity can be a state or not.

³¹ Through the invitation made to the Maori leaders, Hawaiian and to the representatives of the Easter Islands.

The resultants of interactional socialization within a regional and/or sub-regional organization can represent a huge, yet sometimes elusive aphrodisiac:

„France faces ongoing calls for independence in Tahiti and New Caledonia, but its generous support for local infrastructure and investment in culture has split the indigenous population and blunted the nationalist drive. **The Noumea Accord** provides for the gradual transfer of powers from France to the New Caledonian Government, with a referendum on independence due by the end of this decade. Australia was once critical of France in the Pacific, but this has changed and the two governments recently signed a joint declaration on strategic partnership”³².

Somehow, the sub-regional processes need to be made feasible. **The Polynesian Leaders Group** showed that its assertive stance against too much impracticability can warn of possible more serene consequences. Yet, it also holds into esteem the fact that these sub-regional bodies can represent engines of much creativity, that can readjust big power intrusion, in the form of including dependent territories. There are many geographic descriptors of **Micronesia** – one of them includes the fact that **Micronesia** is part of the North-Western Oceania, comprising the Federated States of **Micronesia**, Marshall Islands, Kiribati and Palau, alongside the Mariana Islands³³.

Like the islands of **Polynesia**, the islands of Micronesia face great challenges and vulnerabilities. The capital of sorting out ways for the betterment of the economic and of the social life is constrained to a determinate arrays of activities, related to the subsistence agriculture, to the exploitation of fish resources, especially of tuna and to the insights of tourism – which represents an economic branch sumptuous in easy productivity, yet remarkably compliant to climate dispositions. For this reason, a growing population is not at all conciliatory with the intricate demand for life resources for its entertainment. The Micronesian-culture is an exotic, oceanic prone culture, yet, to the deepest certainty, problem-oriented. The theme of survival is self-assuring in its own right. What is actually the appeal of a culture to exercise unwarranted attraction and be an informant of the life and the people that wear and promotes its raiment?

³² Peter Christian, "Patriot Games: Island Voices in a Sea of Contest", Pacific Institute of Public Policy, Discussion Paper 21, 2012, p.2.

³³ It strives through its remoteness in the Pacific and through a rather restrained demographic growth. The tourism industry no longer has the arm's length capabilities to interact with a beneficial approach with climate change improbabilities. This is due especially to the fact that economic activities are not motivational enough for economic reconstruction to take place, as the land, its disposition, its size and resources are pocket-size opportunities compared to the ravages of climate change. A definition, which is more specified in scientific advance, is offered by an encyclopedic resource: „*Micronesia* (mīkrōnē'zhə, -shə), one of the three main divisions of Oceania, in W Pacific Ocean, north of the equator. *Micronesia* includes the Caroline Islands, Marshall Islands, Mariana Islands (see Northern Mariana Islands and Guam, Gilbert Islands, and Nauru. The inhabitants are of Australoid and Polynesian stock. They speak Malayo-Polynesian languages" – excerpt from: *The Columbia Encyclopedia*, 6th Edition, Columbia University Press, 2012.

For **Micronesia**, the local culture has to be sustained through both sea and land, and, up to this point, no stress-relief attributes are offered by none of these important channels of unsuitable combination of conditions. Economic trends of growth for **Micronesia** did not offer sufficient incentives and stimuli in order to acquire the necessary or, at least, the approvable velocity. Demography pesters the strong recommendations for using living resources for economically-related opportunities- like mining. A land used would imply a shortage of a land that could have been profited by the employment of turning it into a livable space. This situation is seen as a major issuance for all the sub-regions of the Pacific. However, in the case of **Micronesia** the problem stands supreme, due to the small territory, that can be leveraged in order to find solutions to this problem:

„The islands and island states of the Pacific, with the exception of PNG, are small and vulnerable. Many states are isolated and fragmented, with numerous populated islands and, in **Melanesia**, with many distinct language and cultural groups. Prospects for economic growth are limited, especially in **Polynesia** and **Micronesia**, where no island state has a population of more than 250,000. Five island states are officially classified as least-developed countries”³⁴.

Despite the fact that the countries of **the Micronesian sub-division** are not thrust into the laps of poverty, there are not many measures that could be implemented, despite the fact that they are thought of, in the first place structurally and within an institutional formational basis. There is no structural amendment, that could stop forced migration, or could make revenues, diverted from other countries of the expatriates that still have relatives and acquaintances on Micronesian soil and that could improve a state`s resilience against the moodiness of climate and of weather. The exploring of opportunities needs to take into reconsideration the reconstruction of services, first and foremost, for islands, that are always under weather attack risks and that suffer subservience to labor migration, in the manner in which the continuance of the Micronesian workforce occupation is afflicted by the deficit of skilled and highly-trained workers that can choose not to disparage their homeland. Euphemistically, the Micronesian culture encounters plenty of hazards on its way, like the natural ones which affect the competence and the capacity of statehood³⁵. Of course, on a territory small and not intensely occupied, personal networking can be a source of adaptive situation.

The local communities of Micronesia existed on a closely-knit pillar. Nonetheless, there are important problems which concern the core of their effectuality, in case that it proves impossible to cure a gap or subsistence

³⁴ Stewart Firth, *Globalisation and Governance in the Pacific Islands*, ANU Epress, The Australian National University, University Printing Services ANU, Canberra, 2006, p.60.

³⁵ Weather impacts are, by far, the largest and the most extensive province of threats, that need to be taken into account by the manner in which climate-change combat programmes are actuated.

Climate change has security implications upon the likes of the state`s existence and survival rate, not to mention the fact that it remains one huge denotative of security implications.

situation of a family member, of a kin, or, most of all, of some of personal acquaintance. Land ownership is a source of inter-personal dissuading of help – it breeds the necessary resources for livelihood insurance, on the one hand, and, on the other hand, it combats the omnipresent divergence between assets and means – the kind of divergence to which the general public in **Micronesia** is accustomed to.

Micronesia's geographic tenets characterize this geographic administrative division as a territory where the island states can find it very hard to achieve a commonality, in the sense of creating a political community limber enough for all the cultural practices that are hosted in the scattered lands of this sub-region.

The sectionalization we attempted to make earlier betokens a division, that is reminiscent of the colonial transfer of contextual explanations regarding how race and natural segmentation blend in the cultural practices of the people and territories of the Pacific. According to the colonial underpinning and charting of the people and of the territories of the Pacific, the pleadings for race, racial traits, based on a biological fundamental, climate-determined assumption, was part of the clarification purposes for the partition that unveiled the organization and distribution of islanders, according to three political-administrative breaches³⁶:

“The Pacific is routinely divided into three sub-regions that evolved from colonial classifications of the racial-cultural nature of the inhabitants and the geomorphologic type of island. **Melanesia** in the western Pacific was understood to comprise large resource rich islands inhabited by dark “savage people; **Micronesia** in the Northern Pacific was inhabited by people of fairer complexion living on scattered small islands and atolls with limited terrestrial resources but diverse marine resources and, **Polynesia** in the east was inhabited by “sensual hospitable people”³⁷.

The colonists' interest for the Pacific islands improved latterly. It was only in the XIXth century that virtual declarations of colonial expansion were made.

³⁶ Regarding the belief that the indigenous people developed certain traits – such as the shades of color of their skin, the peculiarity of their bodily structures. It was a co-determination between the development of those traits and climate, and, last, but not least, between the modes of behavior, of interaction.

At least, this is what the colonists believe, in the first foresight regarding the management of these islands and regarding the ways of entering into close approximation with their alleyways – in both culture and practice. For the colonial thinking, race was a transporter of actions and developments.

This general pronouncement finds enough pointedness, for the specialised situation of the remote islands of the Pacific.

Not being the object of interest for the colonial chartering of the world, these islands had enough time to develop in progression elements of indigenous life, uninterrupted by the mingling of extraneous forces.

Colonialists designated the association between race and culture, in order to explore tapering for the conserving of influence and for the production of comprehensible patterns of thinking, that could intercede aptly with colonial planning and colonial cordage of policies.

³⁷ Jocelyn Linnekin, Lin Poyer, *Cultural Identity and Ethnicity in the Pacific*, University of Hawaii Press, Honolulu, 1990, p.2.

Three extraneous powers modified the nature and the genealogy of island life in the South Pacific, beginning with this period: Germany, France and Great Britain. Based on *the principle of competitive inhibition*, after Great Britain established sovereignty over New Zealand, alternative colonial claims were being made, with France establishing sovereignty over the Marquesas Islands and enacting a colonial dependency in Tahiti. This was issuant with the move made by the Dutch when Western New Guinea fell under their collateral sway³⁸. **Colonialism**, for the South Pacific, represented a milieu of disorganized spaces³⁹. Territorial retribution was used as a switching card between the colonial dominions: a territory could be yielded to another power for multiple justifications. Territorial arrangements were rather shifting in the formative period of colonial undertakings in the South Pacific. The watershed moment – when the map of allotments was finalized – was the onset of World War I:

„On the eve of World War I, the division of the South Pacific islands among the Western powers was complete. Britain, France, Germany, and the United States were the South Pacific colonial powers as the twentieth century opened; Australia and New Zealand were soon to inherit some of Britain's colonial responsibilities. After its defeat by the United States in the Spanish-American War, Spain had given up all its claims in the region, not only ceding Guam to the United States but also ceding its claims in the Caroline and Marshall Islands to Germany in exchange for financial compensation. In Hawaii and New Zealand the indigenous Polynesians were now small minorities, in Hawaii already outnumbered by migrant Asians; in both Europeans dominated politics and economics”⁴⁰.

In the molecular phase, **colonialism** was stipulated and huckstered with local authorities. The element of chieftom – which has outlived pre-colonial times- factorizd the distribution of authority. The divulgence of chieftainship was different across the Pacific. Several categories of local chiefs exercised authority depending upon the administrative sub-division, the territories they had under

³⁸ Asia and Africa offered reposed as paramount targets of *colonialism*. The drifting oppositeness between France and Germany was not defiantly new. Aggregating in the same matter of colonial thirst and competition could find new addition in Germany.

Predicating the same colonial policies, as the well-established juggernauts fell under the tremendous responsibility of Germany for the fortification of its role and status in the world, as a freshly unified country and as an independent, important, actor in the system of International Relations. In this respect, acquiring colonial possessions had a more urgent longitude for Germany.

³⁹ *Colonialism* is usually revered for its power and capacity of instilling order in places, where there was none and for providing an important range of ordinances, where there were none.

In the South Pacific, however, *the contending forms of colonialism* coexisted in the manner in which there were times when rivalry was abandoned and when exchanges between colonial possessions, due to the structural, global conditions of the colonial actorness in other places of the world, attempted to compensate the incapacity of entertaining overstrech and opt in favour of ceding important territories to the colonial powers, that could invest, in their turn, into the preservation of their inexorable empires.

⁴⁰ Evelyn Colbert, *The Pacific Islands: Paths to Present*, Westview Press, BOULDER CO, 1997.

their assent and the traditions of each piece of land. The pecking order of island life was not turned upside down by the entrance of colonial administration. Some power structure was kept in place, as the emerging class of new leaders concocted maneuvers to brim over and make colonial authorities re-evaluate their strength and ascendancy. Everything depended upon the degree in which the local chiefs were palatable to colonial impositions and the other way around. This co-dependency worked, up to a certain point, a relative tenure. It all rested upon how tycoon-like the purposes of colonial expansion were. For instance, in New Caledonia, France projected a somewhat cvasi-total disturbance of colonial life, to the disbursement of local branches of authority⁴¹.

There is no stimulation of affective effects regarding the dispossession of resources and the attitudes that people could embrace, if this situation would be experienced by someone close to them. The agricultural activities require room for expansion. Housing needs important governmental planning in order to underline new center of creations. Yet, all of these can come to a standstill if the availability and the affordability of resources (land or maritime) is creeping into such a bad state. Yet, the imperfect solutions and the adamancy to maintain their application is something of a habitual response of the Pacific states' governments to the net of insecurities challenging the livelihood of resources, living standards and quality of life in the Pacific Islands.

The combo between the regional and the global pressures for the Pacific Islands is unnaturally tantalizing for the prospects of the future of the inhabitants of the Pacific Islands, on the one hand, and for the conditions that enhance security arrangements. The deepest truth about the Pacific Islands is that the capacity limitations have not been de-phased by an improved artistry of innovation and governance methods. **Individuality** has not been a tradition of the Pacific cultures. Moreover, it is quite an attention-engaging of an aspect how the Pacific cultures of amity, search for harmony and little fillip towards the perpetuation of antagonisms, have not distributed mechanisms of sorts that could be problem fixers, for the long-term. **Insularity** is thought to be the triggering device of aloofness, lack of intrusion and outgoing distance from cooperative endeavors. This fact was and is not quite provable for the case of the islands of the Pacific and for their stimulants towards discharging a more impelling authority to supranational bodies, that could and have to work on their behalf. An innate sense of solidarity is not, at all, applied commonly to the manner in which the islands have made a propulsive turn towards **self-rule**⁴². It is quite true that the ranking results of the endeavors associated to such an outcome are crumpets of a politically-minded outlook. In an interesting study produced by Elis Huffer, **regionalism in the Pacific region**, as envisioned by the island states of the Pacific, is thought to have been closer to a campaign of the political mindset and to the immediate social needs, than to the aim of

⁴¹ The modern-day Kanak cries for independence in New Caledonia serve as an intriguing justification for the comprehensibility of how *French colonialism* worked.

⁴² Whether this *self-rule* was created independence as a property possessed for the coming future, or as an inducement to use sovereignty for the creation of projecting a region formally, dialectically and with plenty of on-road involvement.

creating the desired make-up of **regionalist entendre upon the Pacific. Regionalism in the Pacific**, despite the paucity of evidence regarding relations of discord betwixt the countries of the Pacific Oceania, has not been tempted into creation by **the uniting power of culture**. For all that is worth, culture is a prerequisite of action of sorts of deeds, and the sheer political will cannot be extradited from the stale idealism of such a pursuit.

Huffer reckons that Pacific culture could have represented a very powerful tread for the regional countries, to a greater rung than just a quintessential campaign of political purposes. As Huffer has it, the Pacific countries have lacked the provocative history of inter-state regional wars. Colonial occupation⁴³ in the Pacific was a belated outcome. As we will argue beyond these observations, independence was a two-edge sword for the people of the Pacific. It was an utterance professed by the global goading of emancipation movements, on the one hand, and, on the other hand, it was a new-found position of assuming political and juridical burdens, without having previously been steeped with well-versed competencies for such a purpose. For the perspective of the linked series between power and culture, in a study, directed by William Sutherland, some forms of collaboration between civil society and regional structures were the object of a quantitative research pursuit, in the format of direct dialogues:

“Participants were asked to find strategies to increase community engagement in **regionalism**. Four forms of engagement were suggested: **direct engagement** - where ‘community representatives ... engage directly with regional organizations’; **engagement through Regional Representatives** - that is, ‘through representatives of national associations of community groups or through regional umbrella organizations’; **engagement through Regional Liaison Units i.e., ‘the formation of “regional liaison units” through which the community could work**; and ‘**engagement through a Pacific parliament**’⁴⁴.

The sum of rationales, lying behind the cause of assumption of detecting the ground where politics meets culture and where culture can meet politics, gives the interpretation of restating the need of listening to the public perception where this is needed. Elis Huffer finds the interposition of public perception most delivering of discussing for the objective of culturally suffusing the **Pacific regionalism**:

“Although our focus here is not on strengthening regional cooperation but on encouraging the region and its institutions to better integrate cultural norms and practices, the suggestions listed above provide some ideas about implementing a ‘political track’. Which of these would be most

⁴³ Colonial occupation introduced the recommendation of patrons and of patron-like dispositions for the Pacific states. The Pacific states grew accustomed of being able to take decisions, with security and, sometimes, economic guarantors in the background. For the Pacific Oceania, of course, the image of sponsors cannot, but be awarded to New Zealand and Australia.

⁴⁴ W. Sutherland, R. Robertson, I. M., Koloamatang, T. Kabutaulaka, “Strengthening Regional Cooperation Through Enhanced Engagement with Civil Society”, 2005, Suva, *PIAS-DG*, USP.

likely to promote the valuing of cultural identity at the regional level? The simple answer for present purposes is: all or any of the above”⁴⁵.

In the Pacific, the local communities are tinged with a whole array of principles and of permeating norms of conduct, of the fusion of the social cells and of their soaking in more elaborate social structures. Telling apart a special sort of **regionalism**, as it has been so magisterial in the Non-Western space, is something that now the **Pacific Islands Forum** is faced with:

“**The Forum** is still centered around the annual leaders’ meetings, where heads of government meet in an informal setting to discuss regional issues. The leaders release a non-binding Forum Communiqué at the conclusion of their meeting. The themes in recent years’ communiqués have been economic reform, security issues, fisheries, nuclear testing, radioactive waste and environmental issues (from sea turtles to reefs to forests to biological diversity in general). Communiqués will often note and discuss problems, or note progress, or lack of progress, on particular issues. More rare is a program to solve the problems” (Peebles, 2005:2).

It is very hard to include in scope the embodiment of other features of regional cooperation, as they can be treacherous and observe lapses of action and intervene where **regionalism** fails to do so. Or, as represented by disquieted members, they can apprehend the enthronement of more power given to the regional postulating. At the same time, they can aid in understanding the development of **regionalism**. There is no particular closure between the window of opportunity where **regionalism** starts multilaterally and the point where **sub-regionalism** is started minilaterally.

Concluding Remarks

The South Pacific is a compound of narratives! The **sub-regionalist** ones seem to be the richest in details and information-giving! In regions like South Asia, or Southeast Asia! The regionalist narratives are utilized in order for analysts to take the pulse of a region. Certainly, in the case of these regions, the natural determinations of their performance would take for granted the fact that the regionalist schemes determine the pace of the region and they outperform the narrower sub-regionalist enterprises. In the case of the South Pacific, the **sub-regionalist schemes of cooperation** can spark an unpredicted sum of potencies. They will not just partner in progress with the **regional initiatives** and simply footnote their agency.

In the South Pacific, **the regional forum**-in the form of the **Pacific Island Forum**⁴⁶- was initiated and is also undertaken, amongst others, also by the tone of **the sub-regional setting**. **Regionalism** has a multilateral

⁴⁵ Elis Huffer, Regionalism and Cultural Identity: Putting the Pacific Back into the Plan”, Chapter 3 in: Stewart Firth, *Globalisation and Governance in the Pacific Islands: State, Society and Governance in Melanesia*, Studies in State and Society in the Pacific, No.1, ANU E University Press, Canberra, The Australian National University, 2006, p.51.

⁴⁶ Founded in 1971 as *the South Pacific Forum*.

proportion and fellowship. It expands upon the idea that **multilateralism** is the negator of **bilateralism**, or at least, of the following of pinching interests, on the basis that **multilateralism** can work without too many enhancement forces. **Sub-regionalism** can represent, to the highest degree, an expression of **the bi-multilateral sequence of coordination**. The cuirass of two actors, of two kinds of agency, implies the fact that both of them have done plenty of soul-searching in advance, before deciding to engage bilaterally. This is why **sub-regionalism** is attached to so much importance: it can coalesce a belie against **regionalism**, or it can represent its supportive buttress. For the island-states of **Micronesia**, **Polynesia** and **Melanesia**, **sub-regionalism** is in stark eloquence with the fate of their actorness and its tenure becomes antological.

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NEOLIBERALISM AND THE ASCENDANCY OF THE MARKET-BASED MODES OF GOVERNANCE

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Abstract: *The article aims to investigate the influence of current neoliberal theory and policies on restructuring the European model of welfare state and analyses of different types of neoliberal policies both in terms of concrete actions and types of discourse through which are underlined the supposed benefits of the de-regulation model of the European state and its replacement with one based on the supremacy of market mechanisms. Particularly, the analysis focuses on the “narrative” discourse of de-regulation, privatization and social austerity that had been used to justify the abandonment of policies specific to welfare state and the full introduction of mechanisms of free market including on the labour market by dropping the “safety net” for the labour force from The European states.*

Keywords: *neoliberalism, welfare state, de-regulation, crisis, market fundamentalism*

“To allow the market mechanism to be sole director of the fate of human beings and their natural environment...would result in the demolition of society”.

Karl Polany,
The Great Transformation,
Beacon Press, 1944

More than 50 years ago, the European economy was divided and “balcanized” into closed national economies and was separated by a gap set by the Iron Curtain, while the contemporary Europe has been more and more integrated. Together with the collapse of the soviet block, the separation between the East and the West disappeared and the counties of Central and Eastern Europe have been gradually incorporated into the Western European economy being encouraged to emulate the economic systems of the West. Fifty years ago, Western governments developed national economic strategies that they implemented by directing the flows of capitals and they based their macroeconomic governance on close cooperation with the unions and the business within capitalist economic systems of the mixed economy, market social economy and welfare state type. In the modern world, the market “escaped” the “constraints” which had been imposed on of Keynesian type and the result has been the social partnership between the government, unions and the business. In this “new ” world of unleashed capitalism, the governments have limited options

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and means through which they can control the effects resulting from the functioning of unlimited market mechanisms. In Europe, on the one hand, the governments adopted more and more “friendly” market policies, and, on the other hand, they transferred additional powers to the European Union hoping that this way by shortcutting the national state, they will be able to recover, at least, a moderate control over the unfolding of the economic and social events on the continent. Nevertheless, if from this perspective, modern Europe is radically different from that of 50 years ago, from the tripartite perspective (government-unions-business) of the institutional and welfare state, with deep values of western Christian and social democracy, a remarkable continuation could be observed through the fact that these social networks are difficult to change. But at the same time, these institutions, ideal in a period of extensive economic growth, must be adapted to a new post-crisis age. In political economy, as in the physical one, any action provokes a reaction. Globalization and the huge impact of impersonal global markets on the European model of society have had a wave of reactions coming from European politicians that have been worried by the “invasion of global financial locusts” that suck the blood of the European society. Moreover, the extension of the European Union’s bureaucracy has provoked an extremely negative reaction of all the actors that felt that their autonomy has been threatened, while the optimism on the innovative ability of Europe left space for scepticism regarding the ability of the competent to compete with the United States in the development of new technologies¹.

In the last decades, neoliberalism has been one of the most important forces that contributed to redrawing global architecture of the economy and starting with 2007, the huge impact of neoliberalism on the European model has intensified together with the entrance into the Great Recession that created new opportunities for the promoters of the Anglo-American economic and social model. As the growth of production and productivity has been higher in the United States than in Europe, at least, in the last decade, the perception according to which this tendency will remain leaving the European economy behind the United States has created a crisis of the European model in the view of many experts and it will force Europe redesign its social and economic institutions by adopting the Anglo-Saxon model. On the other hand, in terms of relatively recent economic history, the abandoning of the European model and adopting the Anglo-Saxon one could be questioned, as in the 19080s, for instance, there were popular the views that Japan whose economy was in full development and was conquering one market after another would overcome the United States, which, in order to face competition, should have to rebuild its institutions following the Japanese model. Also, in the first half of the 1990s, when productivity grew more rapidly in Europe, the arguments were that the United States should rearrange its economy using the European model by abandoning the absolutization of the free market mechanism, and by focusing primarily on industrial and vocational education policies. Currently, we know that both examples of “envy” of the systems are not in fashion and are not

¹ Barry Eichengreen, *The European Economy Since 1945. Coordinated Capitalism and Beyond*, 2007, Princeton University Press, Princeton, p.425.

current and Barry Eichengreen observed, it is obvious: “for anyone encountering forceful statements of American triumphalism and Eurosclerosis, history is a reminder that this too shall pass”².

The process of integration of the European Union has become in the last quarter more and more dominated by an economic discourse inspired by the neoliberalism that focuses on mainly on economic growth. The economic restructuring of the European Union started with the launch of the Common Market Program in 1985, a project that provided the liberalization and deregulation of national markets as a part of the process of generalization of free movement of goods, services, capital and people. This direction was even more stated by the adoption of the Economic and Monetary Union (Economic and Monetary Union / EMU) that introduced convergence criteria that included the compulsory maintaining in case of member states of a low level of national debt and budget deficit under the agreed level in Europe, simultaneously with the restating of the independence of the Central European Bank, the main goal of which at that time was the stability of prices that was favoured to other objectives. Later, the Lisbon Strategy continued these tendencies and focused most entirely on the market³. Even though, the so-called social dimension of the European Union differentiates it from the American economic and political model, the introduction of these measures can be seen as part of the “market-building” process⁴ using the American model or in Bastiaan van Apeldoorn’s terms, at least, “the compromise of embedded neoliberalism”⁵. Promoted by the transnational European and global capital, this compromise took the shape of the *New Political Economy* characterized by the neoliberalism of American influence but also including a set of concessions regarding European industrial and social policies in order to extend the support base beyond transnational capital⁶.

The neoliberalism is a separate political economy theory having at its core the idea that “human well-being can be best advanced by liberating individual entrepreneurial freedoms and skills within an institutional framework characterized by strong private property rights, free markets and free trade”⁷. Based on monetarist theory and research of Milton Friedman, this theory focuses on maintaining macroeconomic stability through opposition with the goals of

² Barry Eichengreen, *The European Economy Since 1945. Coordinated Capitalism and Beyond*, 2007, Princeton University Press, Princeton, p.413.

³ See Andreas Bieler, *The Struggle for a Social Europe: Trade Unions and EMU in Times of Global Restructuring*, Manchester: Manchester University Press, 2006; B.S. Hager, “New Europeans” for the “New European Economy”: Citizenship and the Lisbon Agenda’, 2009 in B. van Apeldoorn, J. Drahokoupil and L. Horn (eds), *Neoliberal European Governance and Beyond: The Contradictions of a Political Project*, Basingstoke: Palgrave, 2009.

⁴ See S. Leibfried, *Social Policy*, in H. Wallace and W. Wallace (eds), *Policy-Making in the European Union*, 5th ed., Oxford, Oxford University Press, 2005.

⁵ See B. van Apeldoorn, J. Drahokoupil and L. Horn (eds), *Neoliberal European Governance and Beyond: The Contradictions of a Political Project*, Basingstoke: Palgrave, 2009.

⁶ Andreas Bieler, *Labour, New Social Movements and the Resistance to Neoliberal Restructuring in Europe*, *New Political Economy*, 2011, 16:2, 163-183.

⁷ David Harvey, *A Brief History of Neoliberalism*, Oxford University Press, Oxford, 2005, p.2.

Keynesian policies of employment and reduction of poverty. Political philosophy underlying modern neoliberalism is based on criticism of state interventionism initiated by Friedrich von Hayek⁸ (1944) and states that the only legitimate role of the state is to ensure safety and freedom of the individual to do business and protect firmly the property right. In other words, it promotes *a rolling back the state* and the creation of a society governed totally on market mechanisms. But, even though, traditionally, the market is defined through the absence of state intervention, it is known that markets are not natural phenomena that appear inevitably but as shown by the entire economic history of capitalism, these must be “created” / invented, directed and secured. From this perspective, the neoliberalism contains in its core a self-contradicting theory given that the *laissez-faire* type of policies cannot and could never be introduced in the absence of the state. Therefore, the neoliberal mantra of “*less state*” is illusory, as neoliberalism leads to, at least in the initial stages and not necessarily in the open interventionist forms promoted by other political economy theories to increase of state intervention into economy and not to diminishing of its role⁹.

In the past 25 years, together with the end of the Cold War and the collapse of the former soviet bloc, the principles of marketization, privatisation and deregulation have been extended to the Northern countries and the Global South. Originating in political and economic projects of the Thatcher-Reagan age, this type of *statecraft* has been refined and completed towards qualitative rearrangement of relationships between the state and economy through varied repertoire, many times experimental, of economic and social policies. Even though it always promotes *market-oriented policies*, the neoliberalism is neither a homogenous or unified theory, having different versions, each of them resulting from the interpretation of the main idea that market mechanisms are the best way to organise all exchange operations of products and goods. Starting from the 1970s and the beginning of the 1980s, there has been a global diffusion of market-based governing methods and the policies inspired by neoliberalism have begun gradually to be adopted by parties being in totally different political areas, having as a consequence that the support and adhesion methods have been disparated, fragmented and took different forms. The neoliberal approach to political economy has changed over time, the general attitude to welfare state has shifted from a general consensus on the existence of safety net for individuals with no or low income to a more punitive perspective that focuses on self-sufficiency and social Darwinism on the labour market. Even though the impact of neoliberal thinking has been huge, there still exist key regulations in the European Union that operate on national labour markets that suggests the fact that: “*unevenness in the neoliberal project, which abnegates any suggestion of neoliberalism as a universal, totalizing and inevitable process*”¹⁰.

⁸ See Friedrich A. Hayek, *The Road to Serfdom*, 1944.

⁹ Kean Birch, Vlad Mykhnenko (editors), *The Rise and Fall of Neoliberalism. The Collapse of an Economic Order*, Zed Books, London & New York, 2010, p.135.

¹⁰ Julie Macleavy, *Remaking the Welfare State: from Safety Net to Trampoline*, in Kean Birch, Vlad Mykhnenko (editors), *The Rise and Fall of Neoliberalism. The Collapse of an Economic Order*, Zed Books, London & New York, 2010, p.132.

The modern neoliberalism is a new stage of capitalism that appeared as a result of structural crisis of the 1970s and it has numerous versions that proved to be extremely adaptable to specific economic and social contexts. Gerard Dumenil and Dominique Levy believe that modern neoliberalism is the expression of a strategy of capitalist classes allied with top management, especially in finance, whose goal is to strengthen their own hegemony and global expansion. Before the Big Contraction of 2007, this strategy seemed to be successful, ensuring the attainment of its main goals, namely, the continuous growth of income of a privileged and rich minority dominating the global economy in general and, specifically, a set of important countries of the Global North. But, add the two cited authors, the global economic crisis has been the consequences of inherent contradictions of these strategies which denotes a true “*crisis of neoliberalism*”¹¹.

Modern neoliberalism has at its core the „economist” vision of the world, the doctrine viewing globalization as an essentially an economic process, something that is linked to production, exchange and consumption of resources. Therefore, neoliberal policies rely mainly on economic analyses and the cultural, environmental, geographical, political psychological aspects are generally viewed as less secondary deriving also from the economic ones and this only if they are at least considered. The neoliberal theory has always had the tendency to treat economic issues in isolation to other social dimensions and, especially, the doctrine starts from the assumption that economic policies that favour globalization are an issue of technical expertise being neutral from a political and cultural point of view. Therefore, the neoliberal doctrine is universal being applied globally and the economic policies inspired by it always recommend that the intensification of global economic relations should require a *laissez-faire* type of approach, privatization, liberalization and de-regulation. In general, related to neoliberal project of globalization took the form of economic history research analysing gradual evolution of the new post-war economy after the Bretton Woods Convention of 1944. In the post-war period, under the pressure of the United States, big world economic powers decided to reverse the protectionist policies that dominated the post-war period and engaged in the process of expansion of international trade. Main results of the Bretton Woods Conference include limited liberalization of international trade, setting rules of international business and creating a stable international monetary system, in which to the value of each national currency was linked to a fixed value in gold of American dollar. Within these pre-established limitations, each nation was free to control „the permeability” of its national borders that allowed them to set their own national economic agendas. Also, the Bretton Woods Conference set the foundation of the three international economic institutions: the International Monetary Fund put in charge with the administration of the international monetary system; the International Bank for Reconstruction and Development, initially aimed to provide loans for post-war reconstruction of Europe and later in the 1950s, its role had been extended to financing various industrial projects

¹¹ Gerard Dumenil, Dominique Levy, *The Crisis of Neoliberalism*, Harvard University Press, Cambridge, Massachusetts, London, England, 2011, p.1.

in the developing countries; the General Agreement on Tariffs and Trade became in 1947 the main global trade organization whose aim was to eliminate free trade barriers; founded in 1995, The World Trade Organization became the successor of GATT¹². For almost three decades, the Bretton Woods system contribute largely to the instauration of what Edward Luttwak called “*the Golden Age of Controlled Capitalism*”¹³, a period characterised by the existence of a control mechanism of national states on international flow of capital, it made possible almost full employment, the expansion of welfare state and a provision of extended social services in the context characterized by increase of salaries and income, it contributed to the establishment in the Global North of a temporary compromise between social classes.

In the 1990s, both philosophical foundations and economic policies of neoliberalism were in the midst of intense ideological debates, the controversies on the „real” effects of globalization have continued up to now. Most economic globalization research believes that the acceleration of integrationist tendencies of world economy took place at the beginning of the 1970s on the background of the collapse of the Bretton Woods system. In 1971, as an answer to deep changes in world economy that undermined the competitiveness of industries based in the United States, the American President, Richard Nixon decided to abandon the international monetary system on gold-dollar fixed rates. Later, the combination between new political ideas and economic developments – high inflation, slow economic growth, high unemployment, public deficits, two oil shocks in 1973 and 1979 – led to spectacular victories in elections of conservative parties in the United States and the United Kingdom. The American republicans and British conservatives gave a decisive impulse to the neoliberal movement of international markets expansion, together with simultaneous de-regulation of national financial systems, gradual elimination of capital flows control and promotion of the growth international financial transactions. In the following three decades, neoliberal economic and political ideas rapidly spread from their original Anglo-American core to the rest of the world, this dynamics of dissemination being largely facilitated by independent and mimetic behaviour of national states being under the influence of the core¹⁴. Throughout the 1980s and 1990s, the neoliberal efforts to create a common global market were intensified and favoured by a set of major agreements of free trade liberalization that had as an effect the increase of cross-border flows of economic resources. Moreover, being for more than a decade in full development, it gained additional legitimacy together with the collapse of planned economies in Eastern Europe and Soviet Union in 1989 and 1991.

The post-war economic consensus on Keynesian principles have been replaced in the last decades with theories of free market based on works of

¹² See, for example, Robert K. Schaeffer, *Understanding Globalization*, 2nd Edition, Rowman & Littlefield, Lanham, MD, 2003.

¹³ Edward Luttwak, *Turbo-Capitalism: Winners and Losers in the Global Economy*, Harper Collins, New York, 1999, p.27.

¹⁴ Robert Gilpin, *The Challenge of Global Capitalism: The World Economy in the 21st Century*, Princeton University Press, Princeton, 2000, p.65-75.

Friedrich von Hayek¹⁵ and Milton Friedman¹⁶, who became the founders of the new economic orthodoxy promoting the reduction of the role of welfare state, the government and de-regulation of economy. The focus on monetarist measures of fighting inflation led to the abandonment of Keynesian goal of full employment for the creation of more „flexible” labour markets. At the same time, dramatic change of the world, from the one dominated by the state to a world dominated by the market has been accompanied by the technological innovations that led to massive decrease of transport and communication costs and it triggered international trade whose amount increased, for instance, from 57 billion dollars in 1947 to over 6 trillion dollars in the 1990s¹⁷. In addition, along with the revigoration of international trade, there are two other key aspects of economic globalization that are related to changing nature of production processes and liberalization and internationalization of global financial transactions and this made a lot of analysts believe that the appearance of transnational financial systems is the main feature of current global capitalism. Key elements of this system are de-regulation of interest rates, elimination or, at least, reduction of control in lending and the privatisation of banks and financial institutions held by the state. The process of financial globalisation has been dramatically accelerated at the end of the 1980s together with the de-regulation of „*capital and securities*” markets in Europe and the United States; this allowed a higher mobility among different segments of the financial sector in a context with highly reduced restrictions and global business investment opportunities. Moreover, innovations and positive developments in data processing and technology contributed to explosive growth of global financial flows, liberalization of transnational transactions being even more accelerated together with the appearance of a real global nervous system based on new satellites and the Internet¹⁸. As a result, millions of individual investors use global electronic networks not only to profit from investment opportunities but also find out valuable economic information about relevant economic and political developments in a world where individuals run business in an extremely rapid pace, almost at a speed of thought. (*business@the-speed-of-thought*)¹⁹. In the first years of the 21st century, businesses in the virtual reality, of the e-business, dot-com type and other businesses involving virtual participants in an economy based on information technology have traded almost half a trillion dollars on the web only in the United States.²⁰.

¹⁵ See Friedrich von Hayek, *Law, Legislation, and Liberty*, Routledge & Kegan Paul, London, 1979.

¹⁶ See Milton & Rose Friedman, *Capitalism and Freedom*, University of Chicago Press, Chicago, 1962; see also Milton & Rose Friedman, *Free to Choose. A Personal Statement*, Harcourt Brace & Company, Chicago, 1979.

¹⁷ Robert Gilpin, *The Challenge of Global Capitalism: The World Economy in the 21st Century*, Princeton University Press, Princeton, 2000, p.20.

¹⁸ For a detailed discussion on this topic see, for example, Thomas L. Friedman, *The World is Flat. A Brief History of the Twenty-first Century*, Farrar, Straus and Giroux, New York, 2006, p.35-119.

¹⁹ See William H. Gates, *Business at the Speed of Thought: Using a Digital Nervous System*, 1st Edition, Warner Books, 2000.

²⁰ Manfred B. Steger, *Globalism: Market Ideology Meets Terrorism*, 2nd Edition, Rowman & Littlefield Publishers, Lanham, Boulder, New York, 2005, p.30.

Nevertheless, a main part of traded money involved in the expansion of markets are not allotted for supplementing the capital for productive investments, not being invested in increasing production capacities, raw materials or employment in order to produce goods and services. The main part of the volume of growth of these markets is due to purely money dealing, currency and security markets speculative transactions meant for future profit making. Speculators and global dealers gain being helped by new communication technologies and spectacular income getting advantage of less regulation in the financial and banking sectors, especially in the emerging and developing markets. In the context in which capital flows can be easily reversed, these could create artificial cycles of the „boom and burst” type that threaten the welfare of an entire region. Economic disasters of this type have been the economic crisis in South-East Asia between 1997-1998, created by unregulated speculative flows of capital and crises in Russia in 1998, Brazil (1999) and Argentina in 2000-2003. But, the crisis that started as „the subprime loan crash” in August 2007 in the United States will remain a turning point in the history of capitalism, provided that right from the beginning the financial collapse took unexpected size and later the shock weakened a fragile financial system that had been built in earlier decades in a way that it destabilized the whole real economy, and, therefore, starting with September 2008, it became obvious the capitalist system enters into a deep and persistent crisis, the New Contraction reminding the Great Depression of 1929-1939. The Great Contraction of the current capitalist system imposes the revision of regulation structure of economic, legal and political systems worldwide. At the European Union level, apart from issues generated by globalization of markets, issues of energetic security, free movement of people and uncertain future of the welfare state as a specific model, of the continent, it has been the greatest challenge that it should cope with from its foundation up to now. Therefore, in the near future, the meaningful discussions on the future structure of the European Union will be difficult to avoid.

Globalization is mainly a political process of convergence²¹ („a political process of convergence”), and its core elements are more and more obvious in the neoliberal discourse and practice and in the attempts to restructure political institutions and practical steps of the competitive state. The economic dimension of globalization is the necessary condition but it is not enough to create changes in one or another direction and, moreover, it creates a situation of multiple equilibrium from which political, economic, social systems or other alternatives could evolve. Nevertheless, within this diversity, contemporary neoliberalism not only became a hegemony but also became a brutal orthodox version of the market in the 1980s in its attempts to innovate some formulas of redefining the relationship between the state and the market under the name of „social-liberalism” in the 21st century. The majority of discussions related to globalization are centered on global economic changes worldwide that include: globalization of financial markets; expansion of global trade that is more rapid

²¹ Susanne Soederberg, Georg Menz, Phillip G. Cerny (eds.), *Internalizing Globalization. The Rise of Neoliberalism and the Decline of National Varieties of Capitalism*, Palgrave Macmillan, New York, 2005, p.2-3.

than the growth of production; internationalization of production chains, especially due to multinational corporations operations; expansion of direct foreign and portfolio; new technology development that creates direct links with transnational communication and information networks; higher visibility of international regimes tendencies and the so-called “global governance” (*global governance*) to solve dislocations generated by globalization by promoting “structural adjustments „in economic terms and the implementation of which takes into account purely economic tendencies. In this context, political institutions, actors and regional, national and sub-national processes were constrained by these economic tendencies to adopt convergent trajectories to conform with neoliberal economic policies.

From a general perspective, economic policies promoted by modern neoliberalism include the “freeing” of markets, limiting the role of the state in industrial policies and reducing the welfare state (the assistance state in the neoliberal terminology), privatization, financial orthodoxy and the fight against inflation, and also, a change of control on the government by its own voters towards different less formal transnational governance methods that offer to big competing transnational corporations a privileged position that should allow them to exert a high influence on national institutions, inter-state economic processes and on the role of state in that nation. In this context, even though the economic constraints and different contextual opportunities can make national political actors adopt different paths towards privatization and operate in a largely divergent range of choices in order to run and shape the change in accordance with neoliberal policies, all these belong to globalization. Therefore, although there is some space for action for the national governments, the trajectory is irreversible in the context where the return to a world whose main actors should be abstract sovereign national states, able to adown their own national economic and social models depending on their own integrating conceptions related to social justice, natural hierarchies, social corporatist agreements, eternal values and so on. Specifically, economic crises and the collapse by them undermine ideas according to which national sovereignty creates political stability, democratization and wealth. International economic interdependence determined the abandonment to a certain degree of indigenous national economic development strategies and the priorities of the welfare state, in favour of policies promoted by the “modernising” elites of integrating into a post-Fordist world, more “open” and “flexible”. In this context, the state is not just “withdrawn”, but from many perspectives, it continues to develop and exercise its authority²². What is different is the fact that the way it exercises its authority is changing, instead of giving priority to allocating benefits by the welfare state policies, instead of supporting and holding property of strategic national industries and infrastructure services, instead of having as its main

²² Susan Strange, *The Retreat of the State: The Diffusion of Power in the World Economy*, Cambridge University Press, Cambridge, 1996.

objective full employment in Keynesian sense and redistributing resources among individuals and social groups, it is more and more a competition state.²³

Therefore, while this process of change is from many perspectives a challenge for the nation-state as it developed in the 19th and 20th centuries, in sense that it causes a withdrawal and/or diminishing of its role on many levels, on the other hand, it could contribute to significant expansion of and strengthening of power and old resources and/ or a new involvement of the state by substitution of regulation by redistribution, the focus being on attracting foreign capital and not on its discouraging, on privatisation and marketing of economic and social operations and by adopting and introducing new cross-border institutions and practices. This type of change is *“not monolithic but often fragmenting, pluralizing, and experimental – necessarily driven by short-term as well as medium – and long-term political priorities, often flying blind with only untested theories and hunches to go by, and characterized by attempts to reconcile perceived global “realities” with the real constraints of domestic pressures, interests, and values”*²⁴. And this because as Jean-Paul Fitoussi emphasized: *“economic integration brings openness. Openness triggers volatility. Volatility fuels insecurity. Insecurity requires protection. The central problem of globalization, now and then, is thus how the demand for protection resulting from economic, social and environmental insecurity is met. This is the reason why the most urgent tasks for governments in the world in which we live is to devise the future, in a way to invent it to unveil what is considered by a large majority of our fellow citizens as an obscure road towards tomorrow. If the present fog continues to prevail, we will have great difficulties to be actors of our own destiny. In other words, we need new utopias to show the way. These utopias, unlike ideology and religions, have to be sustainable on earth... By sustainable utopia, I mean a system which is both feasible and acceptable. For example, globalization as a process is a feasible utopia, but for a large section of the population is not acceptable, because of the huge inequalities – both between countries and inside countries – it apparently leads to. If we try to disentangle rhetoric from reality, globalization is not exactly what we think it is. In effect, we have to recognize from the outset that the phenomenon of globalization is happening in a world populated by nation states without emptiness in between the Nations. And what could be the function of a nation if not to protect its population? More than ever the nation states of the world are alive and well: the hyper power of the United States, the super power of Europe, Russia, China, India and the like. Hence the rhetoric of globalization clashes with the reality of the phenomena as power and protection are putting strict limits on the interplay of free markets”*²⁵.

²³ Susanne Soederberg, Georg Menz, Phillip G. Cerny (eds.), *Internalizing Globalization. The Rise of Neoliberalism and the Decline of National Varieties of Capitalism*, Palgrave Macmillan, New York, 2005, p.4

²⁴ Susanne Soederberg, Georg Menz, Phillip G. Cerny (eds.), *Internalizing Globalization. The Rise of Neoliberalism and the Decline of National Varieties of Capitalism*, Palgrave Macmillan, New York, 2005, p.5

²⁵ Jean-Paul Fitoussi, Jacques Le Cacheux (eds.) *Report on the State of the European Union. Crisis in the EU Economic Governance*, Palgrave Macmillan, New York, 2010, p.11

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M-GOVERNMENT, A TECHNICAL, SOCIAL AND ECONOMIC CHALLENGE

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Abstract: *“Changing the world” often means actually changing mentalities and meeting any kind of “challenges” with viable solutions. The aim of this paper is to propose and demonstrate through concrete examples how to overcome the current obstacles technically, socially and economically for a proper implementation of m-government type information systems. From a technical solution which should not allow any deviation concerning the performance, taking into account the costs at the same time, to the attempt of changing mentalities and understanding the potential economic benefits obtained following the implementation of m-government type information systems, there are only several issues addressed in this paper.*

Keywords: *m-government, information systems, Public Administration.*

Introduction or ... “what we are heading for”

There is no longer a secret for anyone that “barriers” such as space and time can be overcome through technology, thus changing people's lives and ways of working both within companies and in the Public Administration.

Through our “last generation” technologies which means: smart phones, PDA (Personal Digital Assistant) or other mobile gadgets connected to the Internet, users can access and, in their turn, transmit information in a very short time anywhere, anytime. “The increasing proportion of higher speed connections largely reflects the accelerating rate of smartphone adoption. Adoption rates have already reached 60% of the connection base in the developed world, ranging from 51% in Europe to 70% in North America at the end of 2014. Over the next four years, smartphone adoption in the developed world is expected to reach the 70-80% ceiling, the level at which growth tends to slow.”¹

Therefore, in a context like the one above, the concept of m-government (mobile government) was “born” “derived” from the initial e-government. “M-Government is the adoption of mobile technologies to support and enhance government performance and foster a more connected society.”² More

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¹ GSMA Association, (2015), *The Mobile Economy 2015* (GSMA Global Mobile Economy Report 2015), pg. 13,

http://www.gsamobileeconomy.com/GSMA_Global_Mobile_Economy_Report_2015.pdf

² OECD (The Organisation for Economic Co-operation and Development) / (ITU) International Telecommunication Union, (2011), *M-Government: Mobile Technologies for Responsive Governments and Connected Societies*, OECD Publishing, pg. 12, OECD ISBN 978-92-64-11869-0 (print), OECD ISBN 978-92-64-11870-6 (PDF), ITU ISBN 92-61-13881-0 (print)

specifically, the concept of m-government can be described as follows: “a strategy and its implementation involving the utilization of all kinds of wireless and mobile technology, services, applications, and devices for improving benefits to the parties involved in the e-government including citizens, businesses, and all government units.”³

...And look, where technology has brought us: facing a new and great challenge – a technical, social and economic one! Why do we say “challenge”? Firstly, because the implementation of m-government type information systems involves adapting developed technologies for mobile devices to the flow of public institutions’ activities in relation with citizens/businesses. Secondly, because such an implementation (m-government type information systems) is regarded with reluctance and mistrust by the largest part of the population and, thirdly, because the development and use of m-government type information systems can have important economic consequences. In conclusion, in this paper, I aim to analyze but also to find out some answers to the triple challenge (technical, social and economic one) which arose along with the implementation of m-government type information systems.

M-government, a technical challenge

From a technical standpoint, there are currently a number of solutions available which can be combined and tailored to the type of mobile device used by the end user, so that the information system developed may be used successfully. By “technical solutions”, we understand: technologies for the development of information systems designed for mobile devices (smart phone, tablet, etc.), for example:

- technologies for the development of the information system (frameworks): .Net Mobile, Platform Java for Mobile, etc;
- technologies designed for mobile database mobile (part of the information system): Oracle Mobile, Sql Server for Mobile App., etc.;
- technologies for data warehouses for access from mobile phone, tablets, etc.

From my point of view, however, the true “challenge” appears when selecting the type of information system to be developed: “there are two broad choices in deploying a system to mobile users:

- creating custom native apps targeted at some or all of the major mobile platforms;
- developing a Web application that is optimized for mobile access.”⁴

³ Mircea Georgescu, (2010), *Mobile Government: an emerging direction*, The Scientific Annals of “Alexandru Ioan Cuza” University from Iași, special issue - Economic Sciences, pg. 379-386;

⁴ Blueberry Consultants Company, *Mobile Technology - Software Development For The Mobile Market*,

<http://www.bbconsult.co.uk/Expertise/MobileApplications/MobileTechnology.aspx>

It is clear that each type of information system, out of the two mentioned above, has both advantages and disadvantages, for example, “a web-based type information system can be accessed on any device, without the need to develop one system for every existing operating system”⁵ (as for “native” applications). On the other hand, the “native” systems have the “capacity” to exploit to the maximum the software and hardware “facilities” of the mobile device (e.g. GPS, touch screen, etc.).

The cost for developing the “native” applications is much higher compared to that of developing web-based type applications, but “native” applications respond to the user’s orders with greater speed than the web-based type ones.

How could we develop information systems for mobile devices at lower costs than the costs of “native” systems but equally performing? Perhaps the answer, as you can imagine, is given by the hybrid system (Hybrid Mobile App). What is a hybrid system? It is a combination between a “native” system and a web-based type one. “Hybrid apps are a way to expose content from existing Web sites in app format.[...] Hybrid apps may enjoy a few more privileges with local resources than mobile Web sites, depending on the host OS rules. That means things such as webcam use or certain sensors might not work everywhere.[...] Their foundation is the same old HTML, JavaScript and CSS”⁶

For a more detailed and clear understanding concerning the differences but also the similarities between the three types of systems (“native”, web-based, hybrid), in the table below I present a comparison between them.

Table 1 – Comparison between the information systems for mobile devices (“native”, web-based, hybrid);

App Features	Native	Web-based	Hybrid
Graphics	Native APIs	HTML, Canvas, SVG	HTML, Canvas, SVG
Performance	Fast	Slow	Medium
Native look and feel	Native	Emulated	Emulated
Distribution	Appstore	Web	Appstore
Device Access			
Camera/ Notifications/ Contacts, calendar	Yes	No	Yes
Offline storage	Secure file storage	Shared SQL	Secure file system, shared SQL
Geolocation	Yes	Yes	Yes
Connectivity	Online and offline	Mostly online	Online and offline

⁵ Daniela Lițan, *Between trends and technology: m-government information systems*, The International Conference in Economics and Administration (ICEA – FAA 2015), Bucharest, 5-6 June, 2015, ISSN: 2284 – 9580, ISSN-L: 2284 – 9580, 2015, pg. 218-227

⁶ Rachel Appel, *Modern Apps: Mobile Web Sites vs. Native Apps vs. Hybrid Apps*, The Microsoft Journal for Developers - MSDN Magazine, vol. 29, no.11, 2014

Development skills	ObjectiveC, Java	HTML5, CSS, Javascript	HTML5, CSS, Javascript
Development Cost	Expensive	Reasonable	Reasonable
Maintenance	Complicated	Simple	Simple (as maintaining a web page)
Content restrictions, approval process and fees	Yes	No	Yes

Source: Adapted from: Budiu Raluca, (2013), *Mobile: Native Apps, Web Apps, and Hybrid Apps* (September 14, 2013), Nielsen Norman Group, <http://www.nngroup.com/articles/mobile-native-apps>; Mario Korf, Eugene Oksman, *Native, HTML5, or Hybrid: Understanding Your Mobile Application Development Options*, Salesforce.com,

https://developer.salesforce.com/page/Native,_HTML5,_or_Hybrid:_Understanding_Your_Mobile_Application_Development_Options; Krishnan R Menon, (2015), *Hybrid vs Native Mobile App. Decide in 5 minutes! App Development, Mobile Strategy*, July Systems Company, <http://julysystems.com/hybrid-vs-native-mobile-app-decide-5-minutes>

Analyzing Table 1 above, we can easily notice that the hybrid type information systems developed for mobile devices are at the “border” between cost and performance and can be successfully implemented as m-government type systems. I make this assertion, having in mind the following elements:

- the citizens are an “uneven population” in terms of the type of smart phone/ tablet/ mobile device used, so that the State would spend large sums of money if they would like to develop systems of “native” type information systems for implementing the m-government concept;
- if the State decides to implement m-government type information systems, choosing the web-based solution because of the poor performance of these systems, there is the “danger” of not being used by citizens.

M-government, a social challenge

“The computing capabilities of mobile devices are increasing rapidly with mobile technologies making mission critical data available on demand and on-sites through mobile devices and networks that support them. The proliferation of Wi-Fi networks, broadband penetration and rapidly increasing number of mobile phones is indicator of the emergence of mobile society in very near future.”⁷

Beyond the official statistics, it is sufficient to have a glance at the street, at the public transport or at the public areas to see that the use of a mobile device is

⁷ Vikas Kanungo, *Serving citizens @24/7 -m-Government to be key for delivering public services in the third millennium*, <http://www.mgovworld.org/editorial/mobility-matters-in-extending-public-service-delivery-mobile-government-in-inevitable>

a very common “activity”, and thus we can understand that we are moving very fast toward a “mobile society”. Of course, as expected, more often than not, the youngsters are the most “interested” in this “new trend”. Following this idea, it is clear that along with the implementation of m-government type information systems (and including e-government) the young population will “respond” positively to this demarche, and the elder population will continue to “queue” in front of the Public Administration counters (for solving various problems, including tax payments). I consider that the true “challenge” occurs when the State must change habits and mentalities, must determine its citizens to use the information systems provided to the detriment of “classical” methods (call, fax, physical presence at the counter, postal service, etc).

Of course, changes like the above mentioned ones are carried out over time, sometimes over very long periods. However, I believe that the “change” must begin at the very moment when the future information system is being designed, through different campaigns (press, TV, Internet) so that the population may be informed, in the beginning on the successful implementation of these types of systems in other countries. For example, the population could be informed as to the opportunities the citizens benefit from in countries where m-government type information systems have already been implemented⁸:

a) Malta:

- mobility;
- customized services;
- cost in balance with effectiveness;
- faster flow of information;
- better management;
- democracy felt at the citizen level;
- comfort;
- easier access to health services and public safety;
- better access to education, etc.

b) The United Kingdom of Great Britain:

- a good support for employment and for getting the unemployment allowance;
- a good support for obtaining aid from the support, maternity allowance;
- tax payment, etc.;

c) Canada:

- easier collaboration between the federal departments and the government levels;
- improving transparency, accountability and efficiency in service;

⁸ Alomari Mohammad A, Elrehail Hamzah H., Al Shibly Hytham, (2013), *Mobile-Government: Challenges and Opportunities Jordan as Case study*, International Journal of Business and Social Science, vol. 4, no. 12 [special issue – September 2013], pg. 244-250, ISSN 2219-1933 (Print), 2219-6021 (Online)

d) Turkey:

- transparency concerning the processes carried out within the Public Administrations.

For the next step, the development of the information system (m-government) should take into account a series of “best practices” so that it may gradually gain the public’s confidence. Some example of such “best practices” could be:

- “Choose m-Government applications wisely. Make sure they are non-trivial but also be careful that they are not the most difficult.
- Make sure that the application is user-friendly. Balance your need for information with the comfort (or frustration) level of the user with the technology.
- In deploying m-Government applications ensure that citizens get exactly what the application claims to be able to deliver in the shortest possible time. If it is a channel to receive complaints, be sure to regularly get back to the complainants about the status of their complaint until it is resolved.
- Ensure that there are suitable back-office systems in place to deliver on m-Government promises.”⁹

Finally, after the development and implementation of the information system, I also consider it necessary that the population should be informed about the main benefits of using these systems. Some benefits that citizens can have following the use of m-government type information system include:

- “The cost for the citizen in time and effort when interacting with the government is reduced as the gap between the two is decreased;
- The citizen can interact with the public sector 24 hours a day, 365 days a year;
- Public activism is promoted;
- The variety of services offered by the public sector to the citizen can be increased;
- Citizen mobility is enhanced: the opportunity of accessing government information and services regardless of location or time is increased”.¹⁰

Adding to the above mentioned proposals the fact that population in general is inclined and, also, curious to test and verify how public money was spent, for the case in question, on the development and implementation of m-government type information systems, today’s reluctance and the habits and methods of using “classical methods” in the interaction with the Public Administration can

⁹ Manish Kumar, Omesh Prasad Sinha, *M-Government – Mobile Technology for e-Government*, Towards Next Generation E-Government (Editor: Jaijit Bhattacharya), India, GIFT Publishing, pg. 294-301, 2008, ISBN: 8190339796, 9788190339797

¹⁰ Mircea Georgescu, *The Impact of mobile government in organizations: promises and pitfalls*, The Annals of The “Ștefan cel Mare” University of Suceava, Fascicle of The Faculty of Economics and Public Administration, vol. 10, no. 2(12), 2010

be “settled” and even completely reduced, particularly in the case of Senior Citizens.

M-government, an economic challenge

I will devote the last part of this paper to the economic “challenge”. The economic “challenge” is derived from the two other “barriers” (challenges) mentioned above and, compared to them, the economic “challenge”, in this case, has a positive connotation.

Once the technical and social “barriers” have been overcome and m-government type information systems which are reliable, easy to use and capable to meet the citizens’ expectations have been implemented, in addition to the benefits for the citizens listed in the second part of this work, we can identify at least one economic benefit that, in time, can counterbalance the high costs for the implementation of m-government type information systems.

Starting from the idea that through a system of m-government type information system taxes can be paid, a process that should last (depending on the Internet connection) at most 10 minutes on average, I will compare this process with the current one, that is the tax payment by the citizens and companies at the Public Administration counters.

In Romania, in Figure 1 below, we can see that on average the time spent in hours per year for the payment of taxes, is divided as follows:

- 25 hours/year for paying the tax on profit (about 3 weekdays/year);
- 80 hours/year for paying the income taxes (10 weekdays/year);
- 54 hours/year for paying the tax on consumption (about 7 weekdays/year).

Considering the fact that the minimum salary per economy on 1 July 2015, in Romania, amounts to 236 Euros, it can be easily inferred that per year (due to absences from work - 10 days, in order to pay income taxes), the citizen loses about 113 Euros. To this amount is added the cost of transportation to the Public Administration office in order to pay the monthly taxes, not to mention the citizen’s physical effort.

Time to comply (hours)

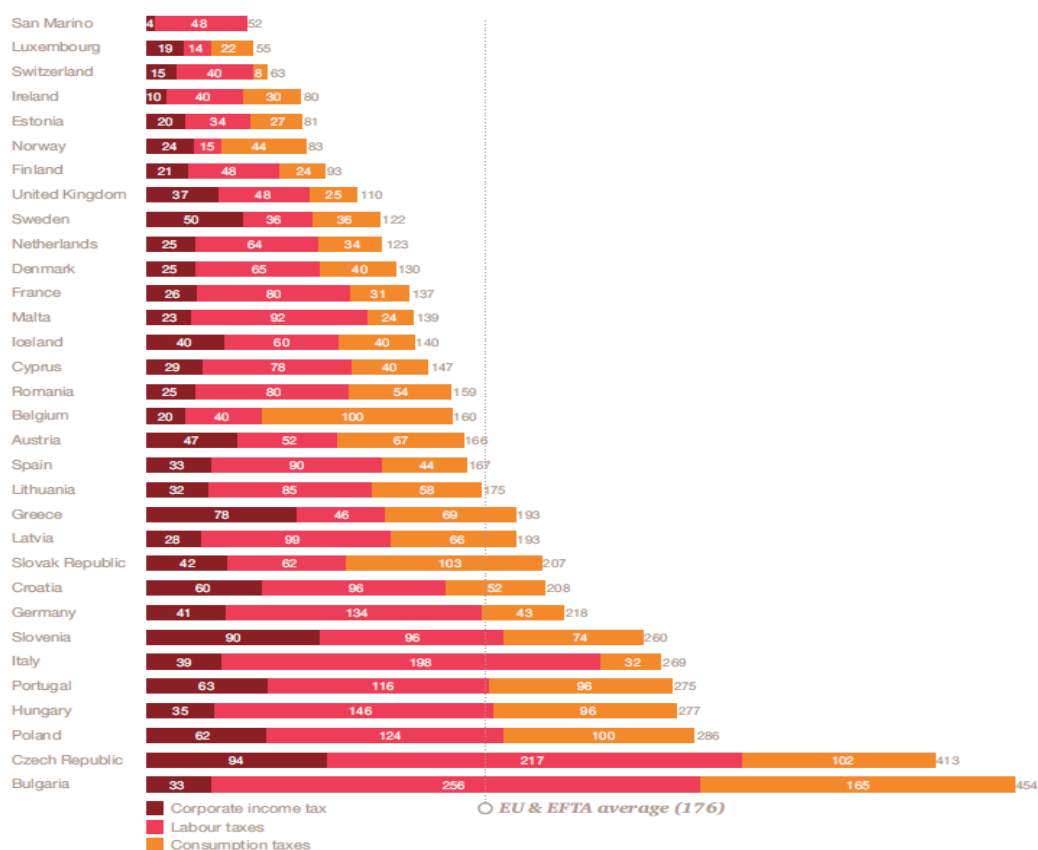


Figure 1 - The number of hours wasted annually in the European Union/physical/ legal person/for the tax payment; Source: PricewaterhouseCoopers Company, World Bank Group, *Paying Taxes 2015*

To the above mentioned calculus, there is also the loss incurred by the State (if the citizens pay their taxes physically at the Public Administration counters), because, at least in theory, according to the above mentioned statistics (Figure 1), for 10 working days per year the citizen does not work, therefore he does not produce an income and the state has no taxes to levy, either.

In addition to tax payment, another example of m-government type information system that can be implemented and that can reduce the costs incurred by the citizens concerning their travel to the Public Administration counter could be a “ticketing” type application (information system). Through this application, the citizen could create a ticket describing the problem for the Public Administration, also following online the stages through which the specific request passes until it is solved.

Therefore, in this last part of the paper, I have shown how the high costs can be recouped and even reduced due to the development of an m-government type

information system, through the benefits of economic nature arising from its implementation.

Conclusions

Beyond being a “trend”, the implementation of m-government type information systems has become a necessity, but in order to implement them properly and according to the citizens’ expectations, the State must overcome the technical, social and economic “barriers”.

Therefore, in order to support the implementation of m-government type information systems, at least in Romania, in this paper I have analyzed from a technical, social and economic perspective the issues that arise along with the implementation of such a system, “addressing”, at the same time, a possible solution to every challenge presented.

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 PricewaterhouseCoopers Company, World Bank Group, *Paying Taxes 2015*;

CHEVRON VS. PUNGEȘTI, ROMANIA

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Abstract: *The issue of operating the shale gases (non-conventional gases) divided Romanians in two categories: some are against the operation (and they are considered in the opposite category as supporters of the interests of Russia, since Romania is importing natural conventional gases mainly from Russia), the others are for (and they are considered in the opposite category as supporters of the interests of USA since the 4 existent oil agreements for shale gases were issued to the American company Chevron). How about the national interest which represents an amount of interests targeting on the one hand national security and on the other hand, its prosperity. It is certain that a judge of Vaslui County Court created the test case, taking in three cases the decision that a commune is legally entitled to decide related to the exploitation of shale gases on its territory, not the Government or another central authority, since this resource is not ruled in Romania and wasn't declared either of national public interest.*

Keywords: *Pungești, Chevron, shale gases, natural resources.*

I. Introduction

The concept of non-conventional gases was mainly developed in the last 10 years, with the perfecting of the technologies of exploitation and extraction of this kind of gases.

The general definition of non-conventional gases, currently accepted, refers to such accumulations of natural gases which cannot be identified, characterized and commercially produced by common technologies of exploitation and production and which are lingered in tanks with low permeability and porosity, which allows the discharge only by widely applying the hydraulic fracturing and digging of horizontal or multilateral bores.

The categories of non-conventional gases identified and valued in the world are: "Shale gas", "Tight gas" carbonate tiles/rocks, CBM "Coal bed methane", "Methane Hydrates".

The common characteristic of the accumulations of non-conventional gases is the very low factor of recovery (3-10%), opposite to the conventional gases, where it is around 80%.

Since the recovery factor per deposits of non-conventional gases is very low, the volume of resources must be significant for the exploitation to be profitable.

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Consequently, the evaluation of the tanks of non-conventional gases needs a complex exploitation by using the most modern methods of geophysical investigation and calibration thereof by samples extracted from the geologic complexes of interest.

The hydraulic fracturing (fissuring) is the oil operation applied in the tanks with low permeability and porosity in order to artificially perform a system of micro-fissures by which there are employed the gases towards the bore hole. The procedure consists in pumping under pressure in layer of a significant volume of water mixed with relevant chemical substances submitted to such procedure, with materials of support, called propane, which maintain open the system of micro-fissures.

Thus, the exploitation of shale gases by combined technique of hydraulic fracturing and vertical drill proposed by Chevron involves high risks for people health and for the environment.

The impact on environment caused by the procedure of hydraulic fissuring is mainly related to:

- use of the areas of land (areas necessary to dig the bores, park and handle heavy plants), space necessary for surface equipments, facilities of processing the gases and transportation thereof, roads of access;

- polluting emissions in air and phonic pollution: emissions determined by transportation by truck trailer and pressure aggregates (use of thermal engine), handling fluids that contain dangerous substances and which may be released in the air;

- consumption of significant quantities of water;

- the water may be contaminated with chemical products used in hydraulic fracturing, and with waste water generated by the formations fractured or crossed, which includes heavy metals or radioactive particles; there may be accidents during the transportation by truck trailers, the potential discharges on the collection lines, damage of cement or bore columns (deficiency in the endowment of bores) or uncontrolled discharges by natural system of fissures of the tank or on plans of faults;

- it is possible an intensification of seismic movement due to hydraulic fracturing or injection of high volumes of waste water;

- Possible impact on biodiversity.

II. Situation in Pungești

The Pungești commune is situated around 35 kilometres far from the town of Vaslui, having an area of 7,112 hectares or around 71 square kilometres. Pungești commune includes eight villages (Armășoia, Cursești-Deal, Cursești-Vale, Hordila, Rapșa, Siliștea, Stejaru, Toporăști) with 3,500 inhabitants.

The commune residence is the village Pungești including around 357 buildings and 947 inhabitants.

After Chevron company obtained, on 3 October 2013, the building permit to place in the count of Vaslui the first bore for the exploitation of shale gas in Romania, in Pungești several protests were organised. The authorisation was released by the County Council Vaslui at the beginning of October 2013, the

works for the arrangement of oil platform being effectively started on 2 December 2013. Almost 400 individuals protested, on 7 December 2013, on the county road Vaslui-Gârceni, against the intention of Chevron to place in the area the first bore for the exploitation of shale gas in the county of Vaslui. Pursuant to such incidents, the Police of Vaslui delimited a “special safety area” in the localities Siliștea and Pungești, where Chevron held a perimeter of 20.000 square meter, and by an order of the head of Municipal Police of Vaslui in the localities Siliștea and Pungești, as well as on the sector of county road which relates the two villages, it was significantly supplemented the number of patrolling order forces, mainly gendarmes. Incidents between gendarmes and local people from Pungești were registered as well on 2 December, when Chevron started the works to plant the first bore for the exploitation of shale gas in Siliștea-Pungești. Several protestants accused of being attacked by gendarmes. Pursuant to such protests Chevron suspended the activity. Thus, a small local community managed to impose its will in front of the American giant Chevron, which reiterated the commitment of entertaining constructive and positive relations with the communities where it carries out the activity.

On 6 May 2014, the representatives of the company Chevron Romania announced that they started the drilling on the bore of exploitation of shale gas near the village Siliștea, commune Pungești. The bore will drill permanently for around three months until it reaches a depth of around 4.000 meters. The drilling activities, declares Chevron, started pursuant to completing all safety verifications. *“Several metering will be performed and rock samples will be taken in order to determine whether the natural gas is present, as well as the manner of producing it. Our priority is to carry out such activities safely and environment friendly, in conformity to the environment agreements based on which we operate. The Chevron installations are designed in order to protect the underground water during the entire life of bore, with a robust design and being permanently tested for the verification of integrity. The drill wells Chevron have several layers of steel and cement. This creates a barrier which protects underground water by maintaining the fluids and hydrocarbons in the bore hole”*. The representatives of oil company assert that a condition of the system of Chevron for the management of water is represented by the building of wells for supervision in the drilling platform. Chevron will collect samples from such wells to supervise the water quality in advance, during and pursuant to the completion of drill operations. The results of such tests will be made available to the authorities in the field.

III. Who is the owner of shale gas in Romania

III.1. Permanent suzerainty over the natural resources

The state exercises fully and exclusively over its territory the suzerainty and acts with a view to achieve the duties and functions thereof, the other states having the obligation to refrain from affecting the territorial integrity of other states and the suzerain rights which they have within the territorial limits.

The fullness of territorial suzerainty of a state is expressed by the fact that, on its own territory, every state is entitled to determine the extent and nature of its competence, to rule the social relations in the most different fields, to impose authority over the entire social mechanism and to decide over the natural resources and richness.

The exclusiveness of territorial suzerainty means that any state exercises suzerainty on a certain territory and no state may exercise suzerainty on the territory of another state. If several states exercised suzerainty over the same territory, this would contradict the suzerainty concept. Between the independent states, the respect of territorial suzerainty is an essential base of the international reports.

An element, of extreme importance, of state suzerainty, is the right of every state to dispose freely of its natural richness and resources. Thus, every state is free to exploit and to use its natural richness in its own interest, in a form determined on its own discretion, not being restricted by any international obligation to explain the intervention from outside and which would prevent it to fully and exclusively exercise such right. One considers the use and free disposal of the natural resources. It is thus emphasized the permanent and intangible connection between suzerainty and independence.

According to the resolution no. 1803 (XVII) of the General Meeting of ONU of 1982, *permanent suzerainty over natural resources includes*:

- free and useful exercising the suzerainty of people and nations over their natural resources;
- the right of people to permanent suzerainty over the richness and natural resources must be exercised, in the interest of national development and well-being of such people;
- nationalisation, expropriation or requisition must rely on solid reasons of public utility, of security and national interest;
- breaching the rights of people and nations over richness and natural resources is contrary to ONU spirit and Charta and affects the international cooperation and peace maintenance (Anghel, p. 127-128).

This principle reveals the illicit nature of colonialism and neo-colonialism having as scope to deprive the people from their inalienable right to suzerainty over the richness and natural resources. The Charta of the economic rights and obligations of state (1974) stipulates the full and permanent suzerain right of every state over the richness, natural resources and economic activity, including ownership, right of use and disposal thereof. It is stipulated as well the right of states „to rule the foreign investments of its national jurisdiction in conformity to the laws and regulations, national objectives and priorities and to exercise authority thereof”.

III.2. Shale gas in Romania?

According to the article 135 paragraph 2 letter d) of Romanian Constitution, “The state must provide for the exploitation of natural resources, in conformity to the national interest”.

Currently, according to the article 136 paragraph 3 of Romanian Constitution, “The richness of public interest of the ground, air space, water with valuable energetic potential, of national interest, beaches, territorial sea, natural resources of economic area and of continental plateau, as well as other goods determined by organic law, are exclusively subject to public property”. And in the next paragraph it is shown that “The goods public property are inalienable. In terms of organic law, they may be assigned to autonomous administrations or public institutions or may be leased or rented; also, they may be assigned on free use to the institutions of public utility”.

Practically, in Romania the owner of subsoil with all resources is the state. It may exploit by its own means or may lease to a private company the right of exploitation. It is a matter of course that the owners of lands and those from the neighbouring areas are most of the time in disadvantage, since any kind of exploitation of subsoil (oil, gas etc.) causes a strong degradation of the environment with several consequences different to quantify.

In this system, the peasants are not owners not even of the water in the wells, since these are resources of subsoil.

Including the Law of mines of 1924 instituted the ownership of state over all subsoil resources and defined as well the regime of leases. However, the Romanian legislation does not include any kind of special regulation for the shale gas, moreover, a judge from Vaslui has created a historical test case for Romania namely: the shale gas does NOT belong to the state, but to the village. The decision of such magistrate shows that local authorities may take decisions related to the shale gas as they think properly, since Romanian laws do not classify the shale gases as a conventional subsoil resources, of national use or interest, over which only the central authority of state would have right of management and decision.

The shale gas are not included in the current law of oil no. 238/2004. According to article 1 paragraph 3 of Law 238/2008 “The natural gases include the free gases from the deposits of methane gas, gas diluted in crude oil, those from the head of gas associated to the deposits of crude oil as well as the gas resulted from the extraction of mixture of condensed gas”.

The shale gas is not included either in the Law no. 213 of 17 November 1998 on public property and the legal regime of it. According to this law, there is in the public domain of state the richness of any kind of subsoil, encountered in deposit, this is not the case of shale gas since there is no complete professional study which may analyse the non-conventional gases. Therefore, one does not know the perimeters which are certainly including shale gas in Romania.

Since the non-conventional gases are not stipulated by the current Law of oil (Law 238/2004) and that the non-conventional gases are not included either in the Law of electricity and natural gases (Law 123/2012), it results that shale gas does not belong to the state, but to communes, towns, municipalities.

In conclusion, the operation of non-conventional gases on national (state) level is illegal, since the non-conventional gases do not belong to the state, it results that the oil agreements of lease concluded by state (ANRM representative) with different Romanian or foreign companies, for the operation

(exploration-development- exploitation) of non-conventional gases – gases that do not belong to it – are illegal.

We consider, thus, that the operation (exploration-development-exploitation) of non-conventional gases, on national level (by oil agreement), is illegal.

We state that the operation of non-conventional gases locally is illegal, since the non-conventional gases belong to communes, towns or municipalities, it results that the authorities of communes, towns or municipalities, and not ANRM, may decide whether to lease or not the operation of non-conventional gases to Romanian or foreign companies; and the lease would be done based on contracts specific to communes, towns or municipalities, and not based on oil agreement (stipulated in the oil law for lease of the state).

But if the authorities of a commune, town or municipality decided to lease the operation of non-conventional gases from the subsoil of such administrative-territorial unit, then the natural gas (from non-conventional sources) obtained would not be covered by the Law of electricity and natural gases no. 123/2012. Therefore, the only legal option of the authorities of a commune, town or municipality is to decide to forbid the operation of non-conventional gases (in particular shale gas) on the territory thereof.

We thus consider that the operation of non-conventional gases (shale gas included), on local level, is also illegal.

We outline that the operation of shale gas in Romania (both nationally and locally) is illegal. In other words, the shale gas cannot be operated (exploration-development- exploitation) in Romania under the current legislation! However, the American company Chevron holds 4 oil agreements for shale gas, obtained as follows:

- the government has leased (pursuant to the demand submitted in July 2010) to the American company Chevron three perimeters in South Dobrogea, with exit on the Black Sea, with an overall area of 2.700 km² (=270.000 ha) for shale gas, based on 3 oil agreements of lease for exploration-development-exploitation, concluded between ANRM and Chevron Romania Holdings B.V.(Dutch subsidiary of the American company Chevron): in the perimeter EX - 18 VAMA VECHE, by HG no. 188 dated 20.03.2012 (published in the Official Gazette dated 28.03.2012), in the perimeter EX - 19 ADAMCLISI, by HG no. 189 dated 20.03.2012 (published in the Official Gazette dated 28.03.2012), in the perimeter EX - 17 COSTINEȘTI, by HG no. 190 dated 20.03.2012 (published in the Official Gazette dated 28.03.2012).

- On 29 February 2011, Chevron purchased 100% from Regal Petroleum the oil agreement for gas, for the perimeter EV-2 Bârlad of 6.257 km² (=625.700 ha). The oil agreement was approved to Regal Petroleum by HG no. 2283 dated 9.12.2004 (published in the Official Gazette dated 4.01.2005) and assigned to Chevron by the National Agency for Mineral Resources (ANRM) in 2011; the explorations were planned to start in 2012.

The three oil agreements held by Chevron in Dobrogea were declassified on demand of civil society and published on the ANRM website.

Pursuant to the declassification of the three agreement of Chevron in Dobrogea, it may be noticed that all three agreements include on article 1 the definition: „The natural gases are the free gases in the gas methane deposits, the gases dissolved in crude oil, those from the gas head associated to the deposits of crude oil, the gas resulted from the extraction of the mixtures of condensed gas as well as non-conventional gases. Comparing this definition to the definition of natural gases of oil law no. 238/2004 we notice something in addition: „as well as non-conventional gases”. Practically, ANMR has “updated” on its own authority the oil and non-conventional gas agreement, although it is not stipulated in the oil law no. 238/2004: this is the evidence that the oil law does not stipulate the non-conventional gases and that the three agreements are illegal.

It remains to be seen the opinion of the legal advisors about the legality of these three oil agreements from Dobrogea for shale gas, concluded beyond the oil law no. 238/2004. We believe these agreements are illegal in the current legislation and must be annulled.

It remains to be seen as well the opinion of the legal advisors about the legality of exploration-exploitation of -conventional gases in the perimeter of Bârlad by Chevron, with an oil agreement for conventional gases, obtained by purchase (transfer of holder) from Regal Petroleum, which exploited for so many years for conventional gases and not for non-conventional gases. We believe that Chevron cannot operate non-conventional gases based on this oil agreement which stipulates conventional gas operations, in the current legislation. By oil law no. 238/2004, article 3 paragraph 2, “The disposal of the oil agreement remain valid on its entire term”, therefore this oil agreement is only for conventional gases, even if tomorrow is changed the oil law.

ANRM has to explain as well the full classification of all oil agreements – as well as of all permits of exploration and exploitation for minerals (gold, silver, copper etc.) – although article 203 letter b) of HG no. 585/2002 on the national Standards of protection of classified information expressly forbids the classification in block of contracts/agreements.

In this respect, the text of the article 203 letter b) of HG no. 585/2002 stipulates: “the classifications are applied only to those parts of contract that must be protected”.

Conclusions

The issue of shale gas is integral part of the public debate in the entire Europe. In Romania the manifestations of citizens who opposed to such noxious activity are, sometimes violently repressed. As in the case of Pungești, where Romanian gendarmerie harmed few protestants. Whose interests were protected by Romanian gendarmerie? This is a mystery! And the argument of energetic independence, supported by some representatives of political class, is not too solid. In reality, the private companies were forced to pay to Romanian state a financial royalty not in kind, and the oil law offered the company the possibility to dispose of the resources exploited including to export them. Rumania may

thus obtain gases only by buying them, against the price determined by company.

In the absence of the National Strategy of development, of the Strategies of evolution, including of natural resources, and without defining the national interest (currently replaced by other kinds of interests), without a proper legislation very well implemented, the approval of an investment of the kind of valuation of shale gas is inopportune and illegal.

As seen above, the oil agreements of exploration-development- exploitation of shale gas approved for Chevron are beyond the oil law, therefore they are illegal and must be immediately annulled.

Consequently, it is necessary to vote a law which may forbid the use in Romania of the method of hydraulic fracturing of rocks in the exploration-development- exploitation of shale gas.

The fact that several states from Europe decided against the use of this method is an additional argument. The Romanian government should consider that France forbade in the summer of 2011 this activity, the Bulgarian Government and Parliament adopted similar measures in 2012, Denmark, Netherlands, Czech and Ireland instituted moratoria, and also in Germany the land Westafalia-North Renania. In Great Britain, pursuant to the earthquakes from Blackpool determined by hydraulic fracturing, the exploration activity was suspended for a while. Several states from USA imposed moratoria (Virginia, New Jersey, Ohio, New York, Pennsylvania) and in other such as Vermont it is completely forbidden.

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PLURIDISCIPLINARITY OF POSTMODERNIST APPROACH

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Abstract: *The last century witnessed a continuous interrogation on the structure and validity of values (moral, political and literary). Romanticism, symbolism or Pre-Raphaelitism, meant for the 19th century, moments of negation, more or less ardent, of the previous literature. But these negations replace, in fact, a literary convention or a system of values with another. Dadaists' or futurists' rebellion replaced the system of values of the century beginning with a state of permanent negation of any system, denying any constraints. In the years of World War I, the phenomenon seemed ephemeral, a mere extravagance among others of the time, but today, in historical perspective, we find their synchronicity with some innovations of our century in poetry and prose.*

Postmodernism proved to be a synthesis, a blend of opinions whose pluridisciplinary approach is obvious in the new era without which the new social scaffolding cannot exist anymore.

Keywords: *postmodernism, pluridisciplinarity, gnoseology, hermeneutics.*

Our article, after reviewing of how the new era of postmodernism was born, of the trends which generated and influenced it, is aimed at identifying not only the specifics of this latter social and cultural current but also to plead for its plenary character. Postmodernism is not only the last state of aggregation of human consciousness, but, it is as well, the adjusted to wishes of the modern world, dominated by innovation and syncretism. Forged in the previous currents, built on victories but on lost battles as well, postmodernism closes in itself the human desire to accede to universality, to bind and coagulate.

Postmodernism has intersected with many aspects of daily life. From the pedagogical approach to the philosophical and aesthetic values this literary movement reached seems to be one with the greatest influences. Our continuously expanding world is facing postmodernism even in politics. We consider that postmodernism is mere modernism rethought in the new social, economical and artistic context. Maybe tomorrow postmodernism shall be replaced by another movement but, for sure, it is now the most suitable current for a changing world.

Modernism and postmodernism are not in an incongruous position. The two complete each other diachronically. A dichotomy could be build between tradition and modernism. Modernism, emerged in the twentieth century literature included all those artistic movements that sought for a break with

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tradition, denying, sometimes in extreme forms, the era or the current that preceded it. Started from the symbolism as a reaction against semantism that characterized the late nineteenth century modernism, on Romanian soil, tried to reconcile the artistic expression with modern life, with age sensitivity thereby contributing to the enrichment of artistic creation means. In Romanian literature, the one who theorized the modernist movement was Eugen Lovinescu who, through his literary circle and magazine *Sburătorul*, contributed to entry of our literature into a new phase of evolution. The magazine principles were synchronization and compliance with European aesthetic values by pastiche forms; modifying artistic creation under the influence of historical change; shaking off subjectivity and treating urban issues. It was also advocated the support brought to writers able to bring new life; for getting tradition into the background, for an authorial vision of reality.

Speaking about avant-garde and modernity, Adrian Marino refuses a superordination or subordination of the two concepts saying that “the avantgarde is, in fact, the extremism of modern.” In fact, within modernism, there is, at each stage, an avantgarde promoting a break with tradition, a struggle with sclerotic forms. From this point of view, Marino believes that avant-garde is an “anticlassical reaction of the modern literary spirit”¹ and this rupture of the avantgarde takes the most diverse forms. The critic goes further, saying that the opposed notions novelty-tradition, classical-modern, make avant-garde, in a wide meaning, the cornerstone of the new century.

In terms of modernism, that the avantgarde went in parallel, Mircea Cărtărescu, quoting Matei Călinescu, establishes the connection, just as Gianni Vattimo, between the idea of modernity and the present as the supreme value “for the modern artist, the past imitates the present and not the past imitates the present”² and modernity is a shift from permanent aesthetics to the transient and imaginary, change and innovation.

Proust, Joyce, Woolf, have established in the novel a state of permanent crisis, replacing a formula of a novel with another, which in fact had happened with Zola or Stendhal, or Sterne, in their time, proving that the genre itself of the novel cannot pinpoint the exterior and interior flow of life. After these writers, every novel has become a Procrustean bed, any creative novel became an implicit rebellion of the author's own creations against constraints. Nathalie Sarraute, reprising Stendhal, said: suspicion has taken the place of trust in the novel and perhaps art generally or in the author's right to invent and manipulate a world of his own, rival with the material one.

Unlike modernism which considered itself as a new approach to studying the categories of artistic beauty, declaring as the first goal the establishment of canons, postmodernism states the disbelief in the possibility of overlapping fragments weary of division. The term of postmodern was used even at the end of

¹ Adrian Marino, *Dictionary of literary ideas*, Bucharest, Eminescu Publishing House, 1973, p. 198.

² Mircea Cărtărescu, *Romanian postmodernism*, Bucharest, Humanitas Publishing House, 1999, p. 15.

the 19th century. Thus, John Watkins Chapman used the term to refer to a post-Enlightenment approach a work of art.

Postmodernism cannot be assessed and perceived critically without bringing into discussion modernism. Modernism wanted to rebuild on the remnants of the rationalist Enlightenment. Driven by an aspiration for equality and emancipation of the limitations of the eighteenth century, modernism left deep scars and in last century.

Diachronically, postmodernism finds its roots in the Dada movement. If modernism was characterized by the desire to break from the tradition, the avant-garde stepped forward towards a radicalized form as “the brutality of the rupture is so radical that avantgarde turns into a real explosion of morality.”³ Adrian Marino reminds the inclination to destruction of Dada, about the surrealism fierceness, about Andre Breton's dismay and all the outrage that has reverberations across to Beat movement as radicalized forms. The complex of aggressiveness, as Adrian Marino calls it, precisely represents this exacerbation of the rebellion. Some examples of these extreme attitudes are the pamphlet published when Anatol France died (*A dead body*, 1924), open letters, fights on the theatre stages (Andre Breton gets to aggress Tzara), an open letter to Pope *Adresse du Pape* (1925), Peret spitting priests in public, etc. Avantgarde, cultivating negation, develops the destructive spirit.

At the beginning of last century, there had been created the prerequisites for a change. Socio-economic conditions and turmoil of World War I that led to the appearance in the literary avant-garde were nicely summarized by Marcel Raymond “The war will cause breakage of the old world, with secular unfolding of things. Abstract landscapes, left to die, ordure of iron and cast iron, cities suddenly become cosmopolitan, putting all forces in the service of overproduction, a victory both “mechanistic” and military, all this unusual ambient that pushed some to the beliefs and signs of the past... others, who had become suddenly men, felt their chains falling one by one; their eyes opened on a civilization whose anonymous face wanted to decipher; new myths found in their minds fertile ground, ransacked, ravaged to the depths by the events; the myth of war, of the revolution, of the car, of the speed, of the alliance between the man and the materiality, of sport and, above all, the passion to act in reality.”⁴

There were exegetes who found postmodernism base back to Nietzsche, Heidegger and even Freud. Postmodernism, unlike modernism, denies the link with the enlightenment ideology, promoting the theory of finality. For postmodernism, doctrines, whether hegelian, liberal, Marxist etc., are only forms of existence. At literary level, this new trend proposes nonfiction genres (diary, letters, popular literature) and especially noncanonic literatures (literature of national minorities, of the women etc.). Metanarrations, stories of large sizes, include mythical literature (traditional -knowledge in terms of the past) and the projective ones (modern-reflection for the future into conscience).

³ Adrian Marino, *Dictionary of literary ideas*, Bucharest, Eminescu Publishing House, 1973, p. 181.

⁴ Marcel Raymon, *From Baudelaire to surrealism*, Bucharest, Univers Publishing House, 1998, p. 21.

Noticing the specific of Romanian avant-garde movement, the critic Dumitru Micu observed the outphasing of synchronization with the European movement, non-synchronization which had its source in the local specificity "Since the advent of *Literatorul*, until World War II, Romanian poetry crossed almost all stages of synchronization with European modernism, but not in the order of diachrony of the movements in the great western literatures, but in that outburst of creative local energies under one or another of the signs of modernity, that means outside of any order. "The nature of local writings is noted by the critic, typical example is Furdoianu's lyrics, which had a strong antisymbolist focus inside symbolism, using assonances, predominantly Slavic vocabulary compared to the Latin, by changing accents. Another example given by the exegete is that of Adrian Maniu, who in pre-war period was "more than Tristan, true avant la lettre Dadaism."⁵

In Gianni Vattimo's opinion, only by reference to issues treated by Nietzsche (the eternal return) and Heidegger (to overcome metaphysics), we can make a theorization of postmodernism. In the light of Nietzsche and Heidegger, revolutions of modernity are nothing but a return to origins. What connects modernism to postmodernism is novelty and what sets them apart is that postmodernism is a new disintegration of the new, an end of history; late modernity is a different form of human existence ; as long as man is regarded in a stable way, he will not be able to live positively this postmodernity. Nihilistic thesis set up by Nietzsche and Heidegger are consistent: the first regards nihilism as a manifestation of the death of God (which leads to the crisis of humanism) while, for the second, annihilation of human occurs when he becomes worthwhile "consuming the human being in commodity, the shift of the real world into story is nihilism."⁶

But the only possibility of release is absolute nihilism that allows reality to become fabulous. For Heidegger humanism crisis has its origins in the late metaphysics generated by modern technology. For Husserl also, humanism is in crisis due to the loss of human subjectivity suffocated by mechanisms and technologies. Gianni Vattimo, in his paper, *End of Modernity*, dedicated a chapter to the death or twilight art which (as the author calls it) which is the end of Heidegger metaphysics. In the first decades of the twentieth century, according to the author, historical avant-garde generalized the explosion of aesthetics outside the boundaries set by tradition. The poetics of avant-garde, refusing delineation from philosophy, propose tools of socio-political agitation, denying things set by tradition and the exit of art from its institutional borders is related to the advance of technology that allows a generalization of aesthetics. Art dies by the media participation in front of kitsch. Real art prefers silence, artists protesting by "suicide".

The situation in which the death of art is still announced and postponed is considered by Vattimo as being "twilight art". Referring to theorists like Ernst Bloch, Adorno and Marcuse, Vattimo considers artwork as a new perspective on

⁵ Dumitru Micu, *Romanian Modernism*, Vol. II, Bucharest, Minerva Publishing House, 1985, p. 150

⁶ Gianni Vattimo, *The end of Modernity*, Constanța, Pontica Publishing House, 1993, p. 29

the world: an alternative world or different possibilities of existence. The author quotes Gadamer who states in his book *Verita e metodo* (1960) that in pure poetry (from symbolism to various avant-garde experiences of the 20th century) language manages to regain basic function: to appoint. Starting from Nietzsche's phrase: "the will to power as art Vattimo" believes that it can proceed to the theoretical recognition of the meaning of centrality in modern aesthetics. Future crisis invading the whole culture and modern life finds, through art, a voice to express itself. Nietzsche is the first to draw attention to preventing excessive epigonism, blocking the creation of a genuine novelty, which he deemed "historical disease" which might be quit using supra-historical forces of religion and art. The essence of modernity is being reduced at novum and examples of such artistic reductions are the avant-gardes of the early twentieth century, the philosophies of Bloch, Adorno and Benjamin. Vattimo listed three characteristics of postmodern reasoning: thinking of the benefit, thinking of contamination and one of Ge-Stell. In postmodernism lies the chance for a new beginning.

Unlike Hegel, Nietzsche, trying to reassess spiritually West European, denies the present, removing it and urging the human being to a deep inner transformation. Obstacles to live life fully exploit "here" and "now" are, in Nietzsche's conception, religion and history. Although he clearly stated aversion towards historicism, the great philosopher concludes that present is highlighted by the past, unlike Hegel for whom knowledge starts today and heads towards the past in order to clear it. The remedy against the destruction caused by the reasoning is reactivation of religious frenzy with respect to the sacred and cultivation of beauty; an important role is played by the myth: "Without myth every culture loses its creative and healthy vitality. Only the horizon surrounded by myths forges the unity of a culture."⁷ Nietzsche advocates for the eternity of art that restores spiritual atmosphere favorable to mythical mentality unlike philosophy which breaks the veil woven by myth.

Analyzing the tragic Greek works, and those of Shakespeare, Dostoyevsky, Kafka and Faulkner Ileana Mălăncioiu analysed tragic guilt. When it comes to guilt felt by the tragic hero, the author considers despair as an attribute "generally human only in the sense of possibility; but not in reality and just in the sense that on its background there can take place the revealing of tragic dimension of existence or the tragic destiny of a hero."⁸ The power to despair in order to maculate is a quality without which there is no tragedy. The higher the discrepancy between guilt and punishment, according to Aristotle, the higher the tragedy is compelling but every tragic hero "lives in a historical period, which implies a certain understanding of cosmic, social and moral order."⁹ Tragedy, being not only a category of aesthetics, also includes real life, knowledge and art. Considering the existence of tragic hero as an affirmative one, the author has not dealt with the theater of the absurd (such as Samuel Beckett's works) as the hero lacks the desire to regain the lost meaning of life. The characters in the absurd

⁷ Friedrich Nietzsche, *The birth of tragedy*, vol. *From Apollo to Faust*, Bucharest, Meridiane Publishing House, 1978, p. 207.

⁸ Ileana Mălăncioiu, *Tragic guilt*, Bucharest, Polirom Publishing House, 2001, p. 130.

⁹ Idem, p. 201.

theater do not have the will to fight. The author believes that great writers of the 20th century, those who have a real tragic vein, actually return to the old Greeks. As regards the tragic based on culpability concept there are two patterns: first-guilt will not qualify the tragic hero's moral will and the second- guilt characterizes both facts as well as the moral will of the hero.

Ihab Hassan finds a symbolic differentiation between older modernism and postmodernism as the successor of this. The new movement is subject to horizontality. If modernism submits to design, postmodernism binds to the idea of hazard, subject to anarchy of words, in which language has its own game. The emphasis is on the process of writing, the deconstruction; the centrifugal force masters the text and the intertext. Many authors of the postmodern era create, in fact, consistent with the wishes of the avant-garde as mobilizing and renewing protest, releasing of original ideation. The game is perfect of the authors is merely conjectural. They use pastiche, bantering and even biography. And postmodern theater call appeals to absurd, fiction and imagination. Experience is perceived only through literature and, why not, lived through it. The writer is installed in a book to see objective reality only to the extent that is reflected in it. Postmodernism, by notional transfers, by contaminating areas of interest and values, and by juxtaposition best of values answers the best to the need for multidisciplinary in the new, global society.

The concept of postmodernism entered quite late in Romania, twenty years after its imposition in the west. It was discovered and acclimatized to Romanian literary ideology in the ninth decade of the 20th century, through translations from English. If Europe speaks of avant-garde and neo avant-garde, overseas, in America, the terminology is different: modernism/postmodernism. In Europe neo avant-garde is popularized by the Group of 63 (Sanguinet, Umberto Eco, Balestrini etc), the writers of the French "new novel" (Robbe - Grillet, Claude Simon, Robert Pinget etc.), "Tel Quel" group (Sollers, Kristeva etc.). According to Matei Călinescu, the thing which characterizes modern society is that art and antiart merged "and stasis is only the most visible aspect of a crisis that seems to have become the major criterion of any significant artistic activity."¹⁰

Epistemological realism dominated the 20th century and it stated that the main purpose of science was the discovery of the structure and the fundamental laws of the natural universe, as well as expressing optimism in true utterances, discoveries and research systematized in theories. Some postmodernist epistemologists who noticed the impasse of aesthetic evaluation of scientific theories say that it cannot be proved through practice of scientific theories because the outcome of the assessment should also be exposed in theoretical terms, on the other hand, for evaluation, scientific theories do not have anything but factual and/or formal practice. We must distinguish between ontology that is philosophy concerned with the study of existence as such, that is material existence in all its aspects and, on the other hand, gnoseology oriented towards research of general processes of knowledge: origin, forms and levels of knowledge including analysis of language and scientific discourse, scientific

¹⁰ Matei Călinescu, *Five faces of modernity*, Bucharest, Univers Publishing House, 1995, p. 129.

research methods. Ilie Pârvu, in his work *Introduction to epistemology*, states his belief that “linguistic theories must be considered as formulating sets of rules which we must comply with in our intellectual activities rather than sets of linguistic utterances about linguistic objects, their relationships and their properties.”¹¹

Dorin Ștefănescu considers the analysis of the literary works not only a mere analysis but an ecstasy as well: “admiration, enthusiasm and critical adherence concretizes in a speech of attitude, a feast of thought.”¹² In its turn, the analysis is divided into the analysis and structuralist levels and synthesis is a co-birth and knowledge, conjunctive and prepositive. Ecstasy is a shared ecstatic stasis and can be primary: preparation of spirit and a secondary one: following analysis. But ecstasy is not a critical spirit and lucidity numbing. Quoting A. Marino, the author concludes that switching from analysis to synthesis belongs to the prehistoric circle of hermeneutics and philology. Imagination exists along with catharsis and mimesis and quoting Radu Toma, the author concludes that the unreal function is as useful as the real function. Bachelard was the founder of phenomenology of imagination, metaphor having the role mediating all wandering roads of the meaning. The appeal to imagination was made through romance (vast imaginary scenarios) while modern works refuse imaginary structure, ignoring the sense in favour of writing regarded as significant texture. Gadamer's hermeneutics sets a classification of significance as long as Ricoeur considers it as a decoding of the hidden meaning and for Roland Barthes the literary work is symbolic for the multiplicity of meanings and its opening. But hermeneutics also studies ways and creates meanings.

Mircea Mihalevschi, in his *Le renouvellement du discours littéraire have XX ème siècle*, presented, in the first part of the book, a systematization of revolutionary forms of expression in the literature of the last century and in the second part the author of the book proposes a reference to a common denominator of motivations, meanings and literary creations metamorphoses from an epistemological perspective. The author, in an attempt to classify literary discourse, investigates separately the poetic discourse, the narrative one and theatrical one. Regarding the literary discourse, profound revolutions within it are circumscribed around two principles: the perception of the poetic act as a full participation and, in contrast to the first one, the literary work environment as a privileged means of an essential meditation.

The author mentions Arthur Rimbaud and Lautreamont as first visionary poets who begin this refreshing. As it regards the first, the author believes that Rimbaud, one of the precursors of many creative directions in the 20th century, is preoccupied with instances of the self: “Rimbaud est préoccupé par la complexité et la diversité des instances du moi.”¹³ As it regards Lauréamont, the

¹¹ Ilie Pârvu, *Introduction to epistemology*, Bucharest, Scientific and Encyclopedic Publishing House, 1984, p. 38.

¹² Dorin Ștefănescu, *Hermeneutics of meaning*, Bucharest, Romanian Book Publishing House, 1994, p. 9.

¹³ Mihai Mihalevschi, *Le renouvellement du discours littéraire au XX-ème siècle*, Bucharest, Romania of Tomorrow Foundation Publishing House, 2008, p. 14.

author cites the *Manifesto of Surrealism* by Andre Breton (1924) in which Breton quotes Lauréamont as a real surrealist (along with already established names: Aragon, Baron, Boiffard Carrie Crevel, etc.) whose works produce similar effects achieving some sparks of a special light (according to Breton, “lumière de l’image”). Another important poet who has influenced metamorphoses of literary discourse of the 20th century is, according to the author, Paul Verlaine, who, along with Mallarmé, can share the title of chief of symbolism. Guillaume Apollinaire, through the series of articles devoted to the cubist paintings, collected in one volume in 1913, is considered by Mircea Mihalevschi as a recognized theoretician of this artistic current. Regarding the surrealism, Mircea Mihalevsci considers Dada as one of the key movements of renewal in the literary discourse of the 20th century. This literary movement was often labeled “comme expression d’un nihilisme total (ce qui correspond d’ailleurs aux déclarations d’un radicalisme agressif mais aussi teinté d’humour de ses représentants)”¹⁴ whose representative was A. Breton. Regarding the poetic voice, the author identifies two: one that stipulates the textual autonomy with reference to the aesthetic and the second (which has its origins in the breaches opened by Lautreamont and Rimbaud) that has as significant moments the works of Mallarmé, Valéry, Fr. Tennis, R. Queneau up to representatives of the new novel, the one of Tel Quel origin and even the New Theatre. “Becoming never means to imitate, to make or to conform to a model, either justice or truth. There is no term to leave from and another you get to or to which you need to arrive at. [...] the question “What do you become?” is as stupid as can be. Because, as one becomes, everything he becomes changes as much as himself. Becoming is not an imitation or assimilation phenomena, but double-catching of non-parallel evolution, weddings between two kingdoms.”¹⁵ Deleuze mentions “impersonal” perception of the the “fourth person singular” marked by a tragic ironism. It means the awareness that there is a single actor-director and the rest are merely extras in an endless play, seemingly without any rules, without a winner and a loser. Or, more precisely, by the rules known only by the actor-director. This irony is even more pronounced and pushed to absurd if we refer to “The Lottery in Babylon” by Borges- mentioned by Deleuze- in which the human being tries to imitated the chaos but reaches to a game with stakes of life and death.

In post-modern vision, the oppositions with which the constructors of modernist aesthetic canon (deep-shallow, essential, necessary, random, fortuitous, complex-simple, difficult, easy, central-peripheral) lose relevance and the very binary logic is felt as insufficient. Post-modern era wants to be - and is - an era in which pluralism and eclecticism to be confused with cultural relativism. The era we are experiencing is crossed by the acute identity and disciplinary crisis whose origin is, on the one hand, in the feeling of alienation and, on the other hand, a crisis of representation itself. The confusion of values, which is not only supported, but also cultivated nowadays, contributing, undoubtedly, to the worsening of this crisis. Literature, not being able to give up the convention (in all its explicit and implicit manifestations) cannot survive without criteria of value

¹⁴ Idem, p. 52.

¹⁵ Gilles Deleuze, *Dialogues* (Gilles Deleuze, Claire Parnet), Paris, Flammarion, 1977, p. 8.

or without any discrimination made by it. These conditions remain also valid, despite appearances and theoretical assertions to the contrary, for anti-canonical post-modernism.

Postmodernism, through innovative approaches to some of the most diverse areas: scientific, social, religious, literary exploration and experimentation encourages the offering of interdisciplinary analysis means. If other literary and social era treated the human being unhooking he from the context he lived in, postmodernism brings the necessary aperture in order to place the huma being in spotlight.

The best summarization of postmodernism essence was performed by the literary critic Ion Bogdan Lefter. He concludes that, by postmodernity, human society has reached a level of higher knowledge, understanding and solidarity. Postmodernism unites the various levels of human, having an adjuvant character in identifying a global approach "What would be-therefore- our general guideline? We could describe it briefly by terms such as postmodernism, poststructuralism and cultural studies, Europeanism and pro- Americanism, anti-nationalism, anti-fundamentalism and anti-orthodoxy, liberalism and multiculturalism, pro-democracy and political correctness etc. etc. Some of these labels have strict cultural meanings (...), others refer to the doctrine, ideology, political philosophy and social theory. (...) one cannot be open to the diversity that gives charm- and-not heterogeneity-postmodern pluralism and, at the same time, to be an anti-liberal, nationalist and fundamentalist spirit."¹⁶

In a world increasingly fragmented by knowledge, more and morespecialized, asphyxiated by information and multidisciplinary, postmodern comes to congeal. Appealing to several areas of knowledge, postmodernism helps communication between people and comes to bring coherence in a world of opposites as postmodernism comes to invest the man of the new society with new sensitivities, in which the concepts of interdisciplinary, multidisciplinary and transdisciplinary are monad notions. From them, there have won philosophers, literates, scientiss, physicians and even theologs. What system of thought joined the human fiber into such high degree of openness? What current of thinking has folded on human consciousness more faithfully than postmodernism? If, until now humanity was moving linearly, once the boom of postmodern occurred, human consciousness discovers new valences, calls for dialogue and opens horizons. Whether it suscitates enthusiasm or negation, certainty arises: globalization is postmodernist.

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¹⁶ Ion Bogdan Lefter, *Postmodernism. From the files of a cultural battle*, Pitești, Paralela 45 Publishing House, 2002, p. 125.

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LE VOYAGE ET LA HANTISE DE LA MORT CHEZ L'ÉCRIVAIN MAXIME DU CAMP

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Abstract: *With the 19th century French writer Maxime Du Camp there is a close link between travel and a fascination with death (attraction and repulsion at the same time), which invades the pages of his travel stories and which from his perspective ennobles nature and life itself. The writer's feelings of death, loss, suffering give him a privileged status, since in nature, as in the work of art, death can engender life.*

Keywords: *travel, death, life, memory, writing, work of art.*

On peut affirmer qu'il existe un lien étroit entre le voyage et la mort et qu'une fascination (attraction et répulsion) pour cette dernière envahit les pages de tous les récits de voyage de Du Camp. D'ailleurs il avoue dans ses *Souvenirs littéraires* qu'il désire que sa dernière image dans ce monde, devant le moment de la mort soit la suivante: habillé dans son burnous de voyage, qu'il a porté dans toutes ses pérégrinations à travers le monde, ce qui prouve son dévouement pour le voyage, dans «l'éternité qu'amène la mort». Le voyage est pour Du Camp une autre manière d'être dans la présence symbolique de ses morts, de leurs images et leurs ombres, qui le suivent partout:

«Ceux que nous avons aimés et que nous avons perdus ne sont plus où ils étaient; mais ils sont toujours et partout où nous sommes». Rien n'est plus vrai. Ils vivent en nous, ils nous conseillent, ils nous modifient; et le souvenir que nous conservons d'eux n'est que la vibration de leur présence en nous.¹

En essayant de faire une description des personnalités qu'il a connues durant sa vie à Paris et dans ses voyages, la plupart d'entre elles étant des artistes qui étaient déjà morts, il affirme qu'il devrait chercher les souvenirs sur eux non pas dans le cimetière, où reposent les générations dont il a été contemporain, mais dans ce qu'il appelle «mon ossuaire particulier»: sa mémoire. La nécropole, pour laquelle, nous allons l'illustrer, Du Camp, témoigne d'une attirance particulière dans ses voyages, devient cette fois-ci une nécropole mentale, intérieure, peuplée par des souvenirs. Le voyageur lui-même est porteur d'une «nécropole» dans ses périples, ce qui pourrait être suggestif de son approche de la mort.

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¹ Maxime Du Camp, *Souvenirs littéraires*, Paris, Aubier, 1994, p. 86.

L'auteur affirme parfois que la mort, dans toutes ses formes, ennoblit la nature, les paysages qu'il décrit, et que les sentiments de la mort, de la perte, de la souffrance lui confèrent un statut privilégié, supérieur, il les met au service de son œuvre. Dans la nature, tout comme dans l'œuvre d'art, la mort peut engendrer la vie: les murs des ruines visitées donnent naissance aux plantes parasites, de même que le symbole de la mort, que suggèrent les ruines, donne naissance à l'œuvre d'art:

Ces ruines sont belles, ces palais démantelés font bien dans la poussière, et ces murs lézardés qui laissent passer le jour à travers leurs fentes sont des bons espaliers pour les plantes parasites; l'homme souffre, mais l'artiste jouit devant ce paysage pour qui la nature et la mort ont tout fait. ²

En essayant de comprendre la mort, de l'intégrer dans la vie, de s'exorciser de sa propre mort, de son existence tragique, du temps irréversible, le voyageur se construit une perspective intégrative sur la mort, désirant de pénétrer l'impénétrable, de revenir à l'existence primordiale.³ La description obsessionnelle de la mort dans les fragments que nous allons analyser ci-dessus représentent, donc, une modalité de mettre fin à une existence profane, de supprimer le passé, afin de pouvoir commencer une nouvelle vie, régénérée. La mort devient ainsi un renouvellement, «une condition *sine qua non* d'un passage vers un autre mode d'être»⁴.

Ainsi, ce qui retient souvent l'attention du voyageur, c'est le spectacle de la vie et de la mort, qui coexistent, s'entrecroisent, se défient et se renforcent réciproquement et dont le dramatisme et le réalisme accentués pourraient suggérer et anticiper le Vérisme italien, apparu quelques décennies plus tard. Le regard du voyageur est retenu par des scènes et des images où l'enjouement, la gaieté, la bonne humeur, la communion, le rire, le chant s'accompagnent de la tristesse, des pleurs, de l'affliction, du deuil. La vie semble acquérir sens et plénitude dans l'union des contraires; la traversée de la contrée de la mort conduit à une connaissance supérieure, destinée à permettre au voyageur de se libérer de ses propres angoisses. Une telle scène est celle qui décrit le retour à Ain-Chems des soldats turcs et syriens qui ont accompagné la caravane de la princesse durant le pèlerinage à la Mecque. Les verbes qui rendent l'expression de la jouissance, de l'amour, du bonheur des retrouvailles des bien-aimés contrastent d'une manière frappante et dramatique avec ceux qui décrivent le désespoir, le déchirement pour la mort de ceux qui sont partis pour la Mecque. La félicité des uns fait ressortir avec plus de force la tragédie du sort des autres.

² Maxime Du Camp, *Souvenirs et paysages d'Orient. Smyrne - Ephèse — Magnésie - Constantinople - Scio*, Paris, Didier, 1848, p. 67.

³ Dans ce sens, Mircea Eliade, affirme que l'état germinatif du «début» équivaut lui-même à une mort: l'homme tue son existence profane, historique, pour se réintégrer à une existence «immaculée», qui n'a pas été atteinte de la mort. *Le mythe de l'éternel retour*, Paris, Presses Universitaires de France, 1969, p. 115.

⁴ *Ibidem*, p. 290.

La forme du présent narratif, la structure énumérative, le dynamisme du discours contribuent également à la dramatisation de cette description:

Ils se livrent à ces fantasias, qu'il chérit, en brandissant leur lance haute de quinze pieds et ornée à la pointe d'une houppe de plumes d'autruche noires [...] Parmi la foule qui se presse, on se recherche, on se rencontre, on s'embrasse, on se serre les mains, on se complimente. Les uns chantent et se réjouissent, les autres pleurent et se désolent, car la mort a emporté ceux qu'ils comptaient retrouver au retour. Des femmes poussent leur zadaït aigu; d'autres femmes s'arrachent les cheveux, déchirent leur voile et jettent du sable sur leurs têtes. Dromadaires impassibles marchent lentement, comme en cadence, au milieu de ce tumulte et de cette agitation.⁵

Le voyageur est captivé également par les manifestations paroxystiques de la souffrance, de la destruction, de l'horreur, de la mort, lorsqu'elles sont provoquées par le «spectacle» d'un incendie qui prend le palais impérial de Bosphore et qu'il trouve d'une «horreur et d'une beauté indicibles».

C'est une désintégration convulsive, un anéantissement qui envahit tout: les hommes, le monde végétal (quasi humanisé par l'intensité de la souffrance) et l'espace construit, tout se précipitant dans un spectacle effrayant à voir, atroce, qui frise une atmosphère d'Enfer dantesque. On entendait «la graisse des corps qui pétillait dans le feu», les cyprès se «tordaient dans les flammes», leurs branches «pleuraient des larmes de résine de feu», les poutres enflammées «tombaient sur le quai, rebondissaient et plongeaient dans l'eau», la fournaise avait «englouti tout et s'agita, tourbillonna, faisant voler les charbons comme si une roue y tournait», les flammes «se convulsionnaient et s'abattaient avec furie, s'élevaient en gerbes éblouissantes, comme un fleuve qui bouillonne», le fléau ravageait leurs demeures, l'incendie dévorait les toitures de ses «insatiables mâchoires» et finalement cinq cent maisons brûlèrent. Le dramatisme de la scène est renforcé également par l'isotopie des sonorités: on entendait le gémissement «criard» des pompes, le «bruissement» de l'incendie, les soldats jetèrent des «cris», quelques «sanglots inarticulés» éclatèrent, les branches «pleuraient des larmes», les toitures s'abîmaient avec un «fracas horrible» et craquaient, plusieurs caïques «éclatèrent comme des noix».

L'enfer évoqué n'est que le tableau de la purification par le feu, par la lumière, le moment qui précède le début d'un nouvel ordre, la mort – violente, ravageuse – étant un rite de passage vers un monde où l'on rétablit les rapports de pouvoir et les structures primordiales. Ce passage a des aspects guerriers, avec des échos de la lutte entre le bien et le mal, entre l'ancien et le nouveau. C'est le lieu où les extrêmes s'affrontent, pour que la lumière triomphe.⁶ Le feu et la mort provoquée par le feu sont indissolublement liés aux mythes de la résurrection. Le feu est également isomorphe de l'oiseau et de la parole, ayant un pouvoir

⁵ Maxime, *Le Nil*, Paris, Pillet fils aîné, 1854, p. 55.

⁶ Dans la perspective de Gilbert Durand, la lumière tend à devenir un éclair ou une épée, et les «schémas diairetiques du jour consolident les schémas de la verticalité». *Les Structures anthropologiques de l'imaginaire*, Paris, PUF, 1960, p. 154

créateur, souverain; dès que le néophyte (dans ce cas, il s'agit de Du Camp) descend dans la contrée de la mort, le monde entier retourne symboliquement dans la Nuit cosmique pour pouvoir être recréé, c'est-à-dire pour pouvoir être régénéré⁷.

Du Camp a le mérite d'avoir rendu par des mots très suggestifs les images de son voyage initiatique dans la contrée de l'Au-delà. Les images sonores renforcent la force de la description de rendre l'impact spirituel du rite de passage auquel nous assistons. Le texte glisse du «monde magique du sonore» vers «le monde neutre du visuel»⁸, parce que l'œil est plutôt un organe de la volonté, de l'intellect, de la connaissance extérieure, tandis que le principal organe de réception, celui qui implique le lecteur de façon substantielle, comme participant actif au rituel, c'est l'oreille. Le voyageur, pour lequel ce spectacle a été d'une beauté sans pareil, semble se plaire à contempler seul, plongé dans un silence absolu, ce lieu funéraire, qui suggère la fin du monde:

Et bientôt ce ne fut qu'un monceau de charbons fumants, au milieu desquels s'élevaient les troncs noircis et dépouilles des arbres et quelques hautes cheminées de briques restées debout comme des cippes funéraires.⁹

Les images de la mort, de la désolation, de la désintégration, de la fixité se juxtaposent avec des images de la vie, de la jeunesse, de la jouissance ludique, de la beauté florale, de l'éphémère. Durant son voyage à Suisse, au bourg de Rosière, Du Camp est attiré par le **cimetière** – comme «décor de la réversibilité»¹⁰ –, dont il recherche chaque tombe pour découvrir des inscriptions, et il se plaît à regarder les ossements humains, dont il fait une minutieuse description anatomique: côtes, fémurs péronés, maxillaires, clavicules «presque réduits en poussière», qui se trouvent à proximité des fleurs («des véroniques, des orties, des oseilles sauvages») et des enfants, qui jouent avec des «planches pourries» qui ont appartenu à des cercueils, s'y taillant des pièges pour prendre des oiseaux.

Cette image du cimetière où la mort est à côté de la vie, où le voyageur avoue se promener «pour chercher là un peu de fraîcheur», on la retrouve également dans une scène tout à fait émouvante pour lui qui l'«invite» à des réflexions philosophiques sur le sens de la vie et celui de la mort. Par exemple, dans le cimetière de Perso, près de Constantinople, il rencontre un petit enfant amené par la mère pour dormir sur la tombe de son père mort¹¹. L'écrivain s'arrête longuement sur cette image où le vivant, demeurant à côté du mort, anticipe d'une manière étrange, comme un **memento mori**, sa propre mort qui se

⁷ Mircea Eliade, *op.cit.*, p. 305

⁸ Marshall McLuhan, *La Galaxie Gutenberg*, Paris Galliard, 1977, p. 164.

⁹ *Souvenirs et paysages d'Orient*, *op.cit.*, p. 201.

¹⁰ Valérie Wernet, «Lieux clos, cœur ouvert: l'orientation spatiale dans *La Chaumière indienne* de Bernardin de Saint-Pierre», in S. Meitinger (s.l.d. de), *Espaces et paysages – Représentations et inventions du paysage de l'Antiquité à nos jours*, *op.cit.*, p. 88.

¹¹ *Souvenirs et paysages d'Orient*, *op.cit.* p.132 et suiv.

passera au bout d'un certain temps. C'est dire que la vie symbolise elle-même une mort future.

C'est une occasion pour Du Camp d'exprimer son pessimisme philosophique, qui fait de la mort une solution préférable à tous les tourments, tristesses, déceptions, échecs, malheurs de la vie. Les couples oppositionnels (cet «insoucieux enfant - ce mort», «l'un - l'autre»), la structure énumérative de la phrase, l'interrogation rhétorique, l'imaginaire de la mort, dans lequel elle est personnifiée, mais renvoie aussi à la sphère du monstrueux (elle vient «d'un lit glacé», elle a des bras «décharnés»), font ressortir, par le dramatisme qu'ils créent, la conception de l'écrivain sur la mort comme libération des entraves de la vie:

Tout était là dans cet insoucieux enfant qui dormait et dans ce mort trempé de larmes. L'un avait quitté l'âpre chemin de la vie, l'autre y traînait à peine ses premiers pas. Quel était le plus heureux? Celui que la terre enveloppait, n'est-ce pas, mon Dieu? Celui qui se reposait enfin des fatigues dont vous parsemez la voie où nous marchons? L'autre, qui maintenant dort paisible sur le sépulcre de son père, que lui adviendra-t-il? Comme à tous, des chagrins, des amours brisés, des lassitudes, des rêves éperdus, de longues amertumes, des désirs effrénés pour ce qu'on ne peut atteindre; et peut-être, si un jour sa mère lui raconte qu'il a dormi sur la tombe de son père, regrettera-t-il que le mort ne se soit pas relevé de son lit glacé, qu'il ne l'ait pas saisi de ses deux bras décharnés, et qu'il ne l'ait pas emporté avec lui dans les régions inconnues qu'il habite? ¹²

La mort est, dans ce cas, une occasion de construire une *consubstancialité symbolique* de l'enfant qui dort (le sommeil est regardé ici comme une petite mort) et de son père mort, évoquant l'écoulement continu du temps, comme le cycle continu naissance - mort – renaissance.

A Alexandrie, il visite le cimetière arabe ce qui répond à un penchant pour le macabre qui fait éveiller en lui la réflexion philosophique: «point de cyprès, point de sycomores, point de tourterelles, point de tombes en marbres», mais une «nudité stérile, une terre grise, laide et fatigante aux yeux, des sépulcres tous semblables, en brique et en pisé, et, dès le soir, les miaulements plaintifs des chacals, toujours affamés de cadavres»¹³. Les scorpions, les chauves-souris, voire les prostitués à la recherche des clients, complètent ce paysage désolant. Suit l'image d'une campagne bucolique, comme pour compenser l'effet morbide dans pages antérieures: «bouquets de palmiers poussés dans les sables roses», maisons paisibles, «de maigres herbes, des bandes de dromadaires et de chameaux qui reviennent du pâturage»¹⁴.

On décèle chez Du Champ une certaine complaisance morbide, une fascination qu'exerce le phénomène de la mort sur lui. Sarcophages, tombeaux, charognes, chacals, gypaètes aux aguets, momies, cadavres composent, en Égypte, particulièrement dans *Le Nil*, un décor funèbre qui contraste avec

¹² *Ibidem*, p. 133.

¹³ *Ibidem*, p. 155

¹⁴ *Ibidem*, p. 17.

l'image idéalisante du désert, où, «l'homme se sent réellement libre et fort». Là un chameau meurt, ailleurs, un mimosa mort élève son tronc dépouillé, la route et parsemée d'ossements de dromadaires blanchis et dispersés, plus loin des rats dévorent des restes de carcasses «encore garnies de leur peau tendue», au bout d'un certain temps le chameau mourant est déjà «à moitié dévoré». La visite de la léproserie de Damas éveille en lui à part la répugnance envers les malades quasi momifiés, une pitié indicible¹⁵. La mort est indispensable, pour que la vie soit possible, dans le circuit naturel de la matière dans l'univers.

Dans l'Hospice du grand Saint-Bernard, minutieusement décrit dans *Orient et Italie*, il y a une description de ce que l'on appelle *la grand'morgue* qui abrite «une douzaine de corps recueillis pendant le siècle dernier, et que le froid de ces hautes régions a conservés presque intacts»¹⁶ qui attise la curiosité du voyageur Du Camp. Au Caire, en dehors des murailles de la ville, sur une plaine «lépreuse et malade», «sale et laide» s'étalent les abattoirs qui exhalent des miasmes infects. Comme un vrai naturaliste, Du Camp se plaît à décrire l'endroit dans les moindres détails:

Autour vivent et pullulent des chiens hargneux, fauves et pelés, qui disputent des lambeaux de chair sanglants ou pourris aux gypaètes à pattes jaunes, aux milans, aux vautours chauves, aux buses criardes, aux faucons et aux chacals qui ne rôdent que la nuit¹⁷.

La visite de la grotte des crocodiles est une rude épreuve pour les voyageurs assoiffés de curiosités macabres. Les pierres gluantes (comme «des détritiques liquides de bitume fondu»¹⁸) rendent fatigant l'accès dans ces «*entrailles* de la terre». Cadavres entassés, momies, restes humaines et animaux, tous les accessoires du sinistre sont longuement présentés, l'atmosphère frôlant le roman noir gothique:

Dans une sorte de salle ronde, pleine de rochers arrondis, cadavre appuyé contre la paroi; œil démesurément ouvert, bras étendus, bouche tordue, menton plus que crispé, ventre collé au dos, traces certaines d'effroyables convulsions. [...] Les couloirs se rétrécissent, on rampe sur des ossements, sur des momies humaines et de crocodiles; leurs os rompent sous le poids de nos corps; baguettes de palmiers plantées çà et là pour servir de guidons. On arrive à un grand entassement; momies de toutes sortes réunies là; amoncellement de linges, de bandelettes, bois de cercueil, pieds, mains, monceaux de bitume, effroyable quantité de morts. Chauves souris qui volent autour des lumières et frôlent nos visages de leurs ailes silencieuses. Odeur acre et pénétrante qui prend à la gorge et fait tousser¹⁹

¹⁵ Maxime Du Camp, *Voyage en Orient (1849-1851)*, Notes, éd. Giovanni Bonaccorso, Messine, Peloritana, 1972, p. 292.

¹⁶ *Le Nil*, op.cit., p. 169.

¹⁷ *Ibidem*, p. 46.

¹⁸ *Voyage en Orient (1849-1851)*. Notes, op.cit, p. 36 et 37.

¹⁹ *Ibidem*, p. 86-87

Du Camp est fils de médecin, ce qui pourrait expliquer partiellement son attirance, sa fascination pour le mécanisme du corps humain, mort ou vivant, pour sa précision clinique. Il avoue ne connaître «rien de plus beau que l'étude *in anima vili* de cette magnifique machine qui est le corps humain»²⁰. Cette curiosité scientifique pousse le voyageur à visiter des musées d'anatomie dans son voyage en Hollande, où il passe de longues heures à assister à des autopsies, à visiter des collections de corps ou crânes humains, qui contiennent toutes les races et leurs principales variétés. Son attitude envers ces exposés est très variable, le seul dénominateur commun étant sa quête des formes que revêt la mort.

La description du premier crâne, conservé «dans un bocal plein d'esprit-de-vin» est une insolite association oxymoronique entre la mort et la vie, entre l'idée repoussante d'une figure décapitée et son image «d'une beauté admirable». Chose intéressante, l'écrivain fait renaître ce mort tel qu'il a été durant sa vie, avec tous les traits et particularités qu'il a eus de son vivant: sa tête est «d'une beauté admirable», il a un front «intelligent», un œil «profond», une lèvre «sensuelle». Ici, dans sa représentation, la mort est belle, la mort a des traits harmonieux:

Cette tête est d'une beauté admirable, couverte d'une longue chevelure si noire qu'elle en est bleue, ornée d'un front intelligent où se dessinent deux larges sourcils abritant un œil profond qui devait regarder loin et ferme lorsqu'il vivait; le nez est droit et mince; il s'abat sur une moustache très-longue dont les poils séparés laissent voir la bouche ouverte et les dents qui mordent la lèvre inférieure, épaisse et sensuelle; le menton, carré, s'harmonise bien avec les pommettes aplaties.²¹

La mort devient également une occasion de connaissance du monde et de l'homme dans le laboratoire. L'homme mort est vivant par le savoir que sa dépouille est offerte à la vie de ses semblables. Dans la description de la deuxième figure, qui retient, elle-aussi, toute l'attention du voyageur, la mort est représentée par une image hideuse, épouvantable, et l'imaginaire de la mort est plutôt onirique, chimérique, ténébreux, peuplé par des «gorgones», «vampires», «guivres», «corbeaux», figures cauchemardesques, «coquins»; les organes du corps sont à peine reconnaissables, suggérant des correspondances avec les règnes animal et végétal. La mort n'y est plus «belle» et «sensuelle», mais «sinistre» et «hideuse». Toutefois, comme dans l'extrait du texte précédent, on décèle chez Du Camp la même quête funèbre. La structure énumérative et répétitive du texte contribue à un plus de dramatisme comme le montrent avec évidence les lignes suivantes:

Jamais figure entrevue dans les rêves désordonnés d'un cauchemar, jamais guivre, jamais gorgone, jamais vampire, jamais face de coquin branché à dix pieds de terre avec un corbeau qui croasse sur son crâne, jamais idole des îles Sandwich ne fut plus lippue, plus hideuse, plus sinistre, plus épouvantable à voir que

²⁰ Maxime Du Camp, *En Hollande*, Paris, Poulet-Malassis et De Broise, 1859, p. 90.

²¹ *Ibidem*, p. 90.

cette tête formidable nageant dans son liquide transparent et jaunâtre. Une mousse de corruption flotte vaguement autour de ses babines froncées, ses oreilles sont larges et écailleuses comme des huîtres fermées, un poil rare et grisonnant court sur sa peau plus ridée qu'une pomme de reinette centenaire; son front fuit et semble se prolonger par derrière jusqu'à son cou, qui n'est plus qu'un moignon livide; son nez aplati, ses lèvres épaisses comme les rebords d'un vase et collées contre les parois de verre, donnent à tous les traits un air épaté et une mollesse repoussante. Jadis ce visage était noir, naturellement, puisqu' il appartenait à un nègre; il est déteint dans l'alcool, aujourd'hui il est vert-choux: c'est à en rêver.²²

Comme nous l'avons déjà affirmé, ce n'est pas seulement la mort humaine qui soulève l'intérêt de Du Camp, mais aussi celle des animaux rencontrés sur les longues routes qu'il traverse, le plus souvent au désert. L'épisode de l'agonie d'un chameau rencontré au lieu dit Bir-el-Sed en Egypte (le chameau a été un animal qui a fasciné Du Camp) est parmi les plus intéressants de ce type. Du Camp s'arrête longuement sur l'animal blessé, dont il donne une représentation dramatique, qui dépasse beaucoup son cadre réaliste:

Près du puits, il y a un chameau qui meurt; il est couché sur le flanc droit; sa tête, renversée en arrière, regarde avec des yeux suppliants qui roulent tristement dans leur orbite agrandie par la maigreur; il remue convulsivement la jambe hors-montoir, il entrouvre ses longues lèvres sans pouvoir crier, et de temps en temps il pousse de gros soupirs. Voilà trois mois qu'il est là, mourant chaque jour en détail. Une nuit, en passant, il est tombé dans le puits et s'y est brisé la cuisse. Son maître l'a traîné près de la route, et chaque fois qu'il fait le voyage du désert, il dépose à côté de lui une petite provision de fèves sèches et de paille hachée ; les arabes ababdehs lui donnent à boire, et le pauvre animal restera là, râlant et souffrant, jusqu'à ce que la mort le prenne. Les bêtes féroces n'ont point encore osé le dévorer, car cet endroit, très-fréquenté, sert presque à chaque instant du jour et de la nuit de lieu de campement à quelque caravane.²³

La description du chameau qui lutte pour ne pas mourir, mais qui est frappé par le coup du destin implacable, que les hommes nourrissent – chose assez étrange – depuis des mois, bien qu'il soit immobilisé, vient illustrer symboliquement le spectacle de la mort assistée, l'impossibilité de nous soustraire à la mort, en dépit du désir fort de l'éviter, en dépit des interventions des autres. Transposant cet épisode sur plan humain, il s'agit de la lutte désespérée pour la vie de celui qui n'est pas préparé à accepter le fait que la mort est un **seuil** et non pas un final.

²² *Ibidem*, p. 91.

²³ *Le Nil, op.cit.*, p. 274.

Dans l'interprétation de Sarga Moussa, on pourrait voir cette scène comme l'expression symbolique d'un état «pathologique» de la société, dont Du Camp connaît le diagnostic, comme quelques uns de ses contemporains, et qu'on retrouve dans son livre *Les Convulsions de Paris* (publié en 1878). Arrivant à partager les convictions saint-simoniennes, Du Camp considère que les dérèglements sociaux ne sont pas seulement négatifs, que les «convulsions» qu'éprouve le XIX^e siècle, qu'elles soient de nature sociale, politique, religieuse, sont «le symptôme d'une mort qui annonce elle même une renaissance»²⁴. Dans la préface aux *Chants modernes*, Du Camp affirme: "Toutes les souffrances qui secouent l'Europe depuis soixante ans présagent l'événement et l'avènement: ce n'est point sans but que les nations sont livrées aux douleurs. [...]. La terre se remue, comme une Clorinde du Tasse, elle détache une à une les pièces de son incommode armure, pour revêtir un costume nouveau. Elle s'agite, elle tremble sur ses pôles; elle jette à l'oubli ses lois, ses rois et ses chefs; elle semble prise de vertige et se retourne de convulsions en convulsions".²⁵

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²⁴ *Ibidem*, p. 8.

²⁵ Maxime Du Camp, *Les Convulsions de Paris*, Didier, 1853, p. 12.

DIALECTAL TRACES AND OTHER PHONETIC FEATURES IN MORISCO TRANSLATIONS OF THE QUR'AN

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Abstract: *This paper provides an account of the phonetic transformations of the Arabisms in Morisco manuscripts dated back to the 16th century and the first decade of the 17th one, by analysing various translations and transcriptions of the Qur'an. The present work is therefore a partial replica of a previous linguistic study carried out by Reinhold Kontzi on the Qur'anic Morisco fragment found in RESC/41.1. Perhaps the most important novelty of the paper at hand is the inclusion of two unedited manuscripts in the research, viz. RESC/37M.2 and RESC/101D.2 of Biblioteca Tomás Navarro Tomás, Madrid.*

Keywords: *calque language, Hiero-Sprachbund, Arabisms, Andalusí Arabic, Aljamiado, Islamic Spanish.*

1. Introduction

The Morisco translations of the Qur'an share a common diction that finds a parallel in the style and language of the scriptural texts.¹ As such, the Qur'anic translations carried out by the Iberian cryptic Islamic community² make an extensive use of wordings moulded upon Arabic syntactical patterns.³ Hence, they confer to the written Morisco Romance variety a strong Islamic stamp.

Such a rendition of the sacred text results in a calque language imbued with morphological, syntactical and lexical Arabisms, which finds its two other defining traits in the numerous Aragonese influences that pervade it throughout, and in the archaic flavour, which gives it the appearance of a text that predates the Renaissance era.

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¹ López-Morillas, C., *The Genealogy of the Spanish Qur'an*, in *Journal of Islamic Studies*, 17, 2006, pp. 310-311

² For more on Crypto-Islam, see Rubiera Mata, M.^a J., *Los moriscos como criptomusulmanes y la Taqiyya*, in Teruel, Centro de Estudios Mudéjares, IX Simposio Internacional de Mudejarismo. Actas, pp. 537-547 and Bernabé Pons, L.F., 2013, *Taqiyya, niyya y el islam de los moriscos*, in *Al-Qanṭara XXXIV* (2), 2004, p. 491-527.

³ Resorting to such constructions results more often than not in passages that are difficult to comprehend, or even unintelligible. For more on this, *vid.* Abboud-Haggag, S., *Al-Tafrī' de Ibn-Ḡallāb. Edición, estudio lingüístico y glosario del manuscrito aljamiado número XXXIII de la Biblioteca de la Junta y su confrontación con el original árabe* [PhD Thesis], Madrid, Universidad Complutense, 1997, p. 91.

2. Status quaestionis

The Aljamiado literature sparked an increasing interest in the last decades among the philologists.⁴ In the field of Qur'anic studies, worth mentioning are those of Pablo Gil and Ribera⁵, Losada Campo⁶, Kontzi⁷, López-Morillas⁸, Hermosilla⁹, Epalza¹⁰, Bernabé-Pons¹¹, Villaverde Amieva¹² and Martínez de Castilla¹³. Aside from these, there are a number of PhD theses¹⁴ which aim to edit

⁴ Vid. Rubiera Mata, M. *JBibliografía general de moriscos*, Alicante, Biblioteca Virtual Miguel de Cervantes, 2006. (<http://www.cervantesvirtual.com/nd/ark:/59851/bmcbpof0>)

⁵ Gil, P., Ribera, J., Sánchez, M., *Colección de textos aljamiados*, Zaragoza, Guerra y Bacque & Comas, 1888.

⁶ Losada Campo, T., *Estudio sobre Coranes Aljamiados* [PhD Thesis], Barcelona, Universidad de Barcelona, 1975.

⁷ Kontzi, R., Observaciones acerca del fragmento 41.1 de la Biblioteca de la Junta. – Allah: gua-ldahu / bi-lehi, in Oviedo-Madrid, Universidad de Oviedo-Editorial Gredos, Homenaje a Alvaro Galmés de Fuentes II, 1985, pp. 529-545.

⁸ López-Morillas, C., *The Qur'an in Sixteenth-Century Spain: Six Morisco Versions of Sura 79*, London, Tamesis Books1, 982.

López-Morillas, C., *Trilingual Marginal Notes (Arabic, Aljamiado and Spanish) in a Morisco Manuscript from Toledo*, in *Journal of the Asiatic and Oriental Society* CIII (3), 1983, pp. 495-504.

López-Morillas, C., *El Corán de Toledo*. Edición y estudio del manuscrito 235 de la Biblioteca de Castilla-La Mancha, Gijón, Trea, 2011.

⁹ Hermosilla Llisterri, M.J., *Una versión aljamiada del Corán, 58, 1-3*, in Madrid, Al-Qanṭara IV, 1983a, pp. 423-427.

Hermosilla Llisterri, M.J., *Dos glosarios de Corán aljamiado*, in Barcelona, Anuario de Filología IX, 1983b, pp. 117-150.

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¹⁰ Epalza, Mikel de, *El Corán y sus traducciones: propuestas*, Alicante, Universidad de Alicante, 2008.

¹¹ Bernabé Pons, L.F., *Interferencias entre el árabe y el romance en los textos coránicos aljamiados*, in Madrid, P. Bádenas et al.(eds.) *Lenguas en contacto. El testimonio escrito*, 2005, pp. 109-126.

¹² Villaverde Amieva, J. C., *Aljamiado reprobar 'someter a prueba'*, in Frankfurt-Madrid, Vervuert-Iberoamericana, *Lenguas en diálogo. El iberorromance [sic] y su diversidad lingüística y literaria. Ensayos en homenaje a Georg Bossong*, 2008, pp. 351-368.

¹³ Martínez de Castilla, N., *Una biblioteca morisca entre dos tapas*, Zaragoza, Instituto de Estudios Islámicos y del Oriente Próximo, 2010.

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some of the Qur'anic manuscripts. They also deal with historical and cultural aspects, and with different features of the language: archaism, dialectal traits and most importantly, its most defining trait – the Arabic influence. However, besides from briefly accounting for the loanwords present in the texts at hand, few of the linguists went more in depth regarding the Arabisms. Among them are Soha Abboud-Haggar, who classifies Arabisms according to their degree of assimilation into Romance; Casassas,¹⁵ who postulates the existence of a Sprachbund of a religious nature; and, most importantly, Kontzi,¹⁶ with a study that deals with the phonetic transformations present in the loanwords in question.

3. Methodology

We based our analysis on a corpus of twenty manuscripts, seventeen of which are written in *aljamía* (viz. Spanish in Arabic alphabet). The other three are written in Latin script, namely RESC/41.1, RESC/60, and T 235.

After selecting the sequences relevant for the present work, we transcribed them – for the sake of brevity we dispensed with the use of a complicated transcription but in a few necessary instances, and we adopted a system similar to the one outlined by Kontzi¹⁷ –, then we used the technique of juxtaposing in order to compare similar passages from different manuscripts. Finally, we took note of the similarities and differences in the phonetic transformations undergone by same loanwords in different texts. In our analysis, we also took into account the degree of assimilation of the Arabisms.

4. Analysis

4.1. Arabisms fully assimilated into Romance

Such loanwords function just like any other Romance word. Their spelling fails to show their Arabic origin.¹⁸ However, their structure gives away the Semitic etymology. Having undergone phonetic transformations similar to those from Latin to Romance, the process can be reversed in order to reveal the etymon of those terms.

Perhaps the most renowned example, *hasta* from Arabic *ḥaṭṭa* – an Arabism present in Romance from the very first samples of writing in Spanish, in the 11th century¹⁹ – is found in all manuscripts in an array of forms, ranging from the most archaic spellings and up to the modern ones:

(1) ar. *ḥattā* > *fasta*, *hasta*, *hata*

¹⁴ See, for example, Hajri, M., *Un Corán aljamiado* (Ms. II-IV-701 de la Biblioteca Medicea-Laurenziana de Florencia) [PhD Thesis], Oviedo, Universidad de Oviedo, 2005.

¹⁵ Casassas Canals, X., *La literatura aljamiado-morisca en el marco de la literatura islámica española: siglos XIII-XVII* (una variedad del castellano vinculada al hiero-sprachbund islámico), in Rabat, Los moriscos y su legado desde ésta y otras laderas, 2010, pp. 368-396.

¹⁶ *ibidem*

¹⁷ *ibidem*

¹⁸ Abboud-Haggar, *idem*, p. 58

¹⁹ For the presence of *ata* in the 11th century *Glosas Emilianenses* and *Glosas Silenses*, please see Morera Pérez, M., 1999, *El arabismo español hasta: su evolución formal y semántica*, in Verba 26, pp. 81-95.

BNM 5078 [f. 2r]^{II, 255}/Al·lah es Aquesl que no á otro señor sino Él, el Bibo, Mantenible, Wardador a la obra de la persona(h) **fasta** que le dé gualardón por ell.(h). [...]

BNM 4963 [f. 5v]^{II, 255}/Al·lah es Aquel que no ay otro señor sino Él, el Bi[bo], Mantenible, Guardador de la-obra de la persona **fasta** que [le] da gualardón por-ello. [...]

RAH T-13 [f. 36r]^{II, 255}/Al·lah es Aquel que no ay otro señor sino Él, el Bibo, Mantenedor, Wardador de la 'obra de la persona **fasta** que le da walaradón por ello. [...]

RAH T-18 [f. 137v]^{II, 255}/Al·lah es Aquel que no á señor sino Él, Bibo, Sustenedor, Guardador de la 'obra de la persona **fasta** darle gualardón por-ella. [...]

BNCF [p. 11]^{II, 255}/[...] ay otro señor sino Él, Bibo, Mantenible, Wardador de la obra de la persona **hasta** que le da walaradón por ella. [...]

RESC/101 [h. 9v]^{III, 255}/Al·lah es Aquel que no ay señor sino Él, el Bibo, Mantenible, Guardador de la obra de la persona **hata** que le da gualardón para ella. [...]

RESC/39 [f. 89v]^{II, 255}/Al·lah es Aquel que no ay señor sino Él, el Bibo, Mantenible, Guardador de la obra de la persona **hata** que le da gualardón para ella. [...]

RESC/58 [f. 6 v]^{II, 255}/Al·lah es Aquel que no ay señor sino Él, el Bibo, Mantenible, Guardador de la obra de la persona **hata** que le da gualardón para ella. No lo toma suño, ni dormir. [...]

The loanwords in question entered Spanish directly via the Andalusí Arabic variety, and as such they exhibit dialectal features, among which we note:

(2) Haplological dissimilation. Illustrative in this regard is *alfalfeç*, from the Arabic *al-fašfaša*.²⁰

T 235 [f. 337r]^{LXXX, 26-31}/Y hazemos naçer en ella granos, y hubas, y **alfalfeç**, y oliveras, y datileras, y verjeles de arboledas gruesas, y fructas y yerbas, espleyte para vosotros y a vuestros animales.

(3) Monophthongisation, suggested by instances like *ador*, from the Arabic *addáwr*,²¹ in spite of the conservative nature of the Andalusí dialect.²²

T 235 [f. 35r]^{III, 140}/[...] Y aquellos días pusimoslos **ador** entre las gentes [...]

(4) Devoicing of the occlusive /d/ in coda position, and disappearance of the bilabial voiced stop to judge from the spelling of *ataúd*²³ from the Andalusí Arabic term *attabút* (Corriente, 2003: 30).

²⁰ López-Morillas, C., 2011, *idem*, p. 568.

²¹ Abboud-Haggag, S., *De extranjerismos a arabismos. Ejemplos retraídos de una traducción al romance bajomedieval*, in *Nuevas aportaciones al estudio de la lengua española*. Investigaciones filológicas, Salamanca, Luso-Española de Ediciones, 2001, p. 78.

²² Corriente, F., *A Descriptive and Comparative Grammar of Andalusí Arabic*, Leiden-Boston, Brill, 2013, p. 7.

T 235 [f. 217r]^{xxviii}, 7/Dixo Al.lah: «Y ymfluymos a la madre de Muçe que diese a tetar a Muçe.» Dixo: «Y quando abrás miedo sobr-él – que te lo demandarán –, pues lançarlo-as en el mar. Y no ayas miedo ni te entristezcas, que Nós lo volberemos a ti y lo meteremos d-ellos mensagero.» Y halláronlo a la orilla del mar los de Firaón – y eranvnas labanderas las que lo hallaron en vn **ataúd**, y traxéronlo a Firaón.

4.2. Morisco Arabisms

4.2.1. Neologisms

They are quite easy to spot, given that they retain a spelling faithful to the Arabic one²⁴ under the hands of the learned figures among the Morisco scribes.

(5) ar. *al-ʿuqūba(t)* > *alʿuqūba*

BNCF [p. 361-362]^{xcix}, 8/I quien abrá hecho peso de una hormiguica chica de mal, ber-lo-´á, quiere dezir que el descreyente si hará buena obra, berá su walaradón en este mundo en su persona, y-en su compañía, y-en su algo, y-en sus hijos hasta //<hasta> que salga del mundo, i no abrá en poder de Al-lah bien ninguno. Y-el creyente si hará malas obras, berá su **alʿuqūba** en-este mundo kon enfermedades, i perdu(w)as de algos, i muertes de hijos. Y-aquello le será rredimisión i saldrá d-este mundo sinse de pecado ninguno.

Nonetheless, they prompt certain aberrant spellings and even curious writings – as the instance **alğušu**, which appears to be a *lectio faciliior* – under the hands of those that seem to have been apprentice scribes, to judge from instances like:

(6) ar. *al-ʿuqūba(t)* > *alʿaqūba*, *alğušu*

RESC/39: [h. 145v-146r]^{xcix}, 7-8/Pwes quien obrará peso de una hormiga chica de bien – ver-lo-á, i quien obrará peso de una hormiga de mal, ver-lo-á. Quiere dezir el descreyente si hará // buena obra, verá su gualardón en su persona y-en su compañía y-en su algo y-en sus hichos hata ke salga del mundo. I no abrá en poder de Al-lah ningún bien. Y-el creyente si hará mala obra, verá su **[alʿaqūba]** en este mundo de enfermedades i [perdidas] de algos i hichos. Y-aquel le será derremisión i saldrá del mundo sin mal ninguno.

BNP 425 [f. 104v]^{xcix}, 7-8/Pues quien obrara peso de una formiga de mal, ber[leç-de-an], quiere di[zi]r qu-el descreyente si fará buena obra, berá su walaradon en su persona y-en su compañía y-en su algo i abrá en poder de Al-lah ningún bien. El creyente si fará mala obra, berá su

²³ *idem*, p. 10

²⁴ Abboud-Haggar, S., 1997, *idem*, p. 60

al[gušu] [sic] en este [mundo] d-enfermerias i perduas de algos i fillos; aquello le será alkafar. I salrra del mundo sines de mal nenguno.

One such peculiar writing is the hesitant spelling of *matres lectionis*, in the case of some historically long vowels, as reflected in the examples below:

(7) ar. *mīm* > *mim*

BNM 4963 [f. 3r]^{II, 1}/[***] es Al·lah, i el lem es Ġibrīl, i el **mīm** es Muḥammad [...]

BNCF [p. 7]^{II, 1}/Dixerón los ^oalimes qu-el alif es Al·lah, i el lem es Ġibrīl, i el **mīm** [sic] es Muḥammad [...]

As opposed to:

(8) ar. *mīm* > *mīm*

BNM 5078 [f. 1r]^{II, 1}/Disieron los ^oalimes qu-el alif es Al·lah, i (y-)el lem es Ġibrīl, i (y-)el **mīm** es Muḥammad [...]

RAH T-18 [f. 136v]^{II, 1}/El alif es Al·lah, el lem es Ġibrīl, el **mīm** es Muḥammad [...]

RESC/101 [h. 3v]^{II, 1}/Dixerón los ^oalīmes que el alif qu-es Al·lah, i el lem es Ġibrīl, y-el **mīmes** Muḥammad [...]

BNM 5223 [f. 6 r]^{II, 1}/Dixerón los ^oalimes qu-el alif es Al·lah Subḥānahu, tan bendicho es, i el lem es Ġibrīl, i el **mīmes** Muḥammad [...]

RESC/51 [f. 5r]^{II, 1}/[...] i dixo: «En { 'lm } que el alif es Al·lah, i el lem es Ġibrīl, i el **mīm** es Muḥammad { ṣm }.»

There is a host of such Arabisms throughout the manuscripts at hand, such as:

(9) ar. *at-tawrā(t)* > *atawré*

(10) ar. *al-īnġīl* > *alinġīl*

(11) ar. *ḥalāl* > *ḥalel*

(12) ar. *ḥarām* > *ḥaram*

BNM 5252 [h. 2 v]^{III, 3-4}/[...] porque asī lo dize Al·lah Ta^c.là fī quitābihi l-^caziz [...] [h. 2 v^o] quiere dezir que Al·lah Ta^c.alà deçendíó del çielo el-**atawré** a Muçà – ^c.l.m. – y-el-**alinġīl** a ^c.Īçà – ^c.l.m. –, esto fue guía para las jentes. Enpres deçendíó l-Alqor'en sobre M.ḥ.mm.d. – ṣ.^c.m. – [h. 3 r^o] para declarar la **ḥalel** i la **ḥaram**, por el cual Alqor'en muchas inumerables jentes se guíarán i viven en la verdad [...]

4.2.2. Arabisms in an intermediate stage of assimilation

This stage includes the spellings that show some phonetic transformations, while they preserve some of the Arabic sounds.²⁵

Hesitant spellings are also characteristic for this stage, with forms of the same word alternating between rather conservative transcriptions and the more Latinized ones.²⁶

²⁵ Abboud-Haggar, *idem*, p. 59

- (13) ar. *raka'a*, *rak'a(t)* > *arraquear*, *arraque@r*; *arraqueante*, *arrac@nte*
T 235 [f. 3r] ^{II, 45}/Y mantened el aççalá, y pagad el azaqué y
arraqueaos con los **arraqueantes**.
T 235 [f. 28r] ^{III, 43}/Ye Maryam, obedece a tu Señor, y açájdete
y **arraqué@te** con los **arrac@ntes**.
- (14) ar. *aş-şalā(t)* > *aşalaes*
RESC/37 [f. 235r] ^{II, 3}/akellos que creen con lo absente i
mantienen los çinco **aşalaes** i de lo que les damos en arrizqi
espienden.
- (15) ar. *al-malak* > *almalaques*
- (16) ar. *al-kitāb* > *alquitebes*
BNCF [p. 18-19] ^{II, 285}/Cree el mensajero Muḥammad // con lo
que fue deballado a él de su Señor. I los creyentes todos
creyeron con Al·lah, i sus **almalaques**, i con sus **alquitebes**,
i sus mensajeros. [...]
RAH T-13 [f. 41v] ^{III, 18}/Faze testimonio Al·lah que no ay otro
señor sino Él. Asimesmo teste[*mo]nian los **almalaques** i los
del sab[*er], [***] creyentes mantenibles a las justiçias: «No
ay otro señor sino Él, el Onrrado, Çient.»

4.3. Morisco Arabisms in the context of an Islamic *Hiero-Sprachbund*

As Galmés de Fuentes²⁷ noted, such loanwords were adopted by Romance in spite of the existence of apparent equivalents in it. However, the adoption of Arabic items is due to Moriscos' efforts to preserve the Romance text free of Christian semantic connotations. Grigore made a similar note on the creation of an Islamic lexicon by Muslim peoples,²⁸ while Villaverde Amieva supports the idea of a religious linguistic alliance.²⁹ By the same token, as we have already mentioned above, Casassas³⁰ proposed the existence of a vernacular influenced linguistically by its religious philiation, in the context of an Islamic *Hiero-Sprachbund*, namely by Arabic as Islam's liturgical language habitually employed by the believing community.

According to Casassas,³¹ the influence of such such a Sprachbund of a religious nature first manifests itself in the emergence of a written calque language, employed for didactical and liturgical purposes. Thus, to our understanding, the community at hand articulates its linguistic reality around two levels of diglossia – the written liturgical one, embodied in a calque language moulded upon the Semitic syntactical patterns and incrustrated with a vast array of calques and loanwords. It follows thence, that the other level, the one of the spoken vernacular, gradually receives the influence of the written language and

²⁶ ibidem

²⁷ Galmés de Fuentes, 2009, pp. 115-116

²⁸ Grigore, G., 1997, p. 38.

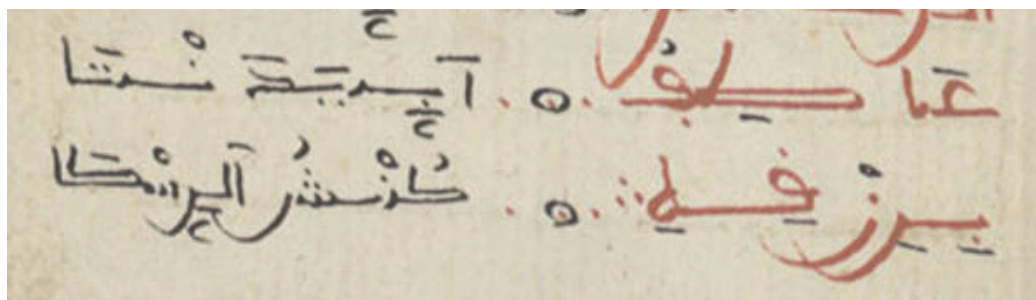
²⁹ Villaverde, reprobar

³⁰ Casassas Canals, X., *idem*, p. 377-378

³¹ ibidem

therefore the loanwords are employed in the spoken language as well, now a hiero-variety of the religion in question.

In our opinion, such a phenomenon is reflected on one of the pages of codex 1420 of Biblioteca de Catalunya, f. 41v. On the bottom of the page, the Morisco scribe wrote a supplication in two columns: on the right side he carefully copied the Arabic text, while on the left one he wrote its translation. The interesting part comes when for the Arabic *rizq* he employs the Morisco loanword, with a Romance spelling – *a(l)rriçque*. He clearly writes *kāf* in Romance for the Arabic *qāf*. Such instances are from our point of view reflections of the phenomenon proposed by Casassas.



© Biblioteca de Catalunya.

Folio 41v of ms. 1420, where the Morisco translations clearly reads “*Api(y)adante con su a(l)rriçque*” for its Arabic counterpart “*‘Āṭifun bi-rizqihī*”.

4.4. Phonetic transformations in Morisco Arabisms

4.4.1. Vocalism and consonantism

In the framework of vocalism, a common phenomenon is the vowel shift marked by a palatalising tendency, traditionally known as *imālah* outside a velar or pharyngeal contour.³² Our manuscripts are no exception to this rule:

- (17) ar. al-islām > aliçlem (T 235, f. 10v)
- (18) ar. al-kitāb > alquiteb (T 235, f. 2r)
- (19) ar. ḥalaqa > ḥalecar (T 235, f. 136r)
- (20) ar. Yaḥyā > Yahye (T 235, f. 28r)
- (21) ar. ‘Īsā > Yçe (T 235, f. 6v)

Contrariwise, such a vowel raising is not expected in *imālah*-inhibiting contours, namely in the vicinity of velar or pharyngeal consonants:³³

- (22) ar. aṣ-ṣadaqa > aççadaca (T 235, f. 14r)
- (23) ar. Ramaḍān > Rramadan (T 235, f. 14v)
- (24) ṭahara > ttaharar (T 235, f. 44v)

³² Corriente, F., *idem*, p. 1.

³³ *idem*, p. 2.

In the vicinity of /i/, there are some reflexes of the so-called *Umlaut-imālah*,³⁴ to judge from instances like:

(25) ar. an-niyya(t) > ynía (T 235, f. 86v)

There are certain cases that suggest the existence of an allophone [e] of the **high front unround vowel /i/**, which entered the realm of the Romance phoneme /e/:

(26) ar. al-ğinnī > alchinne (T 235, f. 305r)

There are some instances when the allophone in question was identified by Romance ears with their phoneme /a/:

(27) ar. al-ʿifrit > al@frite (T 235, f. 213r)

(28) ar. infiṭār > infattar (T 235, f. 338r)

By the same token, in the vicinity of velars or pharyngals, the allophone [o] of the **high back round vowel /u/** was readily identified by Ibero-Romance speakers with their phoneme /o/:

(29) ar. as-sūra(t) > aççora (T 235, f. 1v)

(30) ar. al-furqān > alforcan (T 235, f. 1v)

(31) ar. al-ʿumra > alomra (T 235, f. 12v)

(32) ar. ar-rūḥ > arroḥ (T 235, f. 55r)

(33) ar. Lūt > Lott (T 235, f. 74r)

(34) ar. Nūḥ > Noh (T 235, f. 2v)

(35) ar. Ṭūri Sīnā > Ttoricine (T 235, f. 4v)

(36) ar. Yaʿqūb > Ya@cob (T 235, f. 10v)

Diphthongs /aw/ and /ay/ were generally preserved:³⁵

(37) ar. at-tawrā > ataura (T 235, f. 4v)

There are, however, some that show monophthongisation:

(38) ar. al-lawḥ al-maḥfūz al-lóh almahfod (T 235, f. 169v)

There is a host of spellings reminiscent of a lateralised velarized voiced alveolar occlusive of a South Arabian stock in the Morisco Qur'anic manuscripts, as noted by Kontzi regarding ms. 41.1,³⁶ to judge from the instances:

(39) and. ar. *Aḷḷāhu* > *Uldahu*, *Aldahu*

RESC/41.1 [f. 6v-7r] ^{II, 286}/Le yucalifu **Uldahu** nafçen jle guçahe; lahe me caçabat, gua-alaihe me aqtaçabat.

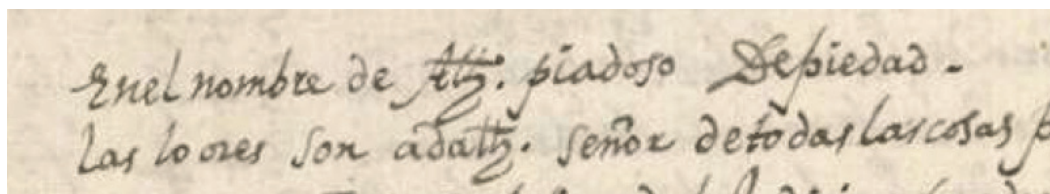
RESC/41.1 [f. 7r] ^{III, 2}/**Aldahu**, le ilehe ila Hugua, al-Haju, l-Cajum.

³⁴ *idem*, p. 3

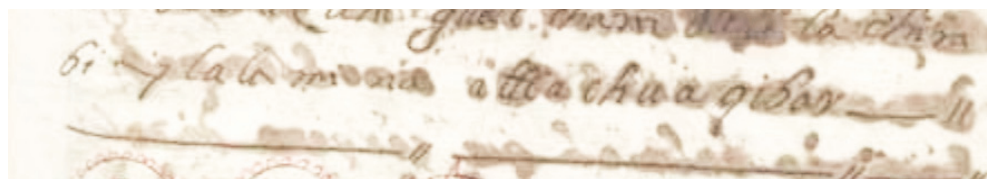
³⁵ On the conservative nature of the Andalusí Arabic dialect and on monophthongisation, *vid. supra*.

³⁶ Kontzi, *idem*, p.

Such a realization is further supported by various Morisco spelling devices of “Allah”, with one or several >l< with stroke, namely >Hl< or >Alh<,³⁷ for example:



© Biblioteca de Castilla-La Mancha, ms. 235, folio 1r.



© Biblioteca Tomás Navarro Tomás, ms. RESC/60, folio 122v.

We note as well instances that reflect the merger of dentals and interdentalals – as a hallmark of the dialectal influence. Thus, interdental /d̪/ becomes /d/:

(40) ar. *darrat*ⁱⁿ > *darrata*, *adarra*, *darratin*

BNM 4963 [f. 121v-122r]XCIX, 7-8/Pues quien obrará peso de una **darrata** de bien, veyer-len da. I quien obrará peso de una **darrata** de mal, veyer-le[s] da. Quiere dezir que el descreyente si fará buena obra, verá su gualardón en su persona y-en su conpañia i su algo y-en sus fijos fasta que salga del mundo. I no abrá a él en poder de Al-lah ningún bien. Y-el creyent si fará en est mundo // mala obra, verá su castigo en este mundo d-enfermedades i perdidas de bienes i fijos. Aquello le será derremisió i sallirá del mundo sinés de pecado, ni mal niguno.

RESC/47: [f. 65v-66r]^{XCIX, 7-8}/Pues quien obra peso de una **adarra** de bien – ver-lo-á, i quien obra peso de una **adarra** de mal – ver-lo-á en la otra vida. Dišo ‘Alī fijo de Abī Šalahata por Ibnu ‘Abās, diso: «No ay creyente, ni dešcreyente que aya obrado buena obra o mala, que no se la depare Al-lah a él en la otra vida. A cuanto al creyente, pues da-le a ver sus alḥaçanas i sus pecados i perdóna-le Al-lah sus pecados, i da-le gualardón por sus alḥaçanas. A cuanto al descreyente, pues da-le a ver sus alḥaçanas i sus pecados, i creçe sobr-él sus alḥaçanas i ‘adéba-lo por sus pecados.» Diso [Sahallu]: «La más justa // aleya que está en el Alqor’en en igualdad entre lošḥaleqados es Su dicho de Al-lah ‘Aza wa Ġall: {Fa man

³⁷ *ibidem*.

yaʿmal miṭqala **darratin**ḥayran, yarahu. § Wa man yaʿmal miṭqāla **darratin** šarran, yarahu.} [sic] Y-el **darra** es como una [***] de las del sol cuando dentra por una ventana. Diso Abu Muḥammad: «A cada sierbo abrá el día del juicio un peso, que ay dos balanças i son puestas las alḥaçanas en la balança del aberdadeçimiento, i los pecados – en la balança de la verdad. I la justiça está en la lengua del peso, puessi creçen las alḥaçanas sobre los pecados, es salbo, i si son iguales, no ay sobr-él gualardón, ni tormento, i si son más los pecados, ténese sobr-él el castigo. I Al·lah es Perdonador, Piadoso.» [...]

By the same token, interdental /ð/ becomes /d/, as suggested by the following writings:

(41) ar. *ad-ḏuhr* > *addóhar*, *addóhar*

T 235 [f. 333r-333v] ^{LXXVI, 25}/Y nombra el nombre de tu Señor por la mañana /y es el // aççala de aççobhi/ y de tarde /y es el aççalá de **addóhar** de de al@ççar/.

T 235 [f. 229r] ^{XXX, 18}/Y a Él son las loores en los çielos, y en la tierra y en las tardes /y es el aççalá de **addóhar**. [...]

As for the guttural sounds, the copyist of BNP 1163 substitutes >ḥ< for >ḥ<. Such a merger of the two Arabic phonemes should be seen as a sheer consequence of the Romance phonetic rules, applied upon the Arabism after its adoption into Moriscos' language:

(42) ar. *ḥalaqa* > *ḥaleqadas*

BNP 1163 [f. 127v] ^{1, 2}/Las loaçiones son ad-Al·lah, Señor de todas las cosas **ḥaleqadas** [sic].

As opposed to the readings exhibited by its counterparts:

(43) ar. *ḥalaqa* > *ḥaleqadas*, *ḥaleqados*

BNM 4963 [f. 2r] ^{1, 2}/Las loores son a Al·lah, Señor de todas las cosas **ḥaleqadas**.

BNCF [p. 5] ^{1, 2}/La lo'açion es ada Al·lah, Señor de todas las cosas **ḥaleqadas**.

RAH 11/9414 (olim T-18) [f. 136r] I, 2/La lo'or es ada Al·lah, Señor de todas las cosas *ḥaleqadas*.

BNM 5223 [f. 5v] I, 2/Las loores ada Al·lah, Señor de todas las cosas *ḥaleqadas*.

BAH [1r] I, 2/Su *dezir* de Al·lah ʿAzza wa Ğall. Es que loo su persona i mandó a los sierbos que loasen i-el loar es la agradeçençia de la graçia. Señor de todas las cosas, i son los *ḥaleqados*.

RESC/51 [f. 4v] I, 2/Es que loó Su persona i mandó a los sierbos que Lo loasen. I la loor es el agradeçençia de la graçia. Señor de todas las cosas, i son los *ḥaleqados*.

Similarly, as a consequence of the poor perception of velarized consonants by Romance ears, we need to take into account the merger of velarized and plain phonemes, proven by examples such as:

- (44) ar. *ar-rizq* > *arrizq*, *arrizque* (i.e. *arrizke*)

BNM 5078 [h. 6r-6v] ^{III, 28}/Faze entrar la nuei [sic] en el día, e faze entrar el día(h) en la nuei, quiere dir qu-el minguant [sic] del día es creçimiento en la nuei, i (y-)el menguamiento en la nuei, es creçimiento en-el día. I saca(h) el vivo(h) del muerto(h), i saca(h) el muerto(h) del vivo(h). I das **arrizq**³⁸// a quien quies [sic], sinde de mereçimiento, ni conto.

RAH T-13 [f. 35 r^o] ^{II, 3}/aquellos que temen ada Al·lah, i-(y)aquellos que creyerán con lo [ab]bsent, quiere dezir con la rre[bib]caçión, i-(y)el conto, i l-alğanna, i-(y)el fuego, i mantener el așșala adebdeçido, i de lo que les damos de **arrizque**³⁹ gastarán, que s-entiende por el a(l)zzaquē adebdeçido.

By the same token, the pharyngeal /ʕ/ and /ğ/ had been confused, as proven by the numerous hesitating spellings:

- (45) ar. *Taʕālā* > *Taālā*, *Tağālā*

(^{III, 26})/ *BNCF* [h. 32] *Dī, ye Muḥammad*: «iSeñor Al·lah, Rrey i Señor del rreísmo! Das el rreísmo a quien <quien> quieres, i tiras [p. 33] el rreismo a quien quieres, i-onrras a quien quieres, y-abiltas a quien quieres. Y-en Tu mano es el bien y-el mal, i Tú es sobre toda cosa Poderoso.» *Dīxo* el a(l)nnabī Muḥammad – ṣ.ʿ.m. – que cuando kiso Al·lah imbiar l-a(l)ssūra(t) de «Al-ḥamdu li-l·lahi» i «wa-ʿilahukumu» i «šahida Al·lahu» i «Qul: “Al·lahumma, Mālīka l-mulki [h. 34] tūtī» hasta donde dize «bi ḡayri ḥisābin», trabaron estas aleas del al-ʿarš. I no abía entre ellas i Al·lah Taālā ninguna enpara, i dixeron: «Señor, pásas-nos a la casa de los pecadores y-a quien te desobedece, i nosotras somos decolgadas de limpieza de tu al-ʿarš.» *Dīxo* Al·lah: «La ora por mi onrra i mi nobleza, no bos le ʿera [p. 35] mi siervo después de ningún a(l)șșala(h) adeudeçido, que Yo no lo ponga en mi a(l)ğanna(h), i wardaré a él con mi piadad cada día setenta wardadoras, i rrecabaré d-él setenta menesteres, qu-el menor d-ellos es la perdonança, i defender-lo-é de todo enemigo, i no le será vedada mi a(l)ğanna(h) sino que muera descreyente.

(^{III, 26})/ *RAH T-13* [f. 41 v^o] [*Dirás*]: «iYe Señor Al·lah, Rrey i Señor del rreísmo! Das el señorío a quien quiere [f. 42 r^o] s, i [onrras?] a quien quieres, i abiltas a [*qui]en quieres. Y-en Tu mano es el bien [*y-el ma]l, i Tú es sobre toda cosa Poderoso.»

³⁸ It is spelled with >q< (qāf).

³⁹ It is spelled with >k< (kāf).

*Dīxo [el annab]ī – ʿl.y.h. i.l.s.lām – que cuando quiso Al-lah [*Ta]ǧalà [sic] enbiar l-asūra(t) del-«Al-ḥamdu li-l-lahi» i «wa-ʿilahukumu» i «šahida Al-lahu» i «Qul: “Il-lahumma, Mālika l-mulki» fasta donde dize «bi ǧayri ḥisāb», trabaron del al-ʿarš. I no abía entre-estas aleyas i-(y)Al-lah enpara; dišeron: «Señor, pása[*s]-nos a la casa de los pecadores y-a quien te desobedece, i nosotras somos rrecolgadas de linpieza i del-al ʿarš.» Dišo Al-lah Taǧalà [sic]: «Por Mi onrra i nobleza, no bos leiera mi sierbo enpue de ningún a(l)ššalà adebdeçido, que Yo no lo meta en Mi a(l)ǧanna, i miraré a él con ochos de piadat en cada día [f. 42 v^o] setenta wardadoras, i [rremadyaré?] d-él setenta [necesidades], la menor d-ellas s[*erá] la perdonança, i defender-lo-é de todo en[*emigo], i no le será bedada l-aǧanna sino que mue[*ra] descreyent.*

Furthermore, spellings such as the one below, suggest that the glottal stop had decayed:

(46) ar. ʿalif > alif

(II, 1)/ BNM 5078 [f. 1 r^o] Disyeron los ʿalimes qu-el alif es Al-lah, i (y-)el lem es Ġibrīl, i (y-)el mīm es Muḥammad; quiere dir que mandó Al-lah a Ġibrīl i dišo-le: «Bes a Muḥammad

(II, 1)/ BNCF [p. 7] Dixeron los ʿalimes qu-el alif es Al-lah, i el lām es Ġibrīl, i el mīm [sic] es Muḥammad; quiere dezir que mandó Al-lah a Ġibrīl i dixo-le: «Bes a Muḥammad i ǧīle [h. 8] que

(II, 1) BNM 5223 ✕ f. 6 r^o ✕ Dixeron los ʿalimes qu-el alif es Al-lah Subḥānahu, tan bendicho es, i el lem es Ġibrīl, i el mīm es Muḥammad [...]

4.4.2. Word stress

We get hints about the word stress from short vowels marked with matres lectionis:

(47) ar. ʿālim > ʿalīmes

(II, 1) RESC/39 ✕ f. 87 v^o ✕ Diššeron loš ʿalīmeš ke el alif k-eš Al-lah, i el lām es Ġibrīl, y-el mīm es Muḥammad; kyere dezir ke mandó Al-lah a Ġibrīl i diššo-le: «Beš a Muḥammad

(II, 1) RESC/58 ✕ f. 4 v^o ✕ Diššeron loš ʿalīmeš ke l-alif k-eš Al-lah, i el lām es Ġibrīl, y-el mīm es Muḥammad; kyere dezir ke mandó Al-lah a Ġibrīl i diššo-le: «Beš a Muḥammad

(II, 1) RESC/101 ✕ h. 3 v^o ✕ Diššeron loš ʿalīmeš ke el alif k-eš Al-lah, i el lām es Ġibrīl, y-el mīm es Muḥammad; kyere dezir ke mandó Al-lah a Ġibrīl i diššo-le: «Beš a Muḥammad

Contrary to:

(48) ar. *ʿālim* > *ʿalimes*

(II, 1) BNM 5223 x f. 6 r^o x *Diššeron loš ʿalimes k-el alif eš Al-lah Subhānahu, tan bendicho eš, i el lām es Ġibrīl, i el mīm es Muḥammad; kyere dezir ke mandó Al-lah a Ġibrīl i diššo-le: «Beš a Muḥammad*

(II, 1)/ BNM 5078 [f. 1 r^o] *Disyeron los ʿalimes qu-el alif es Al-lah, i (y-)el lem es Ġibrīl, i (y-)el mīm es Muḥammad; quiere dir que mandó Al-lah a Ġibrīl i dišo-le: «Bes a Muḥammad*

(II, 1)/ BNCF [p. 7] *Dixeron los ʿalimes qu-el alif es Al-lah, i el lām es Ġibrīl, i el mim [sic] es Muḥammad; quiere dezir que mandó Al-lah a Ġibrīl i dixo-le: «Bes a Muḥammad i dīle [h. 8] que*

4.4.3. Velarisation

The graphemic proof for velarization lies in the fact that the *imālah* vowel shift is inhibited in certain cases in the vicinity of /r/ and /l/, reminiscent of the tajwīd pronunciations of *tafḥīm* and *tarqīq*, which imply a velarized realization of the phonemes in question and a non-velarized one, respectively.⁴⁰

4.4.4. Junctures

There is a host of epenthetic vowels – disjunctive *shewas* –, meant as a device to avoid codas with the phonemic shape /vCC/⁴¹:

(49) ar. *aḏ-ḏuhr* > *aḏḏohar*

(50) ar. *al-ʿaṣr* > *al@ççar*

T 235 [f. 333r-333v] LXXVI, 25/Y nombra el nombre de tu Señor por la mañana /y es el // aççala de aççobhi/ y de tarde /y es el aççalá de aḏḏohar de de al@ççar/

Conclusions

As shown in the present work, by analysing the spelling of the Morisco Qurʾānic translations we can get valuable information on phonetics. On one hand, the texts written in Latin characters (including samples of the so-called *aljamía inversa*) offer us an important insight about the evolution of the vowels. On the other hand, the Aljamiado texts provide us with data regarding consonantism and word stress.

However, a clear distinction needs to be made between Andalusī dialectal traces and sheer graphemic reflections of intra-Romance rules and phonaesthetic preferences or confusions that are to be dismissed as mere scribal mistakes.

Overall, such studies offer useful information regarding the manner in which such texts need to be transcribed for future critical editions and linguistic studies.

⁴⁰ For more on the velarized allophones of /l/ and /r/, see Corriente, *idem*, pp. 40-41.

⁴¹ Corriente, F., *idem*, p. 45.

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SILENCING THE WOMAN YŌKO TAWADA'S SHORT NOVEL *THE BATH*

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Abstract: *Yōko Tawada's short novel The Bath follows the metamorphoses of the main character, a young Japanese woman, unsuccessful in preserving her identity and in rejecting the requirements of the cultures in between which her existence seems trapped. Her body becomes the place of negotiation between two patriarchal cultures. First, Germany, which is represented by her boyfriend Xander, who puts make-up on her face in order to make her look "more Japanese" and teaches her his language, hindering at the same time any form of self-expression. Secondly, Japan, depicted by a very muscular mother and several Japanese male chauvinist figures. The narrator faints during a business meeting where she was interpreting and is rescued by the ghost of a woman whose face is half-burnt, a character inspired by the tragic demise of the Austrian writer Ingeborg Bachmann and her novel Malina. The ghost steals the narrator's tongue, leaving her speechless, but this muteness can be interpreted both as a way to defy patriarchy or the means to surrender to it, as we can read in feminist analyses of Freud's "hysterical" patients suffering from aphasia. The maternal metaphor comes to balance the encounter with patriarchy and emphasize the possibility of rebirth and recreation.*

Keywords: *Yōko Tawada; Language, Identity and Transformation; Ingeborg Bachmann; Patriarchy; Maternal Symbolism.*

1. Introduction

Writing in both her native tongue, Japanese, and German, the language of her adoptive country, Yōko Tawada's poetics, constructed at the crossroads between cultures and meanings, breaks familiar patterns and unravels worlds of strangeness, where words are tangible, bodies transform and souls travel unhindered. Tawada made her debut as a writer in Germany, where she published *Anata no iru tokoro dake nanimo nai*¹ ("Only there where you are there is nothing"), a book that contains poems, a short novel in Japanese and their respective translations in German by Peter Pörtner. The title of this first published book and its editing, as a text that interweaves two languages and two different styles of writing (the juxtaposition of the Roman alphabet and the Japanese writing is striking), hints at the ontological problematic recurrent in Tawada's writings: where are we when placed at the intersection between

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¹ Tawada, Yoko, *Nur da wo du bist, da ist nichts*. Tübingen: Konkursbuchverlag, 1987.

cultures? And this is precisely the question posited in Tawada's second published book, *The Bath*², a short novel about a young Japanese woman living in Germany and the transformations caused by her inability to adapt to the new culture.

The Bath was initially published in its German translation in 1989 as *Das Bad*. Despite the fact that the text has been subsequently translated into English, French and Italian, the Japanese original was edited in a bilingual version of the German book only eleven years later, with the title *Urokomochi* (which I would approximately translate as "The bearer of scales"). In this essay I am analysing the meaning of involuntary silence (illustrated as the loss of the character's tongue) in *The Bath*, a novel that contains many of the motifs that the author subsequently developed in her writings and which I consider to be a text of major relevance in understanding the Tawada "matrix" of symbols and meanings. I will also observe in what way Tawada's *The Bath* has been influenced by Ingeborg Bachmann's novel *Malina*, as I try to shed light on the symbolism of aphasia in the novel. I will refer to psychoanalytical approaches of speech impediments related to the so-called "hysteria"-disorder and to gender studies that shed light on the muteness of the character.

2. Identity construction in *The Bath*

Tawada has voiced her interest in transformation and metamorphoses during her poetical lectures at Tübingen University (1997/8), three analyses centring on transformation, translation and foreignness and which she subsequently published under the title *Verwandlungen*³ ("Transformations"). This is a theme that she has also integrated in her novels, of which *Henshin no tame no opiumu*⁴ ("Opium for a metamorphoses"), a postmodern appropriation of Ovid's *Metamorphoses*, is one of the most relevant for this topic. Still, *The Bath* is the first text where Tawada's interest in radical changes that occur in someone's physical and psychological identity, as a consequence of meeting the "Other", becomes obvious.

The novel begins with a description of the human body as an almost fluid entity, liable to become the subject of transformation as it suffers from external influences and internal changes. The unnamed narrator (which I will also identify as *watashi* ("I" in Japanese) throughout this essay, thus begins her story: "Eighty percent of the human body is made out of water, so there isn't anything strange if one sees a different face in the mirror each morning. The skin on the forehead and cheeks is like the mud of a swamp, it changes every moment with the flow of the water below and the footprints of people walking above it." Conscious of the inevitability of these changes, the woman starts her day applying make-up to her face, as she attempts to imitate a photograph of herself attached to the frame of the mirror. It is a process of identity construction guided by a fake image, because, as we shall find out later, the photo has been taken by

² Tawada, Yoko, *Urokomochi / Das Bad*. Translated by Peter Poertner. Tübingen: konkursbuch Verlag Claudia Gehrke, 2010.

³ Tawada, Yoko, *Verwandlungen Tübinger Poetik Vorlesungen*. Tübingen: konkursbuch, 1998.

⁴ Tawada, Yoko, *Henshin no tame no opiumu*. Tokyo: Kodansha, 2001.

the narrator's boyfriend, who tried to adjust her features to his preconceived notion of how "Japaneseness" should look like. As she notices that her body is covered in scales, she takes a bath trying to soak and rub these off. The narrator recalls a Japanese legend about a pregnant woman who was punished after she could not resist the temptation of eating a fish by herself, not sharing it with people in her village. Banished from society, the woman started to live in the river and her skin was covered in scales. At the son's request, the woman broke a rock wall with her body, in order to help irrigate the village, and subsequently died. The narrator counts ways of disposing the body after dying – images related to death are interspersed throughout the novel –, then thinks to herself: "I would have hated having to throw myself against a rock wall and die. It was a good thing I had no son." Despite her initial relief when she does not identify with the woman in the story, the novel actually follows the narrator's obliteration caused by her incapacity to form a satisfying identity in between the two cultures.

Describing the photo shoot, the narrator recalls her boyfriend Xander's imperative request "Do not speak!" as he tries to force upon her the role of the compliant woman. Her face didn't appear in the first photos, although the camera had recorded the background, so Xander, who is also the photographer, blames her for not having a strong enough sense of herself as a Japanese. He then applies a white powder to her face and colours her hair black. As Jeremy Redlich observes, the "whiteness" of her now transformed skin might resemble the make-up characteristic to a geisha, but also recalls the incipient ideological opposition between "white skin" and "colored skin", where "white is the norm and thereby ultimately 'invisible'"⁵.

Xander then proceeds to draw an X on the narrator's cheek, symbolically marking her as if she were his property. The action of pushing the shutter-release button is compared to the mechanics of a pistol trigger, thus pointing to the imminent death of her Self. Xander actually finishes the process of (symbolically) killing the real *watashi* through this act, and it is only this time that the painted face appears. Coming from an exotic and strange culture, the narrator only gains visibility when she becomes a possession.

According to the narrator of *The Bath*, neither skin colour, nor voice are intrinsic qualities of a person, for what we see is the play of light on the surface of our bodies and what we hear are vibrations in the air outside our bodies. (If it's true that our skin colour is a non-fact, then it should be equally true that our speech (opinions) will be a product of the interaction with the outside world.) Tawada rewrote the conversation about skin in the story *Eigentlich darf man es niemandem sagen, aber Europa gibt es nicht* ("Actually, Nobody Is Allowed To Say It, But Europe Doesn't Exist") in the volume *Talisman*⁶, thus we can observe how Tawada insists on reanalysing the relevance of skin as marker of identity. In the same direction, Tawada observes in her third Tübingen lecture, *Gesicht eines*

⁵ Redlich, Jeremy. "Reading Skin Signs: Decoding Skin as the Fluid Boundary between Self and Other in Yoko Tawada" in *Performative Body Spaces Corporeal Topographies in Literature, Theatre, Dance, and the Visual Arts*, Ed. Markus Hallensleben. Amsterdam/New York: Rodopi, 75-88(14), 79.

⁶ Tawada, Yoko, *Talisman*. Tübingen: konkursbuch, 2011.

Fisches oder das Problem der Verwandlung (“The Face of a Fish or the Problem of Transformation”) that “The expectations of the observer produce masks and they grow into the flesh of the foreigner.”⁷, thus not only in the presence of light does skin receive its colour, but also in the presence of the “foreign Other”.

Xander, whose name can be fragmented in X, the unknown in a mathematical equation (likewise, the X sign that he draws on *watashi*’s face marks her as an undecipherable identity), and “ander”, which stands for “other” in German language, is also the one that teaches *watashi* German. Learning this language is at the same time an erotic process, for the narrator falls in love with her teacher, and an oppressive act, because the narrator’s right to express herself is denied, making the process similar to a colonization. She is forced to repeat Xander’s words and as she does so, she feels that her tongue becomes his possession. Learning through repetition leads to misunderstandings, and *watashi* mistakenly answers Xander’s question “Are you Japanese?” with “Yes, you are Japanese”. She then observes that “The trick in this game was to replace “you” for “I”, but I hadn’t realized it.” This is a substitution that Tawada has often used in her texts, as she analysed the possibilities of pronouns in both the German and Japanese language, identifying “ich” as a component of nothingness (“nichts” in German) or an empty space (interpreting the conjugation “ich bin”, where “bin” stands for the word “bottle” in Japanese) and using second person narrators in two of her Japanese novels, *Yōgisha no yakōressha*⁸ (The Suspects on the Night Train) and *Amerika – hidō no tairiku*⁹ (America – the Cruel Continent). The title of her first book was “Only there where you are there is nothing”, but in *The Bath* the self (*watashi*) also becomes a void existence in meeting the Other (*anata* / “you”).

Eventually, the narrator is denied the “luxury” of speaking of herself in the first person, for Xander uses two puppets during the classes and the third person pronouns to identify the referent of the conversation. Thus, in the European culture, where individuality and the Self are highly praised, the narrator is being denied referring to herself as “I”.

The tentative appropriation of *watashi*’s identity by Xander is undermined by the narrator’s mother, whom the narrator meets in a dream-like fantasy. The mother strengthens the interdiction of self-reference, asking “Since when did you start calling yourself so easily “I”?” Here, the narrator recalls that as child she felt a strange reticence in using the personal pronoun “*watashi*”, which she stuttered in a song-like manner whenever avoiding it was not possible. The mother continues to reproach *watashi* that she had submitted herself to a stereotypical image about Asian women, meaning, to the image that her boyfriend – here representing the Western patriarchal culture – tried to impose on her. Interesting enough, the narrator’s identity is dictated from the outside: the photograph was taken by her German boyfriend and the mirror is a gift from her Japanese mother.¹⁰

⁷ Tawada. 1998, 53

⁸ Tawada, Yoko, *Yōgisha no yakōressha*, Tōkyō: Seidosha, 2002.

⁹ Tawada Yoko, *Amerika – hidō no tairiku*. Tokyo: Seidosha, 2006.

¹⁰ When, at the end of the novel, the narrator destroys the picture and turns the mirror to the wall, her manner of applying make-up becomes the exact opposite of her initial endeavors: she will

If her face was transparent in the West, the disguise she was forced to wear is an obvious fake in the mother's eyes: "You, how did you get such an Asian face? [...] There are often Japanese people that come out in American movies. You now have an exotic face like that." At the same time, the mother appears to symbolize Japanese patriarchal values: with no goals to live after her daughter's departure, she started training and now has a muscular body, like that of a man. As a result of this transformation, her voice is altered by a "hysterical" lump (the Japanese contains the word "hisuterii" in the translation of "globus pharyngys", the sensation of having a lump in one's throat). The mother's skin is also covered in scales, which, opposed to the strength of her body, might be interpreted as a mark of femininity and Otherness. Sabine Fischer notes: "In Japanese mythology women's metamorphosis into a fish embody in a complex way "the Other"¹¹, representing at the same time fertility and danger, and standing as a symbol of sexuality.

Hired as an interpreter for a business meeting between a Japanese and a German company, the narrator again thinks of language in a sexualized manner. As she starts to translate at the table where the two parties were seated opposite each other, as if imitating a war scene, she observes that one of the Japanese men was staring at her. "Interpreters are like prostitutes that serve the occupying forces; their own countrymen hold them in contempt. It's as if the German entering my ears were something like spermatic fluid." (The image of wartime prostitutes is strengthened by dystopian and surreal World War II references later in the text.) The narrator prefers tonguefish when interpreting at a meeting where food can be ordered, imagining that the "tongue" contained in the name of the fish enhances her ability to interpret, but this time a big fish is ordered for everyone, exposed as a sacrificial offering and served. More, the fish has no tongue. Noticing this, the narrator starts to stutter, unable to speak eloquently, and retreats to the bathroom where she faints.

She awakens to see an unknown woman, with a half-burnt face and follows the woman home. Then, as she meets Xander, the narrator discovers that the woman had taken her tongue and, astonishingly, that what she thought to be a real person, was actually the ghost of a woman who is supposed to have committed suicide in that apartment. Thus, *watashi* becomes mute like a fish, reduced to her body, a step further towards the obliteration of her identity and towards losing her grasp on reality.

Her last attempt at finding a job leads the narrator to a circus where the managers are looking for a "woman with scales" (*urokomochi*). The old mermaid had died of breast cancer, as a consequence of the fact that "a poet was drinking her milk every day" and "it is not good to touch a mermaid's breasts all the time". The narrator is led to watch a circus number, where women are exhibited and made to slap each other and dress each other in wedding gowns. They are all subjected to the male gaze, because all of the viewers are men, cheering at the violent spectacle.

be trying to create the image of a tired woman, applying as much white powder as needed in order to make her own face invisible.

¹¹ Fischer, 66.

The story becomes more and more surreal, as the dead woman comes in possession of the narrator's body, appearing from behind the white-powder (whiteness or paleness of the skin can also be a signifier for death here) when *watashi* reflects herself in the mirror one last time. The narrator turns the mirror around and returns to "the symbolic matrix in which the *I* is precipitated in a primordial form, prior to being objectified in the dialectic of identification with the other, and before language restores to it, in the universal, its function as subject"¹², to a state of unawareness, prior to what Lacan calls "the mirror stage". *Watashi* doesn't need to assume a reflection as the image of her "Self", as a matter of fact, she refuses the idea of "Self" altogether.

2. A Comparative Study – Ingeborg Bachmann's Influence

While reading *The Bath* I noticed a strange resemblance to Ingeborg Bachmann's novel *Malina*, a suspicion that I addressed to Yōko Tawada when I had the chance to meet her after a presentation at Sophia University in Tokyo. Miss Tawada confirmed my hypothesis, confessing that she had just finished reading Bachmann's *Malina* before she started her work on *The Bath* and leaving me the task to discover in what way Bachmann's influence appears in her novel¹³. I believe that a comparative analysis will lead to a deeper understanding of Tawada's short novel *The Bath* and will also reveal what I believe to be Tawada's first use of intertextuality in her works.

Well known to readers of German literature, Ingeborg Bachmann (1926-1973) was an Austrian poet and author, who activated together with Paul Celan, Heinrich Böll and Günter Grass in the German literary association Gruppe 47 and whose relationship with the Swiss author Max Frisch has influenced both Frisch's famous novel *Gantenbein*, as well as Bachmann's *Malina*¹⁴, books that occupy a very special place in the canon of German literature. References to Bachmann's tragic demise after a fire broke out in her hotel room, as well as the coincidental and ominous phrases about the perils of fire¹⁵ in her novel *Malina* can be found in Tawada's *The Bath*. I interpret the figure of the strange woman that steals *watashi*'s tongue as a direct reference to Bachmann's demise as a result of burns, which enhances the novel's poetical appeal, making us wonder if *The Bath* couldn't also be considered a dedication to the memory of the Austrian writer or a declaration of support for the vision presented in *Malina*.

¹² Lacan, Jacques. *Ecrits. The first complete edition in English*. Transl. by Bruce Fink a.o. New York: W.W. Norton&Co., 2006, 76.

¹³ As I later discovered, the similarities between Tawada's *The Bath* and Ingeborg Bachmann's biography and novel *Malina* have been briefly noted by Sabine Fischer (Fischer, WdSieS, 71), but, to my knowledge, there is no comparative study of the two.

¹⁴ Bachmann was planning a trilogy entitled *Todesarten* (Ways to Die), of which she only managed to complete the first novel, *Malina*, leaving the other two unfinished.

¹⁵ The narrator in *Malina* notes "Avec ma main brulée, j'écris sur la nature du feu." ("With my burnt hand, I write about the nature of fire."), an image that is reiterates later in the novel as "das ganze Feuer, das ich zu Papier gebracht habe, mit meiner verbrannten Hand" ("all the fire that I have brought to paper with my burnt hand"). As well, she fears the possibility of becoming "eine Frau halb verbrannt" ("a woman half burnt"), to note only a few of the references to fire that are interspersed in Bachmann's novel.

The first person narrator, an unnamed female writer who chants her love for the two men in her life, Malina and Ivan, recalls in a dream-like state her strained relationship with the Father (inspired by Max Frisch, who was fifteen years older than Bachmann), who acutely symbolizes the oppressive patriarchal order. As a matter of fact, Malina is an alter-ego or masculine side of the narrator's self, a narrator who appears to submissively follow the wishes and whims of the three male figures that exist both in her imagined and real worlds. Her submission is actually a masquerade, because the narrator only feigns compliance with the "law of the father". Still, she cannot find a way outside the phallogocentric order, since even her alter-ego Ivan, as the masculine part of her Self, is trying to force her into abandoning the feminine side and determines her assimilation to the masculine "half". The narrator's surreal choice to enter a crack in the wall at the end of the novel seems to be the only solution for her escape from the phallogocentric matrix.

If we judge the narrator's Self-obliteration and disappearance as an adaptation, then this self-sacrifice is actually the only gesture of self-transcendence that the narrator is capable to accomplish¹⁶. Still, the last phrase of the novel, suspended on the page, simply accuses: "It was murder."

If we are not mirroring the two novels, we could analyse Tawada's *The Bath* simply as a text that revolves around the clash between the Japanese and the German Weltanschauungen and the difficulties of acquiring a new language or adapting to a new culture that the narrator experiences. But the text goes further than that, for meeting the Foreign equates with meeting one's suppressor and what should have become an opportunity for creativity and discovery is just the opposite – Self-obliteration under the pressure of male-centric cultures where women are not given any opportunity at self-expression and identity. The references to Bachmann's *Malina* are subtle, but the incomplete phone conversations between these two narrators and their interlocutors, as well as the attitude of the narrators, which are only looking for a way out, while feigning submission, and the manner in which the two women leave the "stage", are very similar. Viewing the two novels under the same microscope opens up possibilities of interpretation. Put together as a pair, the two narrators embody resilience against male dominance and their disappearance becomes a protest.

3. The maternal metaphor

As opposed to the confrontation between the narrator and the Father in Bachmann's *Malina*, Tawada's *The Bath* pays attention to the relationship that the *watashi* has with her mother, motherhood and the capacity to give birth. I will further analyse the meaning of symbols related to motherhood in Tawada's novel.

What remains when words are lost is body language, which Sabine Fischer identifies as "a form of expression of the unconscious"¹⁷, but when we think of muteness and stuttering, they rather appear characteristic of new-born and very

¹⁶ See Ogawa, 215

¹⁷ Fischer, Sabine, „Verschwinden ist schön. Zu Yoko Tawadas Kurzroman das Bad“, in: S. Fischer & M. McGowan (Eds.), *Denn du tanzt auf einem Seil. Positionen deutschsprachiger MigrantInnenliteratur*. Tübingen: Stauffenburg, 1997, 103.

young babies that are still in their pre-lingual stage of development. Still, as Lacan argues, even those that exist outside the realm of the language cannot escape the symbolical order.

Dianne Hunter observes that it is “[t]hrough her body language - holding, nursing, caressing, bathing, dressing - and then through mirroring, through the image the child forms of itself reflected in the mother’s face, especially in her eyes” that “the mother communicates an identity to the child”¹⁸, even while maintaining her position in the realm of the symbolic. In other words, out of many possible latent identities, the mother’s influence triggers the start of a unique identity. Self-awareness is closely related to our entrance in the world of speech, but what are the consequences when we interrupt our ties with words? According to Hunter, speech becomes a substitute for bodily connection¹⁹, so it would make sense that losing the ability to speak might create the need to restore the connection to the maternal body. This is why Tawada’s text abounds in maternal signifiers, like breasts, mother’s milk, the fantasy of a return to the uterus a.s.o. After removing the scales off her skin, *watashi* applies an ointment made out of “real mother’s milk” that makes her feel at ease and energizes her. From the association with motherly milk, we can think that the figure of the mother is also meant to calm and nurture *watashi*.

The circus mermaid forced by the poet to give her milk away is punished with death for her misconduct and the mermaid becomes a silent victim of the male pleasure. Her incapacity to deny the poet this transgression hides in her motherly function – according to Michelle Boulous Walker, “[t]he maternal body operates as the site of women’s radical silence”²⁰, for it coincides to the period when women become bodies and only bodies.

As well, “[t]he mother as a metaphor facilitates the undoing of paternal repression”²¹, so it is easy to think that the image of the mother in *The Bath* also comes as an element that destabilizes the patriarchal order. Even the legend contained in the novel, of the pregnant woman who greedily devours a fish all by herself, points in that direction. The woman went against tradition – a tradition built by men, according to their needs – as she gave into temptation satisfying her hunger, and had to be punished. Not only that she is excluded from society, but she also dies after creating a viable water source for the village (men).

Stirred by the soundless organ that her mother trains on, *watashi* shouts „Death to the women with scales!”, but this protest goes both against her mother and herself, because *watashi*’s body immediately transforms itself in that of a creature resembling a fish. The role of the birth canal is reversed and the vagina becomes an organ that actually facilitates material disappearance and self-obliteration.

¹⁸ Hunter, Dianne, „Hysteria, Psychoanalysis, and Feminism: The Case of Anna O.” in *Feminist Studies*, Vol. 9, No. 3 (Autumn, 1983), 464-488, 473.

¹⁹ *Ibid*, 474.

²⁰ Boulous Walker, Michelle, *Philosophy and the Maternal Body: Reading Silence*. 1 edition. London; New York: Routledge, 1, 1998.

²¹ *Ibid*, 135.

4. The meaning of aphasia in *The Bath*

Concluding my essay, I will discuss the meaning of *watashi's* loss of words or aphasia in *The Bath* in the context of some of Freud's case studies and recent feminist research that has critically approached the said studies. As mentioned earlier, *watashi's* speechlessness occurs inside the dual paradigm built between two male chauvinistic societies and becomes a consequence of the biased gender codes that these societies impose upon her.

I would first like to touch upon the two clinical cases of Freud's famous patients Anna O. (real name Bertha Pappenheim) and Dora (real name Ida Bauer), cases that helped Freud clarify the symptoms of a disease recognized as such only until the 20th century: hysteria.

The name of this so-called medical condition, thought to be specific only to women, comes from the old Greek word ὕστέρα (*hystera*), meaning womb, and even after it disappeared from medical jargon, it is still used in the spoken language as an all-comprising term that includes any form of "excessive" feminine emotion. It is also used to discredit women's expression, as it became paired with "feminist assertiveness", and this treatment seems to derive from the idea that both hysterics and feminists are "out-of-control": neither hysterics, nor feminists cooperate dutifully with patriarchal conventions."²²

Both Dora and Anna O. are acknowledged by Freud to be unusually intelligent young women, but Freud failed to correlate the monotonous domestic lives that the two women were expected to lead after they completed their schooling, and the emergence of compulsive daydreaming, hallucinations, dissociations, and hysterical transformations.²³ Feminist philosopher Susan Bordo claims that patients' bodies, when speaking of ailments specific to women at the end of the 19th and beginning of the 20th century, were "deeply inscribed with an ideological construction of femininity emblematic of the period in question."²⁴ Thus, hysteria seems to have originated in the Victorian era, when the imposed ideal of femininity was that of a "compliant, refined, and thoroughly domestic lady"²⁵, but surprisingly, a woman who showed an extremely passive temperament was deemed ill, especially as a subject of ailments of the psyche.

Nonetheless, if we recognize hysteria as a psychological illness caused by the unrealistic expectations that a chauvinistic society had constructed with regard to women, then we have to notice that in order for hysteria patients to express their distress, they had to use the very language of the chauvinistic matrix that they tried to escape. Helene Cixous interprets Dora's defiant attitude towards Freud as a silent rebellion against the power of men who regulated women's bodies and words. Anna O., who eventually stopped meeting Freud, thus rejecting his psychiatric expertise, later thrived as a translator, feminist and social activist and is another eloquent example to back up this theory. Still, according to Bordo, silence is not a means to avoid male chauvinism. "[T]he

²² Hunter, 485

²³ Bordo, Susan, *Unbearable Weight: Feminism, Western Culture, and the Body*. Berkeley, Calif.: University of California Press, 2004, 158.

²⁴ Ibid, 168

²⁵ Ibid, 51

muteness of hysterics and their return to the level of pure, primary bodily expressivity have been interpreted [...] as rejecting the symbolic order of the patriarchy and recovering a lost world of semiotic, maternal value. But *at the same time*, of course, muteness is the condition of the silent, uncomplaining woman - an ideal of patriarchal culture.”²⁶

Considering Tawada's knowledge of the feminist critique that addressed Freud's theories, we could suspect that the loss of words, the aphasia of the female narrator in *The Bath* was a direct reference to the silence and oppression triggered by the phallogentric world that we live in, according to the analysis of many scholars of gender studies. The narrator loses her tongue, the dead woman speaks a language that others cannot understand, the narrator's mother has a “hysterical lump” in her throat, all female characters in *The Bath* seem to have their speech impaired, being unable to truly express themselves.

An alternative interpretation that I find equally relevant and supplementary to the gender analysis of aphasia in this study correlates between Tawada's imagery of the foreign language experience and the trauma that the narrator of *The Bath* goes through.

Tawada is fond of word games, playing with meanings and sounds that cross the borders between the two languages she uses in her writing. This is a characteristic that her readers can commonly find when reading her German work. One example would be the title of her collection of essays, *Überseetzungen*, that plays with the phonetic similarity between the word Übersetzungen (translations) and the constructed word Über+See+Zungen (tongues over seas). In *The Bath*, the loss of the tongue can be translated as a fear of castration, in “Zungentanz” (“Tongue Dance” in *Überseetzungen*), in which the narrator has become a tongue, we can talk of an erotic transformation, and in *Eine Scheibengeschichte* (“A Disk Story”, in *Überseetzungen*) we find out that „A journey knows no movements, but it makes the tongue wet. When the tongue talks, then the body transforms itself.“ Most of the short essays that Tawada wrote in German present a playful image of language acquisition, but *The Bath*, one of the first novels Tawada wrote in Germany, illustrates the acquisition of language as an almost traumatic experience.

Mireille Rosello's notes might clarify the anxiety of a narrator trapped between two linguistic realities, one representing the old, and the other the yet unknown, as she states that

The fundamental loss that we experience when the illusion of a linguistic at-home-ness is shattered is not something that will be repaired, but instead exacerbated by the acquisition of new languages. This form of dispossession may, if we choose to treat it as an epistemological starting point, become a form of knowledge of one's own rudimentariness.²⁷

And it is her own rudimentariness that *watashi* achieves as she undresses every role, every word and every image, becoming a transparent coffin, thus a

²⁶ Ibid, 176-177

²⁷ Rosello, Mireille, “Rudimentariness as Home” in Behdad, Ali, and Dominic Thomas, eds. 2011. *A Companion to Comparative Literature*. Chichester, West Sussex ; Malden, MA: Wiley-Blackwell., 327-328

blank space (*tabula rasa*) for possible new meanings, and awaiting the next transformation.

Conclusions

There is a long sequence of identities that the narrator of *The Bath* tries to adopt but repeatedly fails at retaining – she first presents herself as a model, but she becomes completely invisible in photographs, then as an interpreter, but loses her tongue, she cannot be a translator or typist anymore either, since she has forgotten the letters of the alphabet. She thus realizes the impossibility of holding on to a single unchanging identity and chooses her final transformation, as she becomes a transparent and empty coffin. If in the beginning *watashi* had rejected the possibility of cremation, the Japanese way of disposing of the body after death, preferring a burial at sea or a grave beneath the earth, she eventually denies herself even these two possibilities when she becomes only an immaterial surface, with no body, content or substance.

Stephen Clingman notes that “Any version of identity, ‘I am x’, where ‘x’ equals the sole and total definition of the ‘I’, is inimical to transition, possibility, change. It prevents combination within the self, and also any combination with others beyond the self”²⁸, but rejecting every possible identity, like *watashi* does, leads to both freedom and the impossibility to exist as a concrete entity.

Marja-Leena Hakkarainen characterizes the coupling of bodily transformation and identity construction in Tawada’s *The Bath* as “both painful and liberating”²⁹, but this “liberation” should be seen less as an empowering act and more for what it is: entering an inorganic space, not to grant the narrator’s wish, as Hakkarainen claims, but as a failure to resist oppression in a world where women are only granted roles constructed under patriarchy and where anything outside that realm is not possible (as I have also observed in my comparison with Ingeborg Bachmann’s *Malina*). Hakkarainen continues her analysis noting that the transformations in *The Bath* are depicted to be “queer and uncanny, not terrifying”, and that they rather, “represent the metamorphosis as an imaginary homecoming, which means coming close to the other.”³⁰ I believe that throughout this essay I have proved that Tawada’s novel leads to the exact opposite conclusion, because, if the novel illustrates one after the other failed attempts at building a stable identity, the ending suggests an impossibility to exist in the presence of the Other and under the scrutiny of identity regulating ideologies, like the phallogocentric view on femininity and the Eurocentric view on “Orientalism”.

As well, if we see the dead woman as a reference to Ingeborg Bachmann, then *The Bath* takes a direction that reminds us of the setting and disappearance

²⁸ Clingman, Stephen, *The Grammar of Identity: Transnational Fiction and the Nature of the Boundary*. 1 edition. Oxford, UK: Oxford University Press, 2009, 15.

²⁹ Hakkarainen, Marja-Leena, “Metamorphosis as Emblem of Diasporic Female Identity in the Fantastic Narratives of Yoko Tawada”, in *Seeking the Self – Encountering the Other. Diasporic Narrative and Ethics of Representation*. Ed. Tuomas Huttunen et al. Cambridge: Cambridge Scholars Publishing, 2008, 216.

³⁰ Ibid, 218

in *Malina*. Nonetheless, in opposition to *Malina*'s narrator, *watashi* has no masculine "half" to leave behind and her transformation in an invisible coffin means complete obliteration. *Watashi*'s aphasia does not even allow her to protest, like the narrator does in *Malina*, accusing that "it was murder". As well, the maternal metaphor can only assuage *watashi*'s return to a prelingual state, but cannot prevent *watashi*'s final death.

We could very well appeal to Judith Butler's language analysis in *Excitable Speech: A Politics of the Performative* to test our understanding of *watashi*'s disappearance, and again we will have to view her in relationship to the other "real" characters. For the others *watashi* is nameless and never granted the right to self-expression. According to Butler, "to be addressed is not merely to be recognized for what one already is, but to have the very term conferred by which the recognition of existence becomes possible. One comes to "exist" by virtue of this fundamental dependency on the address of the Other. One "exists" not only by virtue of being recognized, but, in a prior sense, by being *recognizable*", and this recognition is precisely what *watashi* fails to achieve. Even the camera fails to record her image and her mother cannot recognize her.

Sabine Fischer positively observes that "[w]ith her plea for the annihilation of inherited images and the cancellation of the manipulated personality of the woman as an indispensable requirement for the construction of a self-determined identity, Tawada contributes ultimately to the discussion of possibilities of developing positive utopias of femininity."³¹ And indeed, as the narrator in *The Bath* dissolves into transparency, she becomes a *tabula rasa*, a blank surface to be reconfigured and remodelled into new shapes. And somehow, we can imagine that the space emptied by the narrator in *The Bath* is the space of character reconfiguration, where Tawada has allowed many of her other characters to seek identity and watched them fail in their endeavour.

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³¹ Fischer, pp. 74-75.

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