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**Methodology of Human Sciences and Humanities**

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FOREWORD

Every event – be it scientific, or not – has its own history, its own life. A special part within its existence plays the syntagm *its life after life*, namely what remains of it after it is consumed. And this is, or could be, the seed and substance for a better or more useful next event.

**ISINI** is – at the end of 2007 – a 19 year-old/young organization with its ups and downs, with happy hours and sad days. Born on the land of liberty and hope, it is globally meant to inter-connect people and to help them inter-communicate and inter-act. Let me say something about its name: **International Society for Intercommunication of New Ideas**.

My interpretation could be indeed a bit different from that of the founding father, Anghel N. Rugina, who decided to found this organization in the years of the Cold War, of the “real politik” and of the fight against the Communist dictatorships. The ethnic nations were the most accepted (sometimes excessively adored) forms of social organization. That is (probably) why this organization is considered an inter-national one, because it was built to create bridges between and among nations, not necessary between or among individuals, universities or other organizations. But the globalizing process does not forgive anyone and this planetary process has been the real trend for some decades. In my opinion, not inter-nationalizing but globalizing/localizing is actually to be studied and analyzed by scholars¹. So, by “international” I mean transnational and global realities. Science has no homeland, or the homeland of any science is humankind and the Planet named Earth...

The core term of ISINI is “intercommunication”, i.e. any conflict may be internalized and calmed down by real (not mimetic and egotistic) communication. The products of science are to be put in common and to be used as a competitive advantage by those who know how....But what are we actually communicating? Ideas! More exactly New Ideas! More scientific methods, more suggestions to improve not only the profit level, but the level of daily living as well. These new ideas are not to be confined to economic, econometric, financial or monetary issues. As a matter of fact, Rugina wrote about „The Road to a Third Revolution in Economic, Financial, Social, Ethical, Logical and Political Thinking” [1] published at the end of the last century (Rugina, 1998). In 2000, International Journal of Social Economics [2] published another work of Rugina, namely „To any Future Study in <Integrated Logic> and a more Comprehensive Methodology for the Unification of All Sciences, Natural and Social: An Orientation Table for Economics and any other Science and Its Application in Theory and Practice” (Rugina, 2000). It clearly comes out Rugina’s inter and transdisciplinary approach and, personally, I think it is our duty to respect and go on this track of a great importance for the future of science and of humankind. This “scientific ecumenism” (or better, ecumenism applied to science) should be carefully prepared since these very days.

In this respect, my new vision called End-Means Methodology (for short EMMY – more on it in my article in this book) has similar integrative, humanistic, triadic, holistic,

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¹ I do not say “by specialists” just because disciplinary and sub-disciplinary specialization is no longer the desired trend nowadays. Transdisciplinarity in science is the same thing as transnationality is in the economic and political global life. Of course, this is not the last possible trend, but I think it is very useful for human knowledge at this very beginning of a new millenium.
transdisciplinary, trans/ postmodern and educational features. As a consequence, the 9th ISINI Conference enlarged a bit its scope (in comparison with some previous ones) and included a special and very successful section on Cultural Studies. It is hoped that future conferences will include also medical or military matters, cognitive studies, peace keeping and ecology, semiotic and logical studies, etc. I may say that a good economist is not the one who is only an economist. It is true that some financial and accountancy specialists felt scared and considered that ISINI is a too large hat for them. It seems to be true and clear that the unification policy in science is not for all, but only for those who can perceive its usefulness and are able to make it. ISINI will promote this ecumenic attitude, and its name may already be linked by this new phase in the scientific research. In these days when Experiential Economy is gaining a larger and larger audience, it is of great help to mention to those interested that EMMY lays an emphasis on emotions/ feeling & sensing as the middle term of the triadic definition of human action.

As about the 9th ISINI Conference held in Bacau, Romania, at George Bacovia University, it is already history and well integrated with the previous conferences. This conference was opened by Acad. Mugur Isarescu, the Governor of the National Bank of Romania (NBR) who demonstrated a real integrative approach putting financial and monetary policy into daily practice and doing scientific research at an exemplary level of competence. And this is not only my opinion but also of some famous financial people, ISINI members whose papers are in this volume. But sometimes a very great success has its dark side. Isarescu’s oral presentation was based on 74 Power Point slides, and the speech included many other new ideas. To put aside some of them would lack the readers the richness of the Isarescian thinking. That is why I decided not to include his contribution in this volume, but to publish it in a special issue that is now being prepared. This one shall follow the 9th ISINI Proceedings and reach the readers’ attention and appraisal.

It is worth mentioning that the Governor is a close friend and admirer of Rugina, at least for a historical reason: Rugina began his activity as a public servant at NBR during the War. But there are also sound scientific reasons to be evoked as a motivation for considering Rugina as one of the most important thinkers of our times. Not only in economic and financial matters, but also in social institutions, scientific methodology and education policy.

The next ISINI Conference will be organized by our new President for 2007 – 2009, Prof Eiji Furuyama, in Japan, but the high expenses for organizing a conference in Tokyo determined the General Assembly meeting to decide to organize it in Bucharest, Romania. In this respect, the Governor Mugur Isarescu promised all his help to organize a jubilary Xth ISINI Conference at the Romanian Banking Institute (in Bucharest) in 2009.

Because the Governor’s staff got involved in supplying us with technical devices and qualified interpreters, it is my moral duty to mention here some of them. There is another reason to mention their names as well: they will be involved in organizing the next jubilary ISINI Conference... So, please do remember these names: the Governor’s counsellors Adrian Vasilescu and Lucian Croitoru, as well as high bank officials such as: Romulus Palade, Mugur Tolici, Adrian Mate, Dumitru Ratoiu and others.

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\(^2\) Just an example taken from the non-ISINI world: Jan C. Heller, Ph.D., is a System Director, Ethics and Theology, for Providence Health & Services. Dr. Heller holds an AB in Chemistry, *cum laude*, from the King's College and a Master of Divinity from Princeton Theological Seminary. He received his Ph.D. in Ethics and Society from Emory University. I personally know people making studies in neurotheology, in neurofinance and neurophysiology. Bioeconomics, biopolitics and bioethics are already subjects to be studied in universities.

\(^3\) The Experience Economy [Boswijk et al, 2007] is a quite concrete application of EMMY. All history of economic ideas could be easily presented and understood by using the triadic approach called EMMY.
More names are to be mentioned from the local organizers and I am doing it with great pleasure and with my warm thanks to all of them. My colleagues from George Bacovia University had their own (big) roles in the mechanics of the Conference. Prof Toader Gherasim, the rector of the university accepted to use the entire logistics our university has in order to have a successful conference, prof dr Dumitru Bontas together with lecturer Viorica Cisca directly got involved in collecting the necessary sponsorship to offer our guests the highest conditions for conference and for the final trip. The list of sponsors is published in the Proceedings. Sorinel Novac, the administrative director of the university had a huge organizational task, and was helped by lecturers Nicoleta Botez, Angelica Cobzaru, Mihaela Vasiloaia and others. The webdesigner of the ISINI web page, lecturer Radu Bucsa and the designer of ISINI’s logo, lecturer Radu Bilba deserve our sincere thanks. Last but not least, I would like to thank our colleagues (Doina Cmeciu, Camelia Cmeciu, Nadia Morârașu) from the University of Bacău, Faculty of Letters for the handling of the Cultural Studies section. A special mention goes to Camelia Cmeciu who helped the intercommunication process of the 9th ISINI Conference be a fluent and pleasant one.

I wish the readers of the 9th ISINI Proceedings a pleasant and useful reading, a fruitful research and a successful presence at our next ISINI Conference.

Liviu Drugus
president of ISINI 2005 – 2007
vicepresident of ISINI 2007 - 2009

BIBLIOGRAPHY

From PPP, EPR to Global Warming

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**Keywords:** PPP, EPR, global warming

**Abstract:** The paper describes the process in which an institutional framework was established to regulate business activities so that the solution of the negative externality problems was internalized. The PPP and EPR have established a solid framework in which the cost of environmental protection has to be paid both by industries and consumers. However, the world now confronts the global warming problem, which seems to overrun the boundaries of business ethics, which have been set for solving PPP and EPR. What is more in need now would be the international political leadership that could guide the world opinion in the direction of carbon dioxide emission control and sustainability of atmospheric conditions.

1. **Dawn of Business Ethics**

For a period from the late 1960’s to the early 1970’s, when business ethics began to be taught as an independent academic discipline, it would be mainly concerned with the problems of the conflict between business activities and environmental destruction. At the 91st session (1969) of the U. S. Congress Joint Economic Committee, which was responsible for reporting the current economic problems, Kenneth Arrow officially admitted that there were negative externalities of production existing in the market economy, which could not find effective solution within the system itself (Arrow, 1969). A British economist displayed a bitter cynicism by writing: “The main body of economic thought is hopelessly ill-adapted to considering these kinds of problems. It may even be the case that the greatest service economists can render posterity is to remain silent” (Coddington, 1970).

Accused of their responsibility for the environmental destruction resulting from business activities, the business world as well as some group of economists supporting the principles of market economy reacted by assuming a somewhat defiant attitude and asserted that the social responsibility of business was to increase its profits (Friedman, 1907). Although the opinion was orthodox in view of the neoclassical economics and Friedman was cautious enough to mention that the firm should make expenditures to reduce pollution in the best interest of a corporation owned by the shareholders to such an extent as required by the laws, his article invited uproar of criticisms among theoreticians of business ethics. One of those critics christened the opinion “corporate Neandthalism” (Donaldson, 1989: 45).
2. Institutionalism Evoked

The market economy turned out endogenously ineffective solving the negative externality problems within its mechanism. The Coase Theorem which argues that the negative externalities could be corrected in the market provided that property rights are defined and the cost of transaction is negligibly small proved unrealistic in the light of the fact that property rights of such an intrinsically public good as air, water and the environment in general could not be defined as being assigned to specific individuals and also that transaction costs between “a beekeeper and a nearby farmer” was not at all negligible (Johnson, 1973). The currently dominant economic theory, Keynesian economics, was indifferent about the externality issues and these subjects were mainly analyzed by neo-classical economists. Shigeto Tsuru points out that the kind of economic thought that characterized the American Institutionalism in 1930’s was regaining momentum among environmental economists. Tsuru writes:

Negative external effects were often serious enough. But in the era when the minimum requirements for the health of the workers were ignored in the interest of industrial prosperity, environmental disamenities were of secondary consideration. The doctrine of consumer sovereignty, too, one may say, was never more than a complacent rationalism by economists. (Tsuru, 1993: 85-86).

Political and legal intervention was inevitable in the process of effective solutions of negative externalities. In July 1970 the Environmental Protection Agency (EPA), endowed with political and legal power to monitor and enforce private enterprises, was established in the United States to protect human health and safeguard the natural air, water, and land. In Japan for a decade from the late 1960’s to the early 1970’s a series of pollution-caused illness such as Yokkaichi asthma, Minamata disease and Itai-itai (ouch-ouch) disease was the focus of the public concern.

3. Pollution-caused Illness

In an industrial town near Nagoya petrochemical and oil refinery complexes, which they named “Yokkaichi Kombinato” after the name of the town, were constructed and they began 24-hour operation in 1959. Some Yokkaichi citizens began to complain breathing difficulties and scientists discovered the relationship between their bronchial asthma and airborne sulfur dioxide concentrations emitted by oil refineries and petrochemical complexes. In spite of this knowledge and the similar complaints of increasing number of Yokkaichi citizens, the Kombinato continued expansion till 1973 to become one of the largest complexes of oil refinery and ethylene production in Japan. By 1961, 48% of children under six, 30% of people over 60, and 19% of those in their twenties had breathing difficulties. In 1964, a pollution-free room had to be established in the local hospital where asthma victims could take refuge and breathe freely. In 1967 12 Yokkaichi residents who had been trying to resolve the problem through negotiation with the polluting firms finally filed a lawsuit against the firms in the Kombinato. It took 5 years for the plaintiffs to obtain the court decisions and in 1972 the judges awarded the plaintiffs a total of $286,000 compensation which were jointly paid by the six firms for their damages in health (1975, Huddle).

The neurological disease called Minamata disease was first discovered in 1956 in Minamata city of Kumamoto prefecture, a city in the west coast of the southern part of Kyushu, where Chisso Corporation operated a chemical factory. The first patient was a 5-year-old girl, who manifested walking and speaking difficulties and convulsions. Two days later her sister was brought to the hospital as she suffered from the same symptoms. House-to-house investigation revealed more such patients and the hospital doctor
reported the discovery of an epidemic of an unknown disease of the central nervous system to the public health office. After conducting a series of research work, the medical team of the University of Kumamoto pin-pointed that the disease spread among those who had eaten fish and shellfish caught in the Minamata Bay. This led the researchers to believe that the disease was caused by some food poisoning with contaminated fish and shellfish.

A British physician, Archibald Douglas McAlpine, who visited Japan in 1958, suggested that Minamata symptoms resembled those of organic mercury poisoning. Investigation was focused on the mercury distribution in the Minamata Bay, mercury concentration in fish and shellfish caught in the bay and also on the mercury content in the hair of the patients. The result showed a high concentration of methyl mercury in those samples (2007, Ministry of Environment). The response by Chisso Corporation and the Ministry of Health and Welfare was slow to the scientific research result and the firm attempted to mitigate the protest of the Minamata patients through the payment of small amount of “sympathy money” and the Government ordered the firm to install a wastewater purifying system. It had been known to the firm that their plant to produce acetaldehyde acetic acid, using mercury as a catalyst, discharged methyl mercury with its industrial wastewater into the river flowing to the Minamata Bay. For a period of ten years from 1959, when the first “sympathy money” was paid and the Cyclator wastewater purifying system had been installed, till 1969, when the legal action against the firm had started, the Minamata case did not attract nation-wide attention and the case continued to be a local problem. The Cyclator wastewater treatment eventually proved ineffective and the firm continued polluting the river and the bay with discharge of methyl mercury. Finally in September 1968 the Government issued an official statement with respect to the cause of Minamata disease. It read that the disease was a central nervous system disorder caused by poisoning through long-term consumption in large quantity of fish and shellfish from Minamata Bay. The causative agent of poisoning was methyl mercury produced in the acetaldehyde acetic acid facility of Shin Nihon Chisso Minamata factory, which discharged the causative agent in the factory wastewater. It took twelve years from the discovery of the disease to the Government’s statement, which admitted the cause of the disease. It was unfortunate that the sudden change of the attitude of the Government was prompted by the spreading of the same disease in Niigata Prefecture, a northern city facing Japan Sea. The polluting factory was the one operated by Showa Denko, a chemical company producing acetaldehyde acetic acid by employing the same process as Chisso in Minamata. This was what they called “2nd Minamata disease” and it was discovered in June 1965.

In addition to Yokkaichi asthma, 1st Minamata disease, and 2nd Minamata disease, there was another pollution-related disease named “ouch-ouch disease”. The disease was named after the patients’ cry of “ouch, ouch”. It was caused by cadmium poisoning, which made the bones of the patients weak and brittle to cause acute pain. The case took place near Kamioka Mine of Toyama Prefecture, where Mitsui Mining and Smelting operated mining of lead, copper and zinc. As a large scale operation started in 1910, cadmium was released to Jintsu River in significant quantities. The water from the river was used for irrigation of rice fields and also for drinking water by those who lived in the downstream. The cadmium accumulated in the bones of those who had eaten cadmium-absorbed rice and drunken cadmium-containing water. The causes of the poisoning were not well understood and it was thought to be a regional disease due to the lack of vitamin D or a type of bacteria. It was only in 1955 that a physician and his colleagues suspected cadmium as the cause of the disease. Toyama prefecture local government also started an investigation in 1961 to determine that the Mitsui Mining and Smelting Kamioka Mining Station had caused the cadmium pollution. In 1968 the Ministry of Health and Welfare
issued a statement that Itai-itai disease had been caused by the cadmium poisoning. These diseases were called “four big pollution diseases”.

4. PPP and EPR

In Japan the Law Concerning Waste Matter and its Cleaning, which was enacted in 1954, was originally intended to facilitate the waste management of household waste and guarantee the safety and the quality of drinking water. It was hardly effective as an instrument to control the industrial waste. After the four big pollution diseases were widely publicized, pressure of the public opinion increased to replace the obsolete Law Concerning Waste Matter and its Cleaning with a new law empowered with the authority to manage and control industrial waste. The Diet Sessions in December 1970, during which the new Law Concerning Management and Cleaning of Waste Matter was enacted, was often referred to as “pollution Diet”. The new Law introduced a legal framework, which was able to enforce the industries to control all types of industrial waste, solid, liquid as well as gaseous at their cost. By this law PPP principles were established. However, the law had to be repeatedly amended and revised in order to solve the problems arising from the waste of end-of-life consumer durables. No individual household had a back yard wide enough to store abandoned vehicles and electric home appliances. The emitters of industrial waste were organized firms, who themselves were capable of managing their industrial waste or entrusting its management to a waste management firms licensed by the local authorities. Individual consumers, however, had only to rely on someone, who could remove the end-of-life vehicles and electric home appliances somewhere out of their sight. Such uncontrolled removal of end-of-life vehicles and electric home appliances resulted in another type of environmental problems. Before the 1998 revision of the Law Concerning Management and Cleaning of Waste Matter there was no specific regulation concerning the waste management for such an item as shredder dust from end-of-life vehicles as such.

In 2001 the legislation to protect environment was separated from the Ministry of Health, Labour and Welfare and the new Ministry of Environment was established. A series of legislation established the following recycling laws: 1. the Law for Recycling of Specified Kinds of Consumer Electric Goods, 2. the Law for Promotion of Recycling and Related Activities for the Treatment of Cyclical Food Resources, 3. the Law for Promotion of Sorted Collection and Recycling of Containers and Packaging, 4. the Law concerning Recycling, etc. of Materials from Construction Work, and 5. End-of-Life-Vehicles Recycling Law, which started in January, 2005. Just as the Law Concerning Management and Cleaning of Waste Matter institutionalized the PPP or Polluters Pay Principles, a series of recycling laws established Extended Producers Responsibility (EPR).

Although it took three decades from the revealing of the negative externalities resulting from industrial activities and their harmful effect on the health and amenities of the people to the establishment of PPP and EPR principles, the market economy somehow managed to establish legal as well as practical foundations to save the environment from the destruction, except for global warming problems.

5. Global Warming

Heat is transmitted through conduction, convection and radiation. Since there is no material between the sun and the Earth, the heat from the sun is transmitted to the Earth through radiation. The Earth reflects about 30% of the incoming solar radiation and 70% is absorbed to warm the land, oceans and atmosphere. While the surface of the Earth is warmed by radiation of the sunlight, the Earth also radiates the energy from its surface back to the space and as a result equilibrium of the Earth temperature is maintained. Certain molecules in the atmosphere, reacting to the sunlight, emit far-infrared rays both upward to the space and
downward to the Earth surface. The downward radiation of far-infrared rays emitted by the atmosphere is referred to as “greenhouse effect” and the gaseous material, which contributes to the greenhouse effect, is called “greenhouse gas (GHG)”. The warming mechanism in a greenhouse is not the same as the warming mechanism of this downward radiation. However, the phenomenon is so named, because the metaphor is plain and easy to understand. The intensity of the downward radiation is expressed by a term “radiative forcing”, according to United Nations Environmental Programme (2007 UNEP). Among various GHG’s carbon dioxide has a relatively high value of radiative forcing, which is estimated at 1.46 (2001 Intergovernmental Panel on Climate Change =IPCC).

It is rather surprising to note that the discovery of greenhouse effect was much older than common-sense-wise imagined. The discovery of the phenomenon can be traced back to the beginning of the 19th century. Joseph Fourier, a French mathematician well known for his discovery of Fourier Transform, wrote in an essay published in 1827 that the atmosphere might increase the surface temperature of the Earth. He established the concept of energy equilibrium of the Earth, i.e., the Earth receives energy from the sun that causes temperature to increase and the Earth also loses energy by the infrared radiation outward. Equilibrium is reached between heat gain and heat loss. Beginning with work by Joseph Fourier, scientists had understood that gases in the atmosphere might trap the heat received from the sun. Although the theories and data which were available to 19th century scientists were too poor to allow an accurate calculation, the physics straightforwardly showed that a bare rock on the Earth, which is 147 million kilometer distant from the sun, should be far colder than it actually is. Svante Arrhenius∗, Swedish scientist, was attracted by the riddle of the prehistoric ice ages. In 1896 Arrhenius completed a numerical computation which suggested that cutting the amount of carbon dioxide in the atmosphere by half could lower the temperature in Europe 4 to 5 degree Celsius, i.e., to an ice age level (2003, Weart:3-2).

Almost half a century elapsed since Arrhenius attempted to measure the quantitative relationships between warming effect of carbon dioxide and its concentration in the air, an English engineer, Guy Stewart Callendar, took up the subject and evaluated the past measurements of atmospheric carbon dioxide concentrations. He concluded that over the past hundred years the concentration of the gas had increased by about 10%. This rise, Callendar pointed out, could explain the global warming trend, which had already been observed in those days. (2007,Weart). More recent scientific contribution to this subject would be the one by Roger Revelle, who proposed and designed new scientific experiments to collect samples of the carbon dioxide concentrations high in the Earth’s atmosphere from various locations every day for many years. Revelle took advantages of International Geophysical Year to begin in 1957 and established the research station at Mauna Loa, 4169m above sea level volcano in the island of Hawaii, which has been recording the carbon dioxide concentration since 1958. Revelle is a scientist with particular importance as he has strongly influenced a world leading political figure, Al Gore (2006, Gore: 38).

The carbon dioxide concentration measured in terms of PPM at Mauna Loa is shown in the following figure:

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* Svante Arrhenius won the Nobel Prize in Chemistry in 1903 for his contribution to the discovery ion of particles.
The serrate line is due to the result of annual seasonal cycles of carbon dioxide absorption and emission by the plants. During summer plants more absorb than emit carbon dioxide and during winter vice versa.

According to the Fourth Assessment Report issued by IPCC on May 4, 2007 (2007 IPCC), GHG, namely, carbon dioxide, methane and nitrous oxide have increased markedly as a result of anthropogenic activities. The report shows a long term trend since 1750. The gas concentration of the 18th century is measured from the air trapped in the ice core sample cut from the Antarctic. The amount of carbon dioxide in the atmosphere in 2005 was 379 ppm, which exceeds by far the natural range of the last 650,000 years, which was 180 to 300 ppm. The primary source of the increase in carbon dioxide is fossil fuel consumption.

Scientifically observed data clearly show that the Earth surface temperature has been steadily increasing with the increasing concentration of carbon dioxide. The following figure shows global annual mean surface temperature change since 1880.

The Fourth Assessment Report issued by IPCC on May 4, 2007 (2007 IPCC) continues that warming in the last 100 years has caused about 0.74 degree Celsius increase in global average temperature. The urban heat island effects were determined to
have negligible influence and the ocean has been absorbing more than 80% of the heat added to the climate system and that ocean temperatures have increased to the depth of at least 3000m. Losses from the land-based ice sheets of Greenland and Antarctica have contributed to sea level rise between 1993 and 2003 with more than 90% probability. There has been an increase in hurricane intensity in the North Atlantic since 1970’s and that increase correlates with increases in sea surface temperature. Hurricane intensity will be increased during the 21st century with probability of more than 66%. Ocean warming causes seawater to expand and it will contribute to sea level rising. Sea level rose at an average rate of about 1.8mm per year during the years 1961 to 2003 and the rise in sea level during 1993 to 2003 was at an average rate of 3.1mm per year. It is not clear whether this was a long-term trend or just variability. The Antarctic sea ice shows no significant overall trend, consistent with a lack of warming in that region.

A large area of heavily populated regions will be inundated by rising sea water level and the global warming will affect the world vegetation to distort food supply conditions causing large scale famine. Both phenomena will be serious enough as the potential causes of armed conflicts on the planet. According to the data provided by Carbon Dioxide Information Analysis Center (2007 CDIAC) the annual emissions of carbon dioxide by region in terms of the weight of carbon are estimated for 2000 as follows:

<table>
<thead>
<tr>
<th>Region</th>
<th>1600</th>
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<tbody>
<tr>
<td>USA and Canada</td>
<td>900</td>
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<tr>
<td>Western Europe</td>
<td>800</td>
</tr>
<tr>
<td>China</td>
<td>800</td>
</tr>
<tr>
<td>Eastern Europe and Russia</td>
<td>800</td>
</tr>
<tr>
<td>India and South East Asia</td>
<td>700</td>
</tr>
<tr>
<td>Australia, Japan and Pacific</td>
<td>400</td>
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</tbody>
</table>

Unit: million metric tons
Year: 2000

Source: 2007 CDIAC

The CDIAC data are detailed and converted into country by country per capita basis and such conversion is publicized on internet (2007 United Nations Statistics Bureau).

The following table shows time series data of per capita carbon emissions of selected countries for a period from 1990 to 2003.

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<tbody>
<tr>
<td>USA</td>
<td>18.9</td>
<td>18.7</td>
<td>18.4</td>
<td>18.3</td>
<td>19.3</td>
<td>19.1</td>
<td>19.4</td>
<td>20.2</td>
<td>19.8</td>
<td>19.9</td>
<td>20.4</td>
<td>20.1</td>
<td>20.0</td>
<td>19.8</td>
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<tr>
<td>Aust</td>
<td>16.2</td>
<td>15.4</td>
<td>15.8</td>
<td>16.0</td>
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<td>16.5</td>
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<td>Canada</td>
<td>15.0</td>
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<td>15.3</td>
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<td>16.2</td>
<td>15.3</td>
<td>15.6</td>
<td>16.2</td>
<td>16.0</td>
<td>17.1</td>
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<tr>
<td>Japan</td>
<td>8.7</td>
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<td>8.9</td>
<td>8.7</td>
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<td>9.1</td>
<td>9.3</td>
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<td>9.5</td>
<td>9.4</td>
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<tr>
<td>UK</td>
<td>10.0</td>
<td>11.3</td>
<td>9.9</td>
<td>9.6</td>
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<td>9.5</td>
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<td>France</td>
<td>6.4</td>
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<td>6.0</td>
<td>6.4</td>
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<tr>
<td>China</td>
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<td>2.7</td>
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<td>2.2</td>
<td>2.3</td>
<td>2.7</td>
<td>3.2</td>
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Unit: metric tons
A graphic presentation of the selected countries on a basis of the above table for 2003 is shown under.

5. An Ethical Analysis of PPP, EPR and Global Warming

The negative externalities of industrial activities have been solved to a certain extent through the institutionalization of PPP and EPR. The global warming, however, still remains as a serious ethical challenge and the world indeed confronts an Inconvenient Truth (Gore 2006). The boundaries of such negative externalities as have prompted PPP and EPR were limited. Compensation for damages could be argued in terms of the relationship between the victims and those who caused injury. In this respect the Coase Theorem could still be applicable if modified to evaluate the loss of clean air, for example, at the value high enough to force the manufacturer to develop a technology which reduces contamination of the air.

In the global warming the whole human beings are the victims and the injurers at the same time. There are no payers or payees of compensation. We are held at bay and yet we must make decisions. Decisions are not matters of science, but of ethics. Before going into an ethical argument, let us have a look at the two principal theories, namely, consequentialism and deontology. In terms of consequentialism, before we decide, we must consider harms and benefits of our actions. The reduction of harms will be possible, provided that the level of technology and scientific knowledge remains as it does, only through the reduction of the present manufacturing, agricultural, extracting, fishing and other industries. The reduction of production level will force the level of consumption to be lower and this will reduce the benefits. This means that harms can be reduced only at the sacrifice of benefits. Furthermore, we must take into consideration that our actions will constrain the choices of our descendants. Carbon dioxide lasts for a long time in the atmosphere. Heat added to the ocean will remain for centuries. How could we convince the people that production and consumption must be reduced in order to realize a sustainable world? The reduction of consumption means lowering their standard of living. A crisis is approaching but the majority of the world optimistically thinks that it is still far
away. A boat slowly is moving toward a waterfall, but the rowers do not hear yet the roar of water falling down the cascade.

A possible solution would be found only when higher level of science and technology make it possible to manufacture an electric generator, which emits less carbon dioxide. Nuclear power plants would one solution. France is the lowest emitter of carbon dioxide among industrial countries, because the nation derives 75% of electricity from nuclear power stations. A hybrid car emits much less carbon dioxide and its fuel efficiency is much higher than ordinary gasoline car. Less energy consuming type machines, both in productive equipment and consumer durables will reduce the load on power plants, which are the major emitters of carbon dioxide. A change in life style, such as less frequent long distance travel, will reduce fuel consumption of airliners. More use of mass transportation than passenger cars will contribute to less consumption of energy. An American web-site called “Carbon Footprint” offers an on-demand data table to tell the people how one can contribute to reducing carbon dioxide emission by changing his life style. The site defines "global warning" plainly and simply as follows: “Global warming is the name given by scientists for the gradual increase in temperature of the Earth's surface that has worsened since the industrial revolution.”

All in all the role of opinion leaders, especially of those who are politically in power is getting increasingly more important. Those leaders must address the public opinion of the world that we are held at bay and decisions and actions must be now taken in the direction of less carbon dioxide emission. This paper will be concluded with the following quotation from Al Gore:

I had the opportunity, as a member of the Clinton-Gore administration, to pursue an ambitious agenda of new policies addressing the climate crisis............In 1997 I helped achieve a breakthrough at the negotiations in Kyoto, Japan, where the world drafted a groundbreaking treaty whose goal is to control global warming pollution. But then I came home and faced an uphill battle to gain support for the treaty in the U.S. Senate. In 2000 I ran for president. It was a long and hard-fought campaign that was ended by a 5-4 decision on the Supreme Court to halt the counting of votes in the key state of Florida. This was a hard blow. I then watched George W. Bush get sworn in as president. In his first week in office, President Bush reversed a campaign pledge to regulate CO\textsubscript{2} emissions---a pledge that had helped persuade many voters that he was genuinely concerned about matters relating to the environment. Soon after the election, it became clear that the Bush-Cheney administration was determined to block any policies designed to help limit global-warming pollution. They launched an all-out effort to roll back, weaken, and ---wherever possible--- completely eliminate existing laws and regulations. Indeed, they even abandoned Bush’s pre-election rhetoric about global warming, announcing that in the president’s opinion, global warming wasn’t a problem at all. (Gore, 2007: 8-9)

References


CDAC 2007 http://cdiac.ornl.gov/ (last visited June, 2007)


Distributed Morality in a Technological World
Knowledge as Duty

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Keywords: moral mediators, technology, knowledge as duty, commodification, globalization.

Abstract: This paper aims at presenting a concise treatment of some key themes of my recent book Morality in a Technological World. Knowledge as Duty (Cambridge: Cambridge UNIVERSITY PRESS, 2007). In recent times, non-human beings, objects, and structures - for example computational tools and devices - have acquired new moral worth and intrinsic values. Kantian tradition in ethics teaches that human beings do not have to be treated solely as “means”, or as “things”, that is in a merely instrumental way, but also have to be treated as “ends”. I contend that human beings can be treated as “things” in the sense that they have to be “respected” as things are sometimes. People have to reclaim instrumental and moral values already dedicated to external things and objects. To the aim of reconfiguring human dignity in our technological world I introduce the concept of moral mediator, which takes advantage of some suggestions deriving from my previous research on epistemic mediators and on manipulative abduction. I also contend that through technology people can simplify and solve moral tasks when they are in presence of incomplete information and possess a diminished capacity to act morally. Moreover, many external things, usually inert from the moral point of view, can be transformed into what we call moral mediators. Hence, not all of the moral tools are inside the head, many of them are shared and distributed in “external” objects and structures which function as ethical devices. For example we can use external “tools”, like computer or biotechnology, to reconfigure previously given social orders morally unsatisfactory.

Respecting People as Things

When my institution, the University of Pavia, was founded near Milan in 1361, women were viewed very differently from the way we see women today. Back then, a woman living in one of the centuries-old houses I pass each day on my way to work here in Pavia would not have been considered as “human” as men: seven hundred years ago, she would have essentially been property – first her father’s then, later, her husband’s, and she would probably have had little control over matters concerning her family or her own

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destiny. There is a very good chance that she would have been illiterate, as were most women and many men in medieval Europe, and she would certainly not have been permitted to attend the city’s then-new university. In the fourteenth century, the centers of learning in northern Italy were among the most advanced in the world, yet even they considered women to be unworthy or incapable of being educated. Indeed, it took nearly 400 years for women to gain admission to the University of Pavia, and not until the eighteenth century was a degree awarded to a woman: Maria Pellegrini Amoretti, who was from a wealthy family, not surprisingly, took a law degree amid in 1777.

At the institution today, however, women work alongside men as both students and faculty members, and while we must continue to strive for gender equity, the current level of intellectual interaction between female and male scholars would have been unimaginable to medieval peoples. Attitudes towards gender roles did not evolve because of some inherent change in women, of course, but because people have learned a great deal more about the human condition since 1361. By what mechanism did this shift occur? What knowledge allowed humankind to change the way it views women? And for the purposes of the book, how can we learn from that transformation so that others may enjoy greater status as well?

Before turning to my book’s central theme of regarding knowledge as a duty, it is useful to think about how knowledge can affect an entity’s moral status. In addition to women, many other kinds of entities – both living and non-living – that were once considered much less valuable than they are today have also acquired a different kind of moral worth: intrinsic value, or value as an end in itself. An entity’s intrinsic value, of course, arises not from a change in the thing itself but from changes in human thinking and knowledge; if various acts of cognition can imbue things with new moral value, I submit that certain undervalued human beings can reclaim the sort of moral esteem currently held by some “external things,” like endangered species, artwork, data bases, or even some overvalued political institutions.

As the subtitle of the book - Knowledge as a Duty - suggests, morality is distributed in our technological world in a way that makes some scientific problems particularly relevant to ethics: ecological imbalances, the medicalization of life, and advances in biotechnology – themselves all products of knowledge – seem to me to be especially pertinent topics of discussion. The system of designating certain animals as endangered, for example, teaches us that there is a continuous delegation of moral values to externalities; it may also cause some people to complain that wildlife receives greater moral and legal protection than, for example, disappearing cultural traditions. I wondered what reasoning process would result in a non-human thing’s being valued over a living, breathing person and asked myself what might be done to elevate the status of human beings. One solution, I believe, is to re-examine the respect we have developed for particular externalities and then use those things as a vehicle to return value to people.

The well-known Kantian tradition in ethics teaches that human beings should not be treated solely as “means” or “things” in a merely instrumental way but should, instead, be regarded as “ends.” I believe, however, that if we rigidly adhere to Kant’s directive, then we make it impossible to embrace an important new strategy I propose in chapter one of my book: “respecting people as things,” the notion that people must be regarded as “means” (things) insofar these means involve “ends.” In essence, the idea holds that human beings often can and even should be treated as “things,” and that in the process they become “respected as things” that had been ascribed more value than some people. We must reappropriate the instrumental and moral values that people have lavished on external things and objects, which I contend is central to reconfiguring human dignity in our technological world.

The potential benefits of “respecting people as things,” then, undermine Kant’s traditional distinction between intrinsic value and instrumental value, and they are not the
only factors to do so: in chapter three I argue that more advanced and more pervasive technology has also blurred the line between humans and things – machines, for example – and between natural things and artifacts, and it has become increasingly difficult to discern where the human body ends and the non-human thing begins. We are in a sense “folded” into non-humans, so that we delegate action to external things (objects, tools, artifacts) that in turn share our human existence with us. It is just this hybridization that necessitates treating people as things and, unfortunately, that makes this course of action easier to pursue. Again, my counterintuitive conclusion is that instead of treating people like means, we can improve their lives by recognizing their part-thingness and respecting them as things.

In turn, the concept of “respecting people as things” provides an ethical framework through which to analyze the condition of modern people, who, as increasingly commodified beings, are becoming more and more thing-like anyway. In my book, I use this construct to interrogate the medicalization of life (chapter two), cybernetic factors (chapter four), and the influences of globalization (chapter five).

**Moral Mediators**

We have said that only human acts of cognition can add worth to or subtract value from an entity, and that revealing the similarities between people and things can help us to attribute to human beings the kind of worth that is now held by many highly valued non-human things. This process suggests a new perspective on ethical thinking: indeed, these objects and structures can mediate moral ideas and recalibrate the value of human beings by playing the role of what I call *moral mediators.*

What exactly is a moral mediator? As I explain in chapter six, I derived the concept of the moral mediator from that of the epistemic mediator, which I introduced in my previous research on abduction and creative and explanatory reasoning (Magnani, 2001). First of all, moral mediators can extend value from already prized things to human beings, as well as to other non-human things and even “non-things” like future people and animals. We are surrounded by human-made and artificial, entities, whether they are concrete objects like a hammer or a PC or abstractions like an institution or society; all of these things have the potential to serve as moral mediators. For this reason, I say it is critically important for current ethics to address not only the relationships among human beings, but also those between human and non-human entities. Moreover, by exploiting the concepts of “thinking through doing” and of manipulative abduction, we can see that a considerable part of moral action is performed in a tacit way, so to say, “through doing.” Part of this “doing” can be considered a manipulation of the external world to build various moral mediators that function as enormous new sources of ethical information and knowledge. I call these schemes of action “templates of moral doing.”

In the cases above, moral mediators are purposefully constructed to achieve particular ethical effects, but other aspects and cognitive roles of moral mediators are equally important: moral mediators are also beings, entities, objects, structures, that objectively, even beyond human beings’ intentions, carry possible ethical or unethical consequences.

External moral mediators function as components of a memory system that crosses the boundary between person and environment. For instance, when a society moves an abused child into a foster home, an example I use in chapter six, it is seeking both to protect her and to reconfigure her social relationships; in this case, the new setting functions as a moral mediator that changes how she relates to the world – it can supply her with new emotions that bring positive moral and psychological effects and help her gain new perspectives on her past abuse and on adults in general. In *Morality in a Technological World,* I depict these processes as “model-based” inferences, and indeed one way moral mediators transform moral tasks is by promoting further moral inferences in
agents at the level of model-based abduction, a concept I introduced in a previous book on abductive reasoning. I use the term “model-based reasoning” to mean the constructing and manipulating of certain representations, not mainly sentential and/or formal, but mental and/or related to external mediators: obvious examples of model-based inferences include building and using visual representations, conducting thought experiments, and engaging in analogical reasoning. In this light, an emotional feeling also can be interpreted as a kind of model-based cognition. Of course, abductive reasoning – the process of reasoning to hypotheses – can be performed in a model-based way either internally or with the help of external mediators.

Moreover, I can use manipulation to alter my bodily experience of pain; I can, for example, follow the behavior template “control of sense data” described in chapter six, during which I might shift – often unconsciously – the position of my body. Through manipulation I can also change my body’s relationships with other humans and non-humans experiencing distress, as did Mother Theresa, whose rich, personal moral feeling and consideration of pain was certainly shaped by her physical proximity to starving and miserable people and by her manipulation of their bodies. In many people, moral training is often related to the spontaneous (and sometimes fortuitous) manipulations of both sense data and their own bodies, for these actions can build morality immediately and non-reflectively “through doing.”

Technological artifacts serve as moral mediators in many situations, as is the case when certain machines affect privacy. Chapter four addresses the fact that the Internet mediates human interaction in a much more profound way than do traditional forms of communication like paper, the telephone, or the media, even going so far as to record interactions in many situations. The problem is that because the Internet mediates human identity, it has the power to affect human freedom. Thanks to the Internet, our identities today largely consist of externally stored amount of data, information, images, and texts that concern us as individuals, and the result is a “cyborg” of both flesh and electronic data that identifies us. In that, I contend that this complex new “information being” depicts new ontologies that in turn involve new moral problems. We can no longer apply old moral rules and old-fashioned arguments to beings that are simultaneously biological and virtual, situated in a three-dimensional local space yet “globally omnipresent” as information packets. Our cybernetic locations are no longer simple to define, and increasing telepresence technologies will exacerbate this effect, giving external, non-biological resources even greater powers to mediate ethical endowments such as those related to our sense of who and what we are and what we can do. These and other effects – of the Internet – almost all of which were unanticipated – are powerful motivators of our duty to construct new knowledge.

I believe that in the context of this abstract but ubiquitous technological presence, certain moral approaches that ethics has traditionally tended to disparage are worth a new look. Taking care of both people and external things through personal, particular acts – a moral orientation often associated with women – rather than relating to others through an impersonal, general concern about humanity has new appeal. The ethics of care does not consider the abstract “obligation” as essential; moreover, because it does not require that we impartially promote the interests of everyone alike, it allows us to focus on those who most need assistance.

In short, a considerable part of morality occurs in a implicit way, so to say, “through doing,” and part of this “doing” features manipulating the external world in order to build various external “moral mediators” that can provide vast amounts of new information and knowledge, transform ethical features and effects, and sometimes, of course, generate unethical outcomes.
Moral Reasoning

In my book, I consider numerous ethical issues related to technology: ecology, biotechnology, the hybridization of human beings, cyberprivacy, bad faith, globalization, and the unethical effects of external systems and technologies in general. Each of these discussions underscores the importance of producing and exploiting appropriate ethical knowledge and reinforces my argument that knowledge is a duty. If, as I contend, new ethical, scientific, and other kind of understandings must be developed and implemented, then cognitive concerns also become fundamentally important. In chapters six and seven, I closely examine the cognitive aspects of moral mediators and of other methodological problems related to ethical reasoning and moral deliberation.

Ethical knowledge and reasoning are not only expressed at the verbal/propositional level – they can also involve model-based (visual, for example) and manipulative/“through doing” aspects: for example, an important component in ethics is imagination, which is, together with analogy, visualization, simulation, and thought experiment, etc., a form of model-based reasoning. Creativity is also important, for through it human beings expand knowledge and create new perspectives. To explain morality “through doing,” I illustrate manipulative ethical reasoning using a list of invariant behaviors that I call “moral templates,” which represent embodied patterns of possible moral behavior, either pre-existing or newly created in people’s mind-body system, that enable a kind of moral “doing.” I also think it is useful to cognitively compare moral deliberation with diagnosis, a strategy that reveals the logical details of the intrinsic “incompleteness” of knowledge in ethical inferences.

Using a cognitive and epistemological approach to the concept of abduction and model-based reasoning, as I am proposing, produces an important and valuable side effect: an integrated view that forms a unique framework through which to study the multiple aspects of moral reasoning, including those that are verbal/propositional, model-based, distributed (“moral mediators”), and embodied (“templates of moral doing”).

Knowledge as a Duty

Chapter four is dedicated to explicitly clarifying the motto “knowledge as a duty.” In our technological world, it has become critically important for us to produce and apply ethical knowledge that keeps pace with the rapid changes around us. We are no less obligated to pursuing this knowledge than we are to seeking scientific advances; indeed, to neglect the ethical dimension of modern technology is to court disaster. Recent advances have brought about consequences of such magnitude that old policies and ethics can no longer contain them, and we must be willing to approach problems in wholly new ways. Our technology has, for example, turned nature into an object of human responsibility, and if we are to restore and ensure her health, we must employ clever new approaches and rich, updated ethical knowledge. The scope and impact of our current technological abilities have handed human beings the responsibility for, say, “nature” or “the future,” which were previously left to God or to fate. Consequently, I declare early in the book – chapter three – my hope for knowledge that maintains and enhances our endowments of intentionality, consciousness, and free will choices, strengthens our ability to undertake responsible action, and preserves ownership of our futures. To offer a personal example, while I respect new objects or artifacts that integrate my cognitive activities, I believe it is imperative to explore the moral implications of such devices before embracing their use.

2 These chapters are largely autonomous and methodological and can be usefully read before the other chapters or independently from them. We can say they are twin and complementary, because they systematically treat similar methodological issues from an epistemological and cognitive perspective (chapter seven) as well as from a moral perspective (chapter six).
Indeed, basic aspects of human dignity are constantly jeopardized not only by human mistakes and wrongdoing but also through technological products. Constant challenges also come from natural events and transformations, both ordinary ones, like the birth of one’s first child, and extraordinary ones, like epidemics, tsunamis, or hurricanes. I think that preserving and improving the present aspects and characteristics of human beings depends on their own choices about knowledge and morality, and I believe strongly that knowledge is a primary duty that must receive much greater emphasis than ever before and that the knowledge we create must be commensurate with the causal scale of our action. I propose that one way to achieve this and other goals is by accepting “knowledge as a duty” and by using disciplines like ethics, epistemology, and cognitive science to rethink and retool research on the philosophy of technology.

The Case of Globalization and of Commodification

The blurring of traditional distinctions between people and things that makes us a kind of cyborg is certainly due not only to our relationships with technological products, but also the externalization we achieve through our intertwining with other external artifacts, like institutions, roles, and social duties. These aspects are connected to the increasing “commodification” of our lives, a trend that is multiplying the potential situations in which we function as cyborgs, and it is therefore useful to briefly analyze how commodification, wrought mainly by modern globalization, is affecting our lives.

We know that many modern languages are being reduced to “kitchen languages,” that is, they are increasingly relegated to the home and social situations and generally eschewed in work settings. This is becoming the fate, for example, of my first language, Italian, which Galileo used for political and epistemological purposes in his early modern writings: he defied tradition by using that language to invent modern science at a time when Latin was the expected language of scholars. The use of Italian and many other languages is declining, as everyone knows, because the inexorable process of globalization is establishing one dominant language – English. This shift, however, is just one effect of globalization, whose repercussions reach far beyond the way we communicate with each other.

The condition of human beings in the globalized world is depicted in similar ways by many authors, and while the descriptions vary in political slant, they are surprisingly consistent in actual content. In these writings, the new world is afflicted by powers of oppression and destruction, but it also features new possibilities and chances for humanity. It seems that neo-liberal policies seek to create a global system of internationalized capitals and supranational banking networks and institutions controlled by hegemonic corporations and maintained by the free movement of capital across national borders: as Teeple writes, “The formation of cartels, oligopolies, or monopolies to control supply and demand, geographic markets, and prices; and the growth of the advertising sector, which is in effect an attempt to control and create demand,” reflects corporate planning that “is simply the recognition that the unreliability of the market […] cannot be tolerated given the enormity of capital investment.”

In the era of globalization, all people are welcome as potential contributors regardless of race, creed, color, gender, sexual orientation, and so forth. Nevertheless, it seems that, at least since the late 1970s, this new international system has brought with it greater economic inequality, and, as a result, many global problems are worsening: low wages, unemployment, illiteracy, poverty, child labor, forced emigration and transmigration, forced

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3 Teeple, 2000, p. 16.
5 Teeple, 2000, p. 37. Rajan and Zingales, in the recent Saving Capitalism from the Capitalists, describe how strong economical groups tend to hind capitalistic competition, taking advantage of their leading position in the market.
labor, the social and professional subordination of women, war, slaughter, bribery and corruption, and disease and morbidity.

The list of globalization’s negative effects goes on and on: pollution and environmental destruction seem out of control, as we’ve mentioned before; the sovereignty of the old nation states is declining; labor and trade union rights, healthcare, social assistance, support for the elderly, and educational standards are all decreasing; legislative assaults on wages are being launched by governments around the world at a time when Keynesian welfare reform has become less popular; corporations control most mass-media outlets, which negatively affects local cultures; the increasing privatization of public services like education, healthcare, and pension plans is bringing few benefits for the young, the ill, and the elderly; state funds are more and more often redirected to the private sector (take the American school-voucher system, for example); human and civil rights as well as liberal democracy are circumscribed and threatened; and the old national strategies assisting developing nations seem to have been destroyed. Finally, a growing sense of disillusionment and cynicism is affecting people of all political tendencies.

There is a general crisis regarding established institutions - for example, many believe that the nuclear family is under threat as its worth is questioned and its effectiveness challenged: “Children, moreover, remain by and large the property of their parents or wards of the state, poorly protected by civil rights and largely unrecognized and unseen as embodiments of humanity, but they are increasingly made the objects of consumer marketing.”

The global market is the new reality, together with the globalization of production, distribution, and exchange. Unlike the United Nations, the new transnational institutions are primarily economic or commercial in nature; as such, they lack democratic and political legitimacy because they are not products of free elections, yet they yield enormous power in the world: the result is, as Rosenau has put it, “governance without government.” Those who work to counter the effect of such institutions are few in number and limited in their aims (and unfortunately their behavior is not always transparent) – I’m thinking here of such collectivities as religious and ecological organizations, Aboriginal alliances, consumer protection groups, old age advocacy coalitions, civil liberty associations like Amnesty International, women’s movements, anti-nuclear groups, and organizations like Oxfam and Médecins sans Frontières.

Globalized human beings seem disenfranchised: because they are fragmented – paradoxically, their communications are obstructed in this era of heightened communications – they cannot be represented in the global theatre. Unscrupulousness at both village and global levels exacerbates their basic segmentation and renders them more and more marginalized. Corruption, disease, and frustration begin to take the form of psychosis, substance abuse, anguish, and boredom.

Moreover, human beings’ activity and labor have shifted from energy-intensive to information-intensive; information is increasingly objectified in computers and networks and so is more often located outside of human carriers. Economic control is not merely...

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6 According to the French anthropologist Jean Loup Amselle (2001), the process of globalization would not destroy all the local cultures. On the contrary, it can uncover the existence of those cultures that otherwise would still remain unknown.

7 McGinn, 2000; Dyson, 2000.

8 Teeple, 2000, pp. 2-4.

9 Cit., p. 41.

10 Schiller, 2000.


12 Paddis and Pech, 2004, shed light on some controversial aspects concerning the financial management of the so-called NGO (Non-governative organizations).

13 Teeple, 2000, p. 197.

control of a sector of human life that can be separated from the rest; it now seems to permeate all aspects of all of our objectives.

For example, let us draw from the topic of biotechnology I describe in chapter two of the book and consider the case of computational and informational “non-human” objects and tools. An increasing number of institutions have been transformed into “virtual” entities: banks, for example, corporate headquarters, government offices, universities and schools, healthcare organizations, entertainment, or advertising. Businesses have made it possible to buy airline tickets and other goods from online sources. In all these cases, computer systems store, distribute, transform, and apply information.

Human beings have been excised from many transactions – economic and otherwise – as the tasks they once managed have been transferred to external things like computer systems and networks. It seems many professionals have been affected by this process: certainly in fields such as medicine, law, engineering, architecture, and teaching, human beings are embodiments of specialized accumulated knowledge, and as a result, they serve as “biological” repositories, disseminators, and processors. The current trend, however, is to fill these roles, many of which require significant skill, with non-human computers and other tools. This movement signals a kind of “demise of the expert,” with the term “expert” conveying the idea of knowledge monopolies held by members of particular groups. It is true that technology has loosened the grip once held by various professions and nations on certain information, but, at the same time, an increase in patents and intellectual copyrights means that corporate monopolies are growing.

While globalization’s negative effects are widely known – the subordination of local cultural traditions to large-scale market and corporate interests, for instance – I contend that this new era of locating knowledge outside human carriers also brings potential for at least some good. As knowledge and skill are objectified in non-human mediators (things that start to think and things that make us smart), outside of human carriers, many positive outcomes become possible: 1) the democratizing and universal dissemination of knowledge; 2) greater ownership and wider transmission of information once controlled by corporate monopolies; and 3) less emphasis on labor as the source of value, which would transform the relationship between labor and capital. Globalization’s tendency to shift knowledge to non-human repositories could be beneficial, for in doing so, it makes information universally accessible. A greater pool of available knowledge could lead to interesting new possibilities while enhancing freedom and increasing free choice.

Finally, some authors maintain that the era of globalization presents an increasing and all-encompassing commodification of socio-cultural needs, that is, of human “cultures,” features, and actions. Many subjectivities have become more and more enmeshed with economic relationships; almost all aspects of our lives and the entire realm of reproduction, for instance, are influenced by economic transactions. In this light, the ethical problems of market rhetoric – “partial alienability” and “market inalienability” (aspiring to noncommodification) become particularly important when it comes to human endowments. Are babies, human organs, blood, labor, fetal gestation (surrogate motherhood) alienable or not? What about sexual services, genetic enhancement, cloning, and bodily integrity? Finally, can we alienate the traditional liberal life-liberty-property triad or our voting rights?

To think something personal – a right or attribute, say – is fungible implies that it is “separate,” and thus its owner is dichotomized and alienated.

I agree with Radin’s comment: workers who adopt market rhetoric dichotomize their own labor as a commodity and themselves as persons; they dissociate their daily life from

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16 Teeple, 2000, pp. 70-71.
their self-conceptions. On the contrary, workers who do not consider their labor a commodity are alienated from others who do, because, from the workers’ perspective, people who conceive of their labor as a commodity fail to consider themselves as whole persons: “To conceive of something personal not fungible also assumes that persons cannot freely give of themselves to others. At best they can bestow commodities. At worst—in universal commodification—the gift is conceived of as a bargain. […] Commodified sex leaves the parties as separated individuals and perhaps reinforce their separateness […]. Noncommodified sex ideally diminishes separateness; it is conceived of as a union because it is ideally a sharing of selves.”

In some cases, the increasing commodification of human aspects and actions generates uncertainty. In a divorce, for instance, how is the monetary value of a spouse’s professional degree or work as a stay-at-home parent decided? Does rape damage bodily integrity in ways that can be economically quantified? When human beings’ features are alienable, we immediately think they have become a “means.” Imagine a person who has decided to sell sex so that he or she can be a “means” for other people. A society can consider this behavior immoral, but this does not imply that the sexually commodified body of that person should be less respected or that his or her problems are less worthy of moral consideration. The concept of “respecting people as things” also provides an ethical framework that allows us to interrogate and analyze the condition of modern people and then develop ways to support them—even as nearly all parts of their lives are increasingly commodified.

**Commodification of Human Dignity?**

In this time of increasing technology, a time when we seem to be commodifying nearly everything in sight, is it possible to turn even intangible values like human dignity into commodities? The prospect sounds ominous, but I believe doing so could actually bring positive change; attaching economic worth to human dignity could generate a certain degree of social demand and need for it. Indeed, in our current collectivities there is already a call for improvements in human dignity, and its commodification could serve as a beach head for those working to spread dignity. Take, for example, a university that offers special support to students (more tutoring, more capacity to “listen to” the students’ problems, more democracy and participation, etc.) or to its teachers (more time for them to do research or more latitude in deciding whether to teach a course, etc.); such an institution could use economic transactions to enhance the lives of its students and faculty members. There could be an option for families and parents to “pay more” for a level of treatment that ensures greater dignity for both students and teachers, which would create an environment that would attract higher quality instructors and generally enhance the reputation of the institution. Similar arrangements could be implemented in hospitals and other enterprises. But we would need to consider and manage the downside of such a strategy—namely, that such a system would allow the wealthy to buy even greater dignity than they are already accorded!

Of course, many new links between commerce and ethics have already been established—companies concerned about sustainability are marketing ecological

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20 One time a university “respected” me as a teacher and as a person in the following way: its bureaucracy asked me by email at 1:26 p.m. to decide whether I was able to accept a visiting professorship, and the deadline was 5:00 p.m. of the same day. I read the message at about 3:30 p.m., so I had to decide in an hour and a half! I contend that giving people adequate time to adopt decisions is a form of respecting them. Only in this way are people really able to choose freely and, therefore, take full responsibility for their decisions (for example, by being able to gather and check information needed to make the decision).
products, and so-called ethical banks, which finance humanitarian endeavors, are inviting investments that in turn help fund organizations that care for the elderly, treat drug addicts, or work for ecological improvements, etc. “Dignity” products could be clearly labeled as such and promoted, marketed, and sold as items that enhance human lives. Along those lines, some products can now become “Fair Trade Certified,” a designation given by one of the nineteen members of Fairtrade Labelling Organizations International. The groups audit transactions between corporations in wealthy countries and suppliers in developing nations, and for a company to earn and retain certification, it must demonstrate that it has paid farmers and other workers a fair, above-market price. In some American supermarkets, for example, it is now possible to find fair-trade certified bananas or coffee as well as products like Better World Hot Cocoa™. These items are typically more expensive than their conventional counterparts, but we must remember that inhabitants of wealthy countries often enjoy bargains because workers in poor countries are underpaid. Spending a little more money for a bunch of certified bananas means that the farmers who grew them have been compensated with wages that allow them to support themselves and their families.

Some aspects of human dignity are so clear and easy to appreciate that it seems highly possible to create market fungibility for products that promote it. Moreover, if we work harder to commodify aspects of human dignity, we can also counterbalance the current negative effects of commodifying other human aspects, many of which I have illustrated above in this chapter.

Conclusion

What are ethical “reasons”? What is moral progress? What is the role of principles, rules, emotions, and prototypes in ethical reasoning? What is the role of inconsistencies in moral reasoning? Is there a morality “through doing”? These are some of further questions addressed in the book as are the practice of casuistry and an analysis of abduction as a form of hypothetical reasoning that helps clarify processes of “inferring reasons.” The book also discusses the problem of free will and examines the role of objects, structures, and technological artifacts as moral carriers and mediators. What every topic has in common, though, is that it in some way supports the idea that knowledge is our duty. Nearly every thought we have, nearly every action we take, is dictated by the knowledge available to us. In short, if we truly want to effect changes in the world, if we are committed to improving the lives of countless human beings that suffer for a variety of reasons, we must understand that it is only greater knowledge that will allow us to do so.

And so we return to the maxim of “respecting people as things”: if we do not know how to “respect people as things” (or, as Sartre would say, if we reduce people to facticity), we do not respect and appreciate many aspects of ourselves, and the bad faith cycle is continued. Unfortunately, there are also external factors working to perpetuate bad faith, for the increasing commodification of our lives tends to further emphasize the “facticity” part of human beings.

Acknowledging our “condition” is a form of accepting responsibility – it weakens bad faith and is extraordinarily helpful in improving our freedom and the ownership of our destinies. It also heightens awareness of our technologically induced “cyborg” status and of the positive and negative consequences that can accompany it. Here again is yet another version of “knowledge as a duty”: in so many ways, in so many spheres, a commitment to knowledge can help to encourage responsibility, demystify technology, rectify globalization, and enhance social equality.

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21 For example, the ones not related to environmental waste or to the exploitation of child laborers, etc. See also chapter one of the book, section “Preserving Things: Technosphere/Biosphere, Human/Non-Human.”
References

Some Facets of Life and Work of Rugina

To the Memory of Rijkje Meijer-Kuipers (1940-2003)

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Key words: Rugina, Eucken, Walras, ISINI, money

Abstract: in this paper a few aspects of the contribution of angel n. Rugina (born 1913) to science will be treated. After a description of his career, i will dig somewhat deeper in his relation to walter eucken (1891-1950) and the freiburg school. In this connection his dissertation geldordnungen und geldtypen (1949) and the reception in germany will be discussed. After this the relation to l. Walras (1834-1910) and the orientation table. Further on some remarks will be made on rugina as political advisor, founder of the international society for intercommunication of new ideas (isini) and as editor of the international journal of new ideas (ijni). Moreover, something will be said on his discussion of max weber (1864-1920) on value judgements, and the concept of unification of science (interdisciplinarity of all sciences).

Introduction

Rugina published a rich crop of scientific works. I confine myself to some facets. I can not read Romanian so part of his work is not accessible to me. I will give only an impression of his work and not make critical remarks, and will try to make his background and contribution understandable. This will be done in section 1-5.

I will not go into Rugina’s studies on natural sciences (1967, 1981c, 1989b). After 1956 he asked himself the question of the relationship between natural sciences and economics and other social sciences with regard to the concepts of relativity and uncertainty. Based on these studies he pleas since 1967 for the methodological unity of all sciences (1967). There are two Nobel Laureates in Natural Sciences mentioned as Honorary Members and Distinguished Fellows of ISINI: Ilya Prigogine and George Palade. In 1983 under the influence of Barrie Pettman he starts to talk about a Third Revolution in Economic Thinking (1983a, 1987a). The reasoning was extended to a Third Revolution in Politics (Politica) (1990ab), Ethics (Ethica) (1990), and Logic (Logica) (1989a).

For those who want to go deeper into the contributions of Rugina to Science and his life and work a list of his publications is added as an Appendix. From this list especially 1976, 1994, and 1998 are recommended as a first orientation.
In section 6-8 other facets will be treated. The first section is on Rugina as political advisor. Besides, attention is paid to his work as founder of the International Society for Intercommunication of New Ideas in 1988, and as editor of the International Journal of New Ideas (1992-1995).

1. Biographical notes

The Romanian born American economist Anghel N. Rugina (May 13, 1913) studied at the Academy of Economic Studies in Bucharest (Rugina 1994). There he acquired the inclination for and interest in Logic, History of Economic Thought, Analysis and Philosophy in science in general. Important have been for him his teachers Virgil Madgearu (History of Economic Thought), Victor Slavescu (History of Economic Thought and Economic History), and Cesar Partheniu (Public Law), Ion Raducanu, who belonged to the German historical and ethical school and others. He wrote there what he calls his first dissertation on “The Life and Work of Dionisie Pop Martian (1829-1865)”. First under the direction of Madgearu, later (after he was murdered by the fascists) by Slavescu. The dissertation was on Martian, a 19th century Romanian economist with interest in the history of thought. The fore mentioned teachers had influence upon him in different ways; some of them will get attention later on.

He served in the Central Bank of Romania in Bucharest for several years. After he received his first doctorate in economics (May 1942), the National Bank of Romania sent him (at the recommendation of Slavescu) for postdoctoral work to the University of Berlin, where he did research at the Institut für Konjunkturforschung (Institute for Business Cycle Research), then directed by Wagemann. There he lived from September 1942 to December 1943.

Looking for new ideas he did not find them there. The interest of Wagemann was in applied and not in theoretical economics. From Berlin he left (with an intermezzo of a few months in Romania) for Freiburg i. Br., where he continued his studies in money and banking. There Rugina was influenced by Walter Eucken and his school (The Freiburg School). There he stood from February 1944 until he left for the United States in June 1950. In the United States, he taught at the University of Portland (1950-1952), the University of Niagara Falls (1954-1958) and at the North-Eastern University, Boston. In 1955 he became an American citizen. He still lives with his wife Irene/Aurelia as an emeritus professor of the last mentioned university near Boston in Jamaica Plain.

2. Eucken and the Freiburg School

2.1. Eucken and Rugina

In his work Rugina mentions several times his affinity and indebtedness to the German economist Walter Eucken. What he did not find in Berlin, he found in Freiburg: new ideas. Most outspoken he mentions this influence in the following quotations:

"In memory of Walter Eucken (1891-1950), Freiburg i.Br., West-Germany, a master of economic and monetary analysis, with whom I had the privilege to work. Eucken, a prominent member of the Freiburger Universität to which once Max Weber belonged, was the one who taught those who engineered the "economic miracle" in West Germany in the 1950's under the political leadership of Konrad Adenauer and Ludwig Erhard. The heritage of the Freiburger School, as refined in this book to its final conclusion, has application for the United States in the 1970's too!" (Rugina 1976, p.V.)

"In Memoriam to Walter Eucken (1891-1950) a great German teacher and scientist who opened the door to a new vista in Economics for this writer." (Rugina, 1987b, in Engelhardt/Thiemeyer 1987, p. 67).

Rugina acknowledges in this way to be strongly influenced by Eucken and the School of Freiburg of which Eucken was the head.
A short exposition of these ideas, especially those of Eucken, is therefore relevant. For more extensive information on Eucken and the Freiburg School I refer to my contribution to the Festschrift in Honour of Anghel N. Rugina (Meijer 1987b in O'Brien 1987) and other work on this subject (Meijer 1987a, 1988, 1994, 2004, 2007).

A few remarks will be made about Eucken's contribution to the theory of economic order and the economic process, and to the theory of economic policy. It concerns his contributions on economic systems and market structures (in 2.2). The contribution of Eucken to the theory of monetary systems will be treated later (in section 3). The ideas of Eucken on economic policy will be described in their main features in 2.3. They are labelled as neo-liberalism or ORDO-liberalism. Rugina prefers the label "social liberalism" to ideas that are (look) similar.

2.2. Eucken on economic order and economic process

Eucken (1959, 1961) makes a distinction between the economic order and the economic process. With regard to the economic order he distinguishes between the centrally administered economy and the free exchange economy. Within both there may exist different market structures and monetary systems. The economic process differs according to the economic order. On the basis of his analysis of the economic order and the economic process Eucken also formulates a theory of economic policy.

Eucken uses the plans of the economic subjects as a base for his theory of market structures. These plans are based on certain facts that are seen as given by the economic subjects, the so-called planning data. Regarding market behaviour, the economic subject can accept, respectively: the price; the expected behaviour of demand and supply; or the expected behaviour of the demand and supply and the behaviour of a few competitors, as given.

In the first case the consumer or supplier accepts the market price as given. He does not account with the fact that his supply and demand influences the price, because this influence is, in relation to respectively the collective supply and collective demand, small. In that case there exists competition.

In the second case the supplier or consumer is a monopolist; he has no competitors. He is able to fix either the price or the quantity autonomously. The third case occurs in two forms:

(a) The supplier (consumer) has only a few competitors, this is a case of oligopoly. The oligopolist does not only take into account the pricing policy of his competitors, but accounts with their entire policy, especially for their investment policy.

(b) There are two large suppliers, respectively consumers, and many small ones who adapt themselves to the prices of the big ones. In that case there is a partial oligopoly. The large firms have to reckon with each other and with the small firms. Finally there remain cases in which there is a collective monopoly.

At the demand side as well as at the supply side the following cases may occur: competition, partial oligopoly, oligopoly, partial monopoly, collective monopoly and monopoly. Eucken gathers the last two under one denominator. By combination of the demand- and supply-side he obtains 25 structures.

The distinction between open and closed market structures extends the number of market structures to hundred. The 25 market structures can be open at both sides, closed at both sides or open or closed at one side.

The market structure complete competition is characterised by competition at the supply- and demand-side and can occur in four forms, namely open at both sides, closed at both sides, open or closed at one side or open or closed at the other side.

Openness is, therefore, no criterion for the existence of complete competition. The distinction open-closed is related to the question whether or not free entry to the market exists, in other words whether or not artificial barriers are present. These barriers may be
created by the participants themselves or by government. Free entry is very significant because otherwise potential competition would not exist. The government, through its policy, is able to contribute much to strengthen competition through extinction of these barriers, just as it created many barriers in the past.

In his theory of market structures *Eucken*, therefore, exclusively uses as criterion for complete competition the question whether or not all market participants treat the price as given in their plans. When homogeneity of goods or homogeneity of firm size is used as a criterion, one says by definition that competition hardly exists. Then one is not able to characterise competition as it exists in reality.

The contributions to the theory of market structures discussed above form the basis for the study of the economic processes within these market structures. In this way conclusions can be drawn about the working of the pricing processes in the different market structures. The ideas on competition policy (*Eucken* 1949, 1952; *Miksch* 1947) are linked up with these analyses of the market structures and of the economic (pricing) processes in the different market structures. The criterion for competition policy of the authors who are discussed here is workable competition. Where it does not exist or cannot be realised complete competition has to be the yardstick of competition policy. Only when complete competition exists can a general optimum equilibrium be realized. All other market structures have in this respect shortcomings compared with complete competition.

### 2.3. Eucken’s Theory of Economic Policy (*Ordnungspolitik*)

*Eucken* developed a programme of economic policy based on his theoretical work (1949, 1952, Buch IV). The basic principle of economic policy is to let the pricing process work as well as possible. This is in his opinion the case with complete competition. The policy has to refrain from all measures that conflict with the basic principle. Such measures have to be taken so that the market structure complete competition will be developed. In this context *Eucken* distinguishes measures that are system conform and system non-conform.

The economic order based on complete competition (competitive order, *Wettbewerbsordnung*), is founded on six constitutive principles:

1. stability of the monetary system;
2. open market, i.e. free entry;
3. private property, also of the means of production;
4. freedom of contract, however not to interfere with the basic principle;
5. complete liability for economic actions; and
6. constancy of the policy. These six constitutive principles have to be realized simultaneously.

Apart from these constitutive principles *Eucken* distinguishes the regulating principles that are directed towards keeping the economic order intact, based on perfect competition. There are four of these principles:

1. a policy to attack monopolies (*Anti-monopol-politik*);
2. a policy aimed at changing the distribution of incomes;
3. the fixing of minimum wages; and
4. a policy to equalise individual and social costs.

The business cycle problem is according to him solved if the constitutive and regulatory principles are fulfilled. The monetary side of the economic order has for that reason to be changed in such a fashion, that the business cycle is eliminated. He propagated the introduction of a commodity reserve standard and 100 per cent money. For that reason the business cycle policy is not mentioned among the regulative principles.

Besides *Eucken* stresses the interdependence of economic, political, and social aspects of orders (*Die Interdependenz der Ordnungen*). Apart from the constitutive and regulative principles, he formulates three principles of state policy:
(1) The state has to limit the power of interest groups.
(2) All state intervention has to be directed to the policy of the economic order, not the economic process.
(3) Economic and social policy has to be systematic and not ad hoc.

Moreover he makes a distinction between Prinzip (principle) und Moment (historical circumstances. This implies that economic policy makers always have to take into account historical circumstances and have not to be doctrinaire in their principles and to follow them blindly.

2. Contributions of to the Theory of Monetary Systems by Eucken and Rugina and their Consequences for Monetary Policy

3.1. Eucken and Rugina on monetary systems

The contribution of Eucken to the theory of monetary systems will be treated now. Special attention will be given to the contribution on the same and related subjects by Rugina in his study Geldtypen und Geldordnungen published first in manuscript in 1947 and in 1949 as a book. He received a doctorate in economic science on this book at the University of Freiburg.

Eucken (1959, p.113-123) distinguishes three pure monetary systems. In the first money originates when a good becomes money. In the second system money originates in exchange with goods and services. In the third system money originates through credit. Eucken’s theory of money, etc. will not be treated here extensively. For this I refer to the study of Folz (1970).

The Eucken theory of monetary systems and money types, was elaborated by Rugina (1949) at the end of the 1940s. Later Hensel (1959) and Gutmann (1965) criticised Eucken especially on the subject of the role of money in the centrally administered economy. This criticism is only mentioned here.

In his book Rugina distinguishes between natural money (natürliches Geld) and artificial money (künstliches Geld). According to him there are two money types. Natural money is at once unit of account and a means of exchange and originates in the economic process in exchange with goods and services (1949, Erster Teil). This means that there is a link between the monetary and the real sector.

There are according to him five monetary systems (1949, Zweiter und Dritter Teil). The first two are pure systems:

(1) the natural money system;
(2) the artificial money system.

The combinations of the pure systems give rise to three mixed systems. He calls them:

(3) type A - with natural money dominant;
(4) type B - with artificial money dominant;
(5) type C - with as much natural money as artificial money.

This scheme is, as Rugina remarks, the basis of what he later called the Orientation Table for Economics extended to include also the study of money and banking (1994, p.12). According to him the first system conforms to the free exchange economy. The second system is compatible with the centrally administered economy. Combination of the free exchange economy with the second system or with the mixed systems will create disorder and disequilibrium. In his opinion this is the case with the modern gold standard. This is a monetary system of type B (1949, Dritter Teil, Section 26). In order to correct this he proposes -among other things – free minting at a variable gold price. Then money will be natural, stable and neutral (1949, Dritter Teil, Section 19).
3.2. Discussion on Rugina's book

The study of Rugina has stimulated the discussion in Germany and especially within the School of Freiburg (Von Nell-Breuning S.J., Zur Einführung, in Rugina, 1949, pp.V and VI; Irmler, 1950; Meyer, F.W., 1950; Miksch, 1949). The most prominent members of the School stood favourable to the ideas of Rugina. Foremost among them Eucken (1952, Buch IV) and Miksch (1949a, p. 322ff; p.323: „... jetzt scheint das Eis gebrochen zu sein. Das beweist die beachtliche Arbeit von Angel Rugina“). However he was criticised by Irmler, who was not prominent at the School of Freiburg and by F.W. Meyer. According to Rugina they both did not carefully read the book (Rugina, 1951b).

The studies on monetary problems and policy by Eucken (1952, Buch IV), and Miksch (1949a, 1949b, 1949c, 1949d, 1950) from 1947 and onward show that they used and accepted the main conclusions of the study of Rugina, although they did not come to the same conclusions with regard to monetary policy. In the last respect, Miksch is somewhat closer to Rugina. He is in favour of a pure gold standard with some modifications. He thinks that Rugina is on a fruitful and correct track with his proposal of free minting at a variable gold price (1949a, p.325-326: „Dieser Ausweg der zu einem neutralen Gelde führen kann ist berufen, in künftigen Erörterungen des Problems eine Rolle zu spielen). It is at this point that Rugina was criticised by Irmler (1950, pp. 322-332).

All these writers are critical to the modern gold standard. However whereas Rugina and Miksch propose modifications with regard to the gold standard, Eucken (1952, Buch IV) was in favour of the commodity reserve standard. In this he was followed by several other members of the School of Freiburg (Lutz, 1949; Maier, 1951). With regard to the third monetary system (in the sense of Eucken), i.e., artificial money (in the sense of Rugina) a common opinion exists as far as its incompatibility with the free exchange economy. Both Eucken and Miksch are opposed to those members of the School of Freiburg - like Lutz (1936) and Gestrich (1936, 1957) - who think that the monetary policy of the Central Bank may make money neutral and stable. This was almost the common opinion until about 1947. Eucken and Miksch prefer an automatic system. However, they do not think that it is possible to do without money creation by private banks completely. They are in favour of 100 per cent money for that reason.

3.3. Later work of Rugina on monetary theory

Later important work on monetary theory was published in articles of 1970, 1971 (Monetization of Public and Private Debt. The Principal Fountain of Modern Inflation), 1974-1975 (A Monetary Dialogue with Karl Marx. Its Significance for Both Capitalist and Socialist Countries), and 1977 (A Monetary and Economic Dialogue with Lord Keynes). The main thesis remains that only natural money (i.e. commodity money) is neutral. In this same line of thought he wrote his articles on the gold standard (1982c), the international monetary system (I.M.F.) (1973), monetary and budget policy, and gave his advices (See the literature discussed in section 6).

3. On ‘Values’: Max Weber

Max Weber (1864-1920) was born in Erfurt in Thuringia, Germany. He was professor in Freiburg and the elder brother of Alfred Weber. Both were eminent sociologists and economists. Max Weber is still known for his work on the capitalist ethics and his position with regard to values in science (Max Weber, 1904).

In an extensive essay Rugina (paper 1979; published 1984) has taken position in this debate. Seen his strong commitment to what happened in practical policy, it is no surprise that he had to think about this problem. His first acquaintance with Weber was in the Seminar on History of Economic Thought of Madgearu in 1940 (1994, p. 7,8). He came back to the problem after his retirement in 1978.
Weber’s article had as thesis that objectivity in social science and social policy required that value judgments had no legitimate place in science. Science had to be free from subjective value judgments, i.e. it had to be value free.

There is a paradox here. Can a scientist give a value judgment on value judgments? The solution that Rugina proposes is to distinguish between: (1) personal, subjective, individual values and value judgments of the kind of likes and dislikes for which we are not required, and actually we cannot provide, a logical and/or empirical proof; and (2) impersonal, objective, social values and value judgments shared by a large number of people, mass phenomena that can be studied by using the scientific method in the same way as other phenomena are studied in nature and society.

For the first category there is no place in science. For the second category there is; with the requirement that the scientist should provide a logical and/or empirical proof.

4. On Walras

Several articles are on Walras (1981a,1982a,1983a). He distinguishes Walras as the Pure Scientist and Walras as the Social Reformer (1983a). He sees Walras as a foundation of his own work. However he thinks he has made some improvements on Walras (1874), the Scientist. This concerns first the orientation table (1982c, 1986b). Further the inclusion of R, the institutional and legal framework, and at last the addition of disequilibrium economics. For that reason he speaks of a Third Revolution in Economic Thinking (1983b, 1987a, 1994), and the New Research Programme (in the Kuhnian sense).

The Orientation Table is included in the Annex. In this table M1 is the Walras Equilibrium system improved by Rugina. He writes it as M1=100% (Co +Nu) + R1. This model is only possible in theory and not possible in practice. The Model M2 = 98% (Co+Nu) + R2, is possible in theory and practice; it is Stable Equilibrium. There are five more models - M3, M4 (Keynes), M5, M6, M7 in the table. They are disequilibrium models, among them the model of Keynes. On this topic Rugina gave an exposition in Wageningen (Meijer et al., 2006, p.68).

He from then (1983) on no longer uses the concepts, used in his 1949 book, in which he followed Eucken’s terminology. He uses instead, following Walras, the terms pure competition, pure monopoly and numeraire type and non-numeraire type of currency in stead of free enterprise (exchange) system and centrally planned economy and natural money and artificial money.

He (Rugina 1994) writes: “... I discovered that the Walrasian law of general equilibrium and his whole system of thought were not complete either, like the Freiburger heritage. Consequently I proceeded to identify the missing parts and to try to complete them with the help of the new research program. For instance Walras did not develop an adequate theory of entrepreneurship in the sense clarified by Schumpeter; nor did he have a consistent theory of a legitimate, equilibrium rate of profit in a free and stable economy, as envisioned in his system of thought. Walras did not include in his law of general equilibrium the specific activity of an adequate banking and financial system nor that of government business and finances or the balance of international payments.”

Eucken (1959) criticized Walras for neglecting the time aspect (esp. capital theory) and the space aspect of the economic process. Moreover according to Eucken Walras only knew the concept of general equilibrium with optimal use of the production means (full employment), and not the concept of equilibrium with unemployment of resources. Eucken stresses the institutional aspect (the economic order) in which the economic process takes place. An important part of this is the monetary order.

There are in this relation differences as well as common opinions between Rugina and Eucken which can not be worked out here for reasons of time and space. As far as the ideas of Walras on economic policy concern he can be seen as a forerunner of neo-
liberalism or ORDO-liberalism, and both of Eucken and Rugina. Walras uses the concept of social liberalism to designate his opinions in this respect and uses the concepts conform/non-conform, in his books of 1896 (1936) and 1898 (1936).

The concept of social liberalism is explicitly used by Rugina for the first time in 1951 in his article: ‘Social Liberalism The Integral Democracy of Tomorrow.’ This is the background article for his later articles (1981a, 1983c, 1991, 1992a) where he argues in favour of Social Liberalism for the West; and for Liberal Socialism in the East.

In this respect Rugina (1994, p.6,7) is inspired by his teacher Partheniu, who “…attempted to explain the development of human civilizations from ancient times to our days strictly in evolutionary terms and by using a model composed of four idea-forces: Equality, Authority, Liberty and Solidarity. According to his interpretation, by the end of this (twentieth) century – in the West as well in the East – we should have an institutional regime based and supported by the idea-force of solidarity. It is the thinking of Partheniu and of Walras which inspired me to write the paper The Future belongs to a Social Economy of Human Solidarity in 1983 (Rugina 1998). Partheniu also developed a sui generis methodology that he called tetra-logic which actually completed the Hegelian Logic.”

5. Rugina as political advisor

Rugina sees it as the task of the scientist to give advice to politicians. A considerable portion of his work consists in reports and letters to those in a position to conduct and influence economic policy. This starts with a letter to Ludwig Erhard (22.2.1948) as Direktor der Verwaltung für Wirtschaft, that accompanied his proposal for economic reform in West-Germany (Rugina 1949; republished in a revised version actualised for the 1980s in Engelhardt and Thiemeyer, 1987).

In the same category belongs his Stabilization Plan for France (1959), published by René Courtin, a French member of the Mont Pélérin Society, and editor of the Revue d’Economie Politique (1959). Rugina tells himself (1994) that he first sent a longer version to De Gaulle, on January 18, 1958 who answered a few weeks later: “The solutions you propose are bold but you support them with a solid argumentation. The whole thing appeared to me very interesting and I would like to thank you for giving me an early opportunity to read it”. In the same year he became the prime minister and later on the President of France.

In the same time Rugina had correspondence with another French member of the Mont Pélérin Society, Jacques Rueff, then member of the Court of Justice of the European Community of Coal and Steel. Later he was (the Chairman) with Debré the chairman of the Committee of Experts which made the Report for the French Financial Reform of December 1958. He was intensely occupied with practical policy. Rueff had an important share in the preparations of the economic reform carried through by De Gaulle in 1958, and was in favour of going back to gold. Maurice Allais, later Nobel Prize winner, had also ideas similar to Rueff and Rugina.

In 1970 Rugina send a letter with a Memorandum under the title: French Stabilization Through Monetary Reform (1970) to Couver de Murville, then Minister of Finance. Later on he gave advice to the Prime Minister Raymond Barre. The last one became a Honorary Member and Distinguished Fellow of ISINI from the beginning.

Again in 1983 he sent a plan ‘On the Possibility to Have an “Economic Miracle” in France’ to President Mitterand. Seen in the light of these and other connections it is understandable that the first ISINI meeting was held in Paris. In the United States he wrote (several times) letters and proposals for economic policy to Ford, Nixon, Johnson, (all included in his book of 1976), Reagan, and Clinton (1993).

From 1965 to 1970 he was the Chairman of the Board of Economic Advisors to the Governor of the Commonwealth of Massachusetts, John A. Volpe. Moreover, he
presented memoranda on monetary and financial policy to the U.S. Senate Banking and Currency Committee in 1965 on the Federal Reserve Bank Gold Requirements.

Moreover he presented a plan for reorganization of the I.M.F. (1973) and sent a letter together with A Plan for a Free and Stable European Monetary and Economic Union (1976) to the French President Giscard d’Estaing on August 16, 1979 (On all this Rugina, 1994, p. 23).

He often speaks of stabilization plans: the purpose of which is Stable Equilibrium (Model M2). In the Statutes and By-laws of ISINI he indicates as task of the national chapters to make a stabilization plan. In art.2 c is stated: ‘A priority goal is to develop Stabilization Plans for the various countries where the Society is presented.’

6. Rugina as founder of ISINI
(The text of this section is a somewhat adapted form of my preface to Heterodox Views, Meijer et al., 2006)

7.1. The past
It was at the History of Economics Conference in Fairfax (1985) that I first met Anghel Rugina. I presented a paper founded on the third chapter of my dissertation on the History of Neo-liberalism in Several Countries (Meijer, 1987a). It turned out that he knew the Freiburg School and in particular Walter Eucken very well. He took his doctor’s degree at the University of Freiburg on his thesis Geldordnungen und Geldtypen (Monetary Orders and Money Types) in 1949.

Later on he invited me for a conference in Toronto of the Association of Social Economics (1986). The paper I presented on History of Neo-liberalism: Affinity to some Developments in Economics in Germany was included in the Festschrift for Anghel N. Rugina (1987b). This gave a common ground to our friendship in the world of ideas.

In his work there are two important lines of thinking which interested me at that time. First his monetary theory. I paid attention to this in my last mentioned paper. On Sept.1, 2004 he wrote me that this thorough study will be translated in English. Second it is the idea of Quinta Methodica that he defends in the footsteps of Schmoller and Eucken. This idea is at the background of the International Society for Intercommunication of New Ideas (ISINI), that he founded in 1988 in Boston, and of which he was the first president, and is now (at the age of 93) the honorary president. Quinta Methodica means that that economic science has five different, yet interrelated, subdivisions: economic history; economic theory; economic ethics; economic policy and history of economic thought.

In 1987 Rugina visited the Netherlands. First he met Tinbergen in Rotterdam. Then he and his wife Irene (Aurelia) were our guests in Bussum for a few days. From there we brought them to Jaap en Meta Krabbe in Wageningen. Via Freiburg (Hayek), St Gallen (Dopfer) and Paris (Henri Guitton) they travelled back to Boston. After this trip and these consultations Rugina founded ISINI. Tinbergen and Hayek both Noble Laureates in economics, became Honorary Fellows from the beginning, in this way showing there sympathy with the initiative. It shows also the broad concept and vision of ISINI.

Since the foundation global international meetings were held in Paris, France (1990); Athens, Greece (1992); Boston, Mass., U.S.A. (1995); Maastricht, The Netherlands (1997); Mexico City, Mexico (1999); Miami, Florida, U.S.A. (2001); Lille, France (2003), and again in the Netherlands in 2005, this time in Wageningen ( and in 2007) in Romania (Bacau)). This shows that ISINI is steadily moving forwards, and that it has answered challenges and taken advantage of opportunities since it was founded.

(The Conference in Paris (1990) was organized by Prof. and Mrs Rugina with the help of Professor Henri Guitton at the Sorbonne. The Paris Manifesto was launched and later published in the International Journal of New Ideas (1992, Volume 1,1). Both Guitton (1992) and Tinbergen (1992) addressed the Conference. The second conference was
organized by the Greece Chapter more in particular Houmanidis in 1992. For political reasons a conference could not be held neither in Israel nor in England in 1994. After postponement of a year the third conference took place at the North-Eastern University in Boston, again organized by Prof. and Mrs Rugina, in 1995.

The Dutch Chapter was the organizer of the Conference in Maastricht. The Secretary of ISINI at that time was Dr Jaap Krabbe (University of Wageningen) who thought Maastricht would be a better place to have the conference. Alas Krabbe died in 1996 (On him see the In Memoriam in the Maastricht ISINI Papers by Gerrit Meijer and Wim Heijman (Meijer et al., 2000, and the program of 1997). With the help of colleagues from the Wageningen University (Heijman and Van Ophem) the conference was organized by Mrs Ria Meijer-Kuipers and Gerrit Meijer. The Conference in Mexico City (1999, was organized by Ortiz), in Miami (2001, was organized by Moncarz), in Lille (2003, by Ephraim Clark and Fannie Blas). In 2005 again a conference took place in the Netherlands, now organized in Wageningen by Gerrit Meijer, Ymkje van’t Riet-Meijer, Annelies Coppelmans, Johan van Ophem and Wim Heijman

The purpose of the Society is according to Article 2 of the Statutes threefold:
(a) To foster and support the discovery and dissemination of new ideas in particular in economics and other social sciences and to arrange for their testing (logical and/or empirical) in the realm of various possible social, economic and political systems, as far as analysis can go.
(b) To initiate and cultivate a contact and consultation not only among economists, sociologists and political scientists but also between social and natural scientists including men of arts and letters.
(c) To study systematically using both theoretical and practical reason) the application of new ideas to problems of the real world of today and tomorrow in various existing social regimes and considering the diverse levels of development and historical circumstances. (A priority goal is to develop Stabilization Plans for the various countries where the Society is represented.)

Also we read in article 5 that the Society has (ideally) seven sections:

**Section 1.** History and Statistics.
**Section 2.** Theory, New Concepts, Principles, Interpretations and Explanations (Positive Science).
**Section 3.** Ethics, What Ought to Be, General Stable Equilibrium (Normative Science)
**Section 4.** Policy Matters or How to achieve a certain given goal without creating other problems. This Section is for those who have the skill, inclination and background to test both theoretical and practical ideas for consistency and efficiency in terms of the ultimate values of a free, just and stable society. These are what may be called “scientific”, tested policies.
**Section 5.** Doctrines, History of Thought.
**Section 6.** Arts and humanities.
**Section 7.** General supporter of the society in any other way.

The first five sections reflect the Quinta Methodica. (In principle there are chapters in all countries in which there are members).

The papers presented at the conferences were originally published in the International Journal of New Ideas. A Journal of Interdisciplinary Approaches that was published during four years (1992-1995). Since the Maastricht-conference (1997) the papers and proceedings of the conferences were published in book- or electronic form.

7.2. The present

This volume contains revised papers that were presented at the Eighth ISINI Conference in Wageningen. It is wholly in the strain of thought of Rugina (and the Statutes and Bylaws formulated by him) that we had two special invited speakers on the
institutional and cultural aspects of human society, Backhaus and Klamer respectively. More about these lectures will be written in the Introduction of the Editors of this volume. I am grateful to the Mansholt Graduate School (MGS) for supplying the resources for the keynote speech of Backhaus. His keynote speech is also published as the sixth Mansholt Lecture of the MGS.

7.3. The future

In this preface I also think a few words on the future of ISINI can not be omitted. Thinking about this has to start at the background of the original purpose, organisation and methods how to reach them in the Statutes and Bylaws when ISINI was founded in 1988. At August 23, 1997, at the General Assembly in Maastricht, a motion of Rugina was accepted, which again clearly stated the purpose and vision of ISINI, and for that reason is cited here in full:

Every professional organisation is striving to have something new, some new ideas or practice in its own field, but the vision of ISINI transcends this usual common purpose. ISINI has a new message. Its very existence finds justification in the motto ‘In searching for new ideas, new better concepts, new better theories and new better interpretations of past and/or resent ideas’. Of course we are in favour of an open dialogue, not only with other already established directions: mainstream economics, social economics, institutional economics, evolutionary economics, etc., but also in addition with other fields, first the other sisters in social sciences and also with natural sciences. But ultimately, our motto remains as a new message. Its roots are in methodology of science and in analysis. The final dream is a methodological unification of all sciences. Indeed, if economics pretends to be a science than it must have a common denominator – of course retaining and keeping its individual character – with all other sciences, i.e. the rest of our sisters in the fast field of studying human societies of today and other times, together with the Study of Mother Nature, i.e. natural sciences. This is the first final dream in analysis: the methodological unification of all sciences. The second final dream, actually an continuation of the first one, namely on practice, in application of methodology of science, is to show consistently and systematically how to realise and to maintain in the real world the great ideal of nations, of all races, that is of humanity: the dream of a Free, Just and Stable Economy and Society. With this new message ISINI was officially founded in the fall of 1988 and registered as a non-profit institution in Boston, MA, USA. (Meijer et al., 2000: xiii).

I further refer in this respect to the preface to this volume written by my successor Liviu Drugus. In this contribution to the book he pleas ‘for using new ideas and especially trans-disciplinary approaches in unifying the too many so called ‘sciences’- as a matter of fact narrower and narrower slides of knowledge with the peak when a super-specialist knows all about almost nothing. ISINI is considered as an excellent laboratory of developing research units generating unified science’. In this contribution he also mentions that for that purpose he intends to organize sessions that pay special attention to this theme in the conference in Romania in the second half of August, 2007.

We are still far away from having achieved this ideal. A lot of work has been done, and there is still much work to do. In this context I refer to the comprehensive work of A. Rugina, especially to his Prolegomena (Rugina, 1998). In this work the fundamental thoughts of the founder of ISINI are explained.

7. Rugina as Editor of International Journal of New Ideas

The International Journal of New Ideas mentioned before was created as the journal of ISINI, mentioned in the Statutes as its official organ. The Editor in Chief is Anghel N. Rugina. The publisher is Barmarick Publications. The name of the publisher was derived from the first names of Barrie O. Pettman and his wife Mary.

Numerous articles of Rugina found their way into the International Journal of Social Economics, of which first O’Brien and later Pettman were editors. Other venues for publication were the Rivista Internazionale di Scienze Economiche (edited by the Italian Tullio Bagiotti), and SPOUDAI (edited by the Greek Houmanidis), and the Revue d’Economie Appliquée (Courtin and later on Guitton). These editors according to Rugina were open-minded people who gave chances to others to think otherwise and to publish their findings. This is the key to progress in science.

This makes dialogue and intercommunication possible. For that reason and with this philosophy at the background he founded ISINI and created and edited the Journal. A primordial quality for an editor is according to Rugina the disposition to retain his personal view but at the same time to allow plenty of room for others to express their views also (1994, p. 50). As the editor of IJNI, and as the founder and (honorary) president of ISINI, he has given an impressive example how this can be achieved.

Conclusion

Intercommunication (an open dialogue) is far from easy. Most difficult may be the open dialogue on new ideas. The reason for this is not that the concept of “new ideas” has many meanings, but the simple fact that that the interchange of ideas asks for special efforts with regard to the means and methods of intercommunication. It supposes willingness to discuss in an open and fair way. One way to try to succeed in this is to organize a congress. Another instrument is to have a journal. In ISINI Rugina has given us an organization to do this.

Besides his important work in this field, he contributed to science in different fields. Some of these contributions were discussed in this paper. It is meant to stimulate the study of his life and work within and outside ISINI.

Annex:

Rugina’s Orientation Table for economics and finance (Rugina, 2001)

Models

\[ M_1 = A \text{ system of 100 percent (Co+Nu) + } R_1 \]
This is the Walrasian model of general stable equilibrium at its limit of perfection and in its more complete form. It is immune to anomalies, relativity uncertainty.
This is the “economics of pure and perfect competition” (certainty).

\[ M_2 = A \text{ system of 95 percent (Co + Nu) + 5 percent (Mo + anti-Nu) + } R_2 \]
This approximates to the model that Quesnay, Adam Smith and other classical thinkers up to Marshall inclusive, have used in their analysis. It may be called the “economics of classical laws” with minor deviations.
This is the area of weak minor disequilibria.
Some Facets of Life and Work of Rugina

$M_3 = \text{A system of 65 percent } (\text{Co} + \text{Nu}) + 35 \text{ percent } (\text{Mo} + \text{anti-Nu}) + R_3$

This is a mixed economy where equilibrium elements still prevail but relativity begins to play an important role. It belongs to the “economics of simple relativity” or relativity I. This is the area of strong minor disequilibria.

$M_4 = \text{A system of 50 percent } (\text{Co} + \text{Nu}) + 50 \text{ percent } (\text{Mo} + \text{anti-Nu}) + R_4$

This particular combination represents a mixed economy of static nature and hidden stagnation. It is the true model that Keynes improperly called “equilibrium with unemployment”. Actually it is the domain of the “economics of unstable equilibrium”: in his dynamic analysis Keynes left out the limit 50:50 and dealt with the “economics of relativity” in general terms. Modern capitalism moved up and down around Model $M_4$ or between Models $M_3$ and $M_5$ and thus Keynes’ observation of “involuntary unemployment” was correct empirically and analytically. This is the area of weak disequilibria.

$M_5 = \text{A system of 35 percent } (\text{Co} + \text{Nu}) + 65 \text{ percent } (\text{Mo} + \text{anti-Nu}) + R_5$

This is a mixed economy where disequilibrium elements prevail. Below this line the business cycle becomes unmanageable. It is the domain of what may be called the “economics of compound relativity II”. This is the area of strong major disequilibria.

$M_6 = \text{A system of 5 percent } (\text{Co} + \text{Nu}) + 95 \text{ percent } (\text{Mo} + \text{anti-Nu}) + R_6$

This is the model of a decaying mixed capitalist economy in a country where a Marxist or fascist revolution succeeded in overthrowing the old system and instituted a brand new socialist or fascist regime. It is the domain of the “economics of compound relativity III” or more explicitly, the “economics of a centrally planned and controlled economy and society”.

$M_7 = \text{A system of 100 percent } (\text{Mo} + \text{anti-Nu}) + R_7$

This is the limiting Marxist model of total revolution, disequilibrium and uncertainty, which requires a government of absolute powers to hold an unstable system together. It is the domain of the “Economics of pure and perfect state monopoly” (uncertainty).

APPENDIX

List of Publications Rugina

This list does not include all publications of Rugina but reflects his contribution to science.


Und es kann doch “neutrales Geld” geben!, Weltwirtschaftliches Archiv (1951b), Bd.LXVII.


French Stabilization through Monetary Reform, Inter-economics, No. 8, August, 1970.


A Reorganization Plan of the International Monetary Fund as Oriented Toward Conditions of Stable Equilibrium, in Economica Internazionale, Vol. XXVI, No. 3-4, Aug-Nov. 1973


A Stabilization Plan to Restructure American Capitalism for a Balanced National Growth and Economic Development, in: Hearings from the U.S. Senate Committee on Banking, Housing and Urban Affairs, 96th Congress, Second Session on S2352, March 10, 14, 17 and April 21, 1980.


Missing Parts of the Walrasian Law of General Equilibrium, Graduate School of Industrial Studies, Piraeus, Greece, 1982a.


Some Facets of Life and Work of Rugina


Principia methodological 1: A bridge from economics to all other natural sciences, towards a methodological unification of all sciences, Internatyional Journal of Social Economics, Vol. 16 No.4, 1989b.


Toward a New Principia Ethica: Third Revolution in Ethics, Rivista Internazionale di Scienze Economiche, XXXVII, no. 9, 1990b.


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Stuttgart: Gustav Fischer Verlag.
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Maier, K.F. 1951. Stabilisierung der Wirtschaftsprozesses. ORDO IV.
Fairfax Va.: George Mason University.
Globalization and Cultural Changes

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Keywords: globalization, cultural changes, identity, connection, communication, symbolical system, deterritorialization

Abstract: Globalization ceases being perceived as a potential cause for the loss of identity, for the reaching of a standard model, if accepted as part of identity, as field identity (Solomon Marcus, 2005) of a predominantly interactive kind. Thus, one should accept the existence of difference and should come to the idea that one’s own identity can be fully understood only through the concept of alterity. An idea which cannot be easily taken in, as the consciousness of identity is stronger than that of being related to the other, and besides, the mentality that the other is an opponent is yet rather common.

Our approach is based on the qualitative methodology which offers the tools and strategies of studying the social facts and of understanding the reasons for their being the way they happen.

The hypothesis of our research starts from the idea that cultural changes come out of the need of raising the ability of understanding one’s life and the world one lives in. For the time being, cultural change have been manifesting themselves within the phenomenon of globalization, which, as modality of interaction with the whole world has always been a fact. It is only because of the process speeding us that we have become aware of globalization. Among the fundamental concepts, globalization operates with, there can be mentioned: identity, culture, cultural change(s), heritage, (national) specificity.

Anthony Giddens, J. E. Stiglitz, Thomas Friedman, Mark Taylor, Yves Brunsvick, André Danzin are only some authors who studied globalization, revealing its opposite dimensions: global or national features, homogeneity and discrimination, integration and fragmentation, centralization and decentralization.

The metamorphoses of the present world ask for the replacing of the representation of a people’s identity as being circumscribed to a set of invariable values throughout time by a new representation of identity, based on historicity and cultural change. Globalization implies the carrying out and the taking in of some specific cultural changes perceived as transformations produced at the level of behavioural patterns and of symbolic systems pertaining to a national community, respectively to family and social life, to religious, economic life, or to consumption.

To our opinion, globalization is neither good, nor bad, neither dangerous, nor efficient in an ideal world. All these attributes are but the traits of behavioural and attitudinal models of the act(ion)s and projects of all those involved in this complex process which has become stronger and stronger in nowadays’ society.
1. The multidimensional feature of globalization

The concept of globalization embodies the more complex and wide web of interconnections and interdependences that describe the modern social life. “Nowadays, the goods, the capital, people, knowledge, images, crime, pollution, drugs, models and beliefs, all of them easily spread beyond territorial borders. Nets, social movement and transnational relations may be extended in all the areas…”¹. The suggested relations resign in: from institutionalized social relations (widely spread) between people and communities from the whole world, to the “stream” of goods, information, people, social and cultural manifestations, beyond national borders or to the “real” ways of connecting, given by the technological innovations.²

The globalization phenomena are complex and multidimensional, forcing for resize and transparency of the conceptual frames through which we see the social world.

People approach the study of globalization from the perspective of some stereotypes of thinking based especially on different informational principles; this fact makes them reject complexity and follow the relative simplicity of some basic concepts (capitalism, nationalism, nation-state etc.). Usually, this formulas are meant to represent globalization in a wrong way, because complexity is lost and the phenomenon itself is disintegrated.

In scientific works as well as in peripheral literature, a minimal agreement can be identified concerning the empirical reality globalization refers to: multiple connections that nowadays link our practices, our experiences and our political, economical and ecological destiny, in the whole modern world. Thus, the globalization theory assumes its role of emphasizing both the sources of this connection and the interpretation of its implications.

The idea of connection implies an increased spatial-global proximity; the discourse of globalization abounds in metaphors of proximity, of “the smaller world”: from the famous Marshall McLuhan’s “global village” to the recent recognition of the expression “our global neighbourhood”, used by the United Nations to describe the birth of a new international politic context.

Concerning the globalization processes, many theoreticians have used the term deterritorialization. This concept should catch the novelty of the contemporary transformation of the region, emphasizing both the positive and the negative aspects, without interpreting it only as a mere drying or dissolution of the cultural interaction. The globalization of the practical experience may determine the feeling of losing “local” cultural identity, as long as our daily lives mingle more and more with foreign influences and experiences.

As long as a reason concerning globalization is that it stands for a speeding process, we must take into consideration the context of “the world events” developing very fast. Many of unpredictable changes, being connected to the wide process of globalization,

² The term of globalization was for the first time used by Theodore Levitt, in his work Globalization and Markets. Thus, in the ’80, the term of globalization stood for technological progress that made the international transactions more easier and faster. As well, it stood for the extension beyond the national borders of the same market forces that had been working at all the levels of the economic activity for centuries. One of the most used definitions of concept of globalization is R. Robertson’s in his work Globalization, where he emphasizes: “Globalization is the complex process of the multiplication of the connection and interconnections between the states forming the world system.” (R.Robertson, Globalization, Sage Publishing House, London, 1992, p. 50). Some critics consider that globalization is nothing else but an Americanization process. In his work “Lexus și mãsălinul” Thomas Friedman writes: “globalization means in fact Americanization; globalization has Mickey Mouse’s ears, drinks Pepsi or Coca Cola, eats Big Macs, uses IBM laptops. Many countries see it as something good, but others consider it a fundamental threat.” (Th. Friedman, Lexus și mãsălinul, Editura Fundației PRO, București, 2001, p. 400).
being caused by globalization and equally bringing its contribution to it: Cernobil and its metaphorical and media “explosion”, the fall of The Wall of Berlin and the collapse of the communist world, the tendency to achieve a more compact European union, represented by the Maastricht Treaty and the European currency, the high level meetings on the topic of the pollution and climateric changes, the wars of Beirut, Golf, Somalia, Bosnia, Rwanda - all of them developing in front of the eyes of the people with increased technical briefing and “snapshots”. Such global events are connected to the cultural experience of the deterritorialization at least in two ways. First of all, some of them will have direct effects upon the immediate material environment and upon the material conditions of people.

For example, the agreements of the European Union may have an impact – positive or negative – upon the work process of the small local business, or the regional development markets of the European Union may transform the local newly developed areas into stagnant urban fields. The way in which the citizens feel these interventions, either as an inopportun intereference and as a threat upon their way of life or as a promise to achieve a new and rather vague European identity and to be part of a “community” project, will determine the way in which they will turn it into their benefit or in the contrary they will not take advantages of the new situation. Concerning the European legislative impact, the experience of the past determinations may be linked to some international political/ economic processes very well known, and to its protagonists and the identifiable centers of leadership. (for example the “eurocrats” of Brussels).

From a wider cultural perspective, we may say that in the beginning, globalization satisfied the expansion of the ways of life and of the occidental values. Nowadays it is hard to be given the globalization a certain direction.

Generally speaking, the events as those mentioned above may participate to the extension of the man’s “phenomenal world”: people get to frequently consider the foreign events and processes, taking into consideration those aspects significant for their own lives.

Whichever the causal and practical significance of these phenomena would be, there is no doubt that one of the most involving form of globalization is the cultural one. The complexity of the cultural interactions between premodern and modern societies was overpassed by the more intense prevailing of images and symbols and of the extraordinary variety of the ways of thinking and of communicating specific to the last decades.

2. The concept of globalization in the cultural field

Globalization, as a way of interacting with the wide world, has always existed. Only the speeding up of this process has determined our awareness. The fundamental concepts used in paradigm of globalization are: identity, culture, cultural change, (national) heritage etc.

After the fall of Rome and of the Han Dynasty in China and after the first wave of Islamic expansion, empires continued to rise and fall. The great emperors were nomad warriors from the Eurasian steppes. But their cultural innovations did not overcome their military talent. Their campaigns and their conquests led to the reconsidering of the old cultural models and not their transformation. Before the Modern Age, “world religions and empires offered the most important cultural and institutional complexes that made the cultural interaction and long distance communication possible and through which strong and extended cultural interacting relations might prevail. Trade was a key-vehicle for this spreading of ideas and of artifacts on long distances.”

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Even where the strategy failed from the perspective of building up the empire, there was the possibility that it might leave behind a distinctive cultural heritage. For example, the ephemeral Macedonian Empire of Alexander the Great had been the essence for the spreading of Greek language, science, philosophy and Greek literature in the Middle East. “Even though cultures had relations with other cultures, and religions with other religions, the contacts had not always been fruitful. The regional feature of world religions reflects border lines and discrepancies between them and the empires they encountered. Even more, hardly did most of the people understood those great cultural interactions – the identities, the beliefs and rituals were mostly local. Between the village and the great empires there were very few cultural exchanges.”

European empires will finally become efficient instruments of the cultural power abroad Europe, especially due to birth of nationalism and of nation-states in Europe and in both Americas, starting with the 18th century. Inside this area, there had been gradually redefined complex models of cultural streams between aristocrats, as well as the distinctive area of the local folk features. More and more cultural institutions and cultural streams got to set their place between the borders of the forming nation-states.

Language, school, means of transportation and communication, liturgical ritual and identity, all had been defined more and more from the perspective of the nations territorially bordered. External or foreign influences were rejected or treated in a suspicious and hostile manner. But, in Occident, the cosmopolitanism and the internationalism continued to exist, as well as the transnational cultural practices and institutions.

Indeed, from the heart of the European system of the nation-states “ideologies and secular strong discourses had arisen – liberalism, Marxism and modern science – whose rationalism from Enlightenment suggested, entitled or not, the attraction and the universal applicability. Still, generally, nationalism was the one that became the most powerful cultural force, partly because it was systematically and financial supported and displayed by the modern states”⁵ According to this interpretation, the climax of cultural globalization is placed in the past, while the most powerful and significant cultural streams and relations developed between the borders of the modern nation-states.

Globalization changes the way in which we conceptualize culture, because culture has been localized for a very long time in a certain space. Does global modernism promise to offer us a global culture? In a certain way it might be said that such a culture already exists. As Ulf Hannerz writes, “today there is a world culture, but it advisable to understand what it means. The total homogeneity of the expressive and signifying systems has not taken place yet and there is no probability to be seen very soon. But the world has become a net of social relations and, between its various regions, there is a movement of meanings similar to the movement of people and goods.”⁶

The Romanian philosopher Constantin Noica said that, unlike a loaf of bread that might come to divide men, “value unifies them, makes them a whole”. In the same time, “value gathers people and it preserves itself in its movement, unlike the goods, that divide and perish in themselves through consuming.”⁷

The integration context of the cultural practices and experiences into the web, world wide, may be seen as a global culture. This meaning must be separated from the one according to which global culture is understood as a unique and homogenized signifying system. Global culture “is like the birth of a single culture, gathering all the people in the world and replacing the diversity of cultural systems used before.”⁸ Obviously, such a culture has not appeared yet.

⁴ Ibidem, p.386
⁵ Ibidem
⁷ Constantin Noica, Modelul cultural European, Editura „Humanitas”, București,1993, p.60
Of course, the idea of a global culture has not become possible only in the days of global modernism. The great cultural texts could overpass the linguistic, political, civil and cultural borders provided that they should be translated into the languages of the interested cultural communities. But, during the centuries, the process has been delayed by the geographic distances, by the slowness of traveling or by technical difficulties.

We must point out that in this context, Europe does not represent a culture among the others; “Europe has educated and it is still educating the world, as itself had discovered the rest of the world, and not the rest of the world discovered it”

Along with the development of globalization, made possible by media and the contemporary means of transportation, the movements of the texts (religious, political, literary, scientific ideas) has speeded up. Nothing could stop people to travel or the development of communications (parabolic TV antennas, video tapes, Internet), so the circulation of ideas and opinions. We enter the age of the generalized mixture of cultures and civilizations, of discourses and passions.

Cultural globalization “stands not only for empirical human contacts between civilizations (the revolution of the means of transportation), and also for the intellectual instruments of mediation between groups put together in more or less brutal manner”, such as History, Philology, Linguistics, Archeology, Sociology, Philosophy etc.

In the attempt of creating a global culture, speaking some worldwide spread languages has an important role. Undoubtedly, in the top of the hierarchy is English language, used in the whole world, in all its forms: written, spoken, formal, informal, and also in its functional styles: economical, juridical, technical, journalistic. It became the central language of international communication in the business, political, administrative, scientific and academic area, in the same time being the dominant language used in global advertising and popular culture. The main language used in IT is English being the written code for Windows and Internet protocols. “More than two thirds of the scientists in the world write in English, three quarters of the international mail are written in English and 80% of the information of the recovering systems of world electronic data are stocked in English.”

The use of a language is tightly connected to the rhythms of power. “English is the mother language of the two hegemonic superpowers of the modern world, Great Britain and USA. Even more, this power is used in all the fields of human life: economical, political, military and last, but not least, cultural.” The problem of the domination of one language and the threat upon the linguistic diversity is connected to another more general problem, that of the cultural imperialism: the idea that a culture may be a hegemonic one.

This pessimistic construction of the idea of global culture was very popular at the end of 20th century. Indeed, the theory of the cultural imperialism may be considered one of the earliest theories of cultural globalization. This concept of global culture is seen today as a popularization of the values, goods and American style of life. In his work “Lexus și măslinul” Thomas Friedman writes: “Today globalization has Mickey Mouse’s ears, drinks Pepsi or Coca-Cola, eats Big Macs, uses an IBM laptop... In most of the countries, people no longer can make the distinction between the American power, American exports, American cultural assaults, American cultural exports and the real face of globalization.”

The best proof to support this affirmation is the convergence and the standardization obvious in the cultural products in the whole world. “Take any catalogue, from clothes to music, to film and television, and to architecture and you could not ignore the fact that
some styles, brands, tastes and practices now have global circulation and can be found almost anywhere in this world.\(^{14}\)

Considering the presence of such global goods as a symbol of convergence to capitalist monoculture, means reducing culture to its material goods, and this fact stands for a narrowing and an obvious convergence of the cultural experience. The aspects of the cultures individually perceived felt and interpreted in different contexts and local traditions lead to consolidation of cultures.

Another way of interpreting global culture consists in the emphasizing of the need of historical recuperation of these non-occidental cultural traditions. Indeed, this is what can be found in *A Dictionary of Global Culture*, in which Kwame Anthony Appiah and Henry Lewis Gate (1998) bring items that rebalance global cultural representation, counterbalancing the supremacy of occidental figures and themes. Next to Toussaint’s *L’Ouverture* Martin Luther appears, next to Shakespeare, the king Zulus Shaka.

But this dictionary does not remove the persistent suspicions concerning occidental cultural domination. These suspicions appear in the title of a book written by Serge Latouche, a French political economy specialist, who brings a serious accusation to occidentalization as “a tendency to planetary uniformity” and “an international standardization of the ways of life”\(^{15}\). And J. Tomlinson considers that when we talk about occidentalization, we obviously refer to the spread of European languages, especially English and of the mercantile culture, but also to “fashion, to gastronomy, musical and architectural formulas, to a type of cultural expression ruled by media, to a group of philosophical ideas and a set of values and cultural attitudes.”\(^{16}\).

3. Interventions of the cultural changes in the global processes

Globalization changes the context of the meaning building. This fact means the transformation of the human being’s “worlds”; the feeling of identity is modified and so are man’s relations with the space. The redimensioning of the culture influences and transforms the understanding, the values, the wishes, the behavior, the ideals and the myths that initially dominated the local “world” of the every day experience. Communication, flexibility and connection are the centre of our living.

The dynamic and the metamorphosis of the present world determine the replacement of the representation of the identity of a nation being influenced by a set of invariable values with a new one upon identity, based on historicity and cultural change. Culture may be understood as a field of the existence in which people create the meaning through the practices of the symbolical representation and their communication. The economic field means the ways in which people produce, change and consume material goods, the political field is made of the ways of distribution and usage of the power inside the societies.

It is important to understand that all these are “dimensions” of the social life and not distinctive activity fields; people do not pass from “making economy” to “creating culture” as they are changing the daily work into relaxing activities. If this is the reality, no meaning of the economic activities will be identified. But still this way of thinking is deeply involved in the general perspectives upon culture, that implies the practices and products of art, literature, music, films etc. All these are important forms through which particular meanings are generated, but they cannot exclusively define the cultural dimension.\(^{17}\)

\(^{14}\) J. Tomlinson, *op.cit.*, p.120.


\(^{16}\) J. Tomlinson, *op.cit.*, p.129.

\(^{17}\) Ibidem, p.32
The paradigm of globalization requires the achievement and the acceptance of some cultural changes perceived as modifications of the behavioral models and of the symbolical systems of a national community, including the social and family life, the mass consumption, the economical perspectives, the religious life.

Globalization is no longer perceived as a potential cause of losing identity, of standardization, if it is accepted as part of identity, as field identity of a predominant interactive kind “that necessarily and happily rounds up the substance identity and the structural identity”\(^{18}\). Thus, we have to get to the difference acceptance and to the belief that self identity might be totally understood only through otherness. “Nowadays the value is established only at a global level. What does the value of a scientist or a writer mean? The first answer is: the sum of the others’ reactions given his work”\(^{19}\). This goal is hard to achieve, because the identity understanding is stronger than the relationship established with the other, and the idea that the other is an opponent is still very popular.

According to Solomon Marcus, all the subjects had their period of developing a certain specific feature and a relative autonomy. Nowadays, the subjects discovered in their internal structure profound reasons to interact with the other subjects. “The identity achieved by a every subject had become a premise of its metabolism with the others, an indispensable relation for the normal functioning of the culture.”\(^{20}\) This is what cultural change means.

Cultural changes have important results, in the extent of the way in which the forming of the meaning, the cultural signification and interpretation determine individual and collective actions that have their own consequences. Thus, in certain occurrences, the decision of eating or not (in the case of fast or diet) is a cultural one. Also, the codes and differences in fashion establish the individual and cultural identity. The slogan of the ecologic movement “Think globally, act locally” suggests a political strategy, justified by a certain cultural narrative, that illustrates what a “good living” means.

Many times, the “local” actions with a cultural base may have globalization consequences, taking part at the functioning of the institutions, strongly connected to the structural-institutional features of the social through reflectivity. Thus, globalization implies at least the possibility of local intervention in the global processes. “Precisely this reflexive sensibility of the institution upon the human agents’ contribution points out the specific dynamic of the modern social life and defines the connection between the numerous local individual actions and the global structures and processes at an upper level.”\(^{21}\) English teenagers’ choosing of clothes may determines the hiring of more Romanian workers. In the same time, the implied connection is that these options may have global ecological consequences as for wool, linen and other natural resources used, also for the implied production activities.

More and more, globalization becomes a cultural dimension in which living is situated at different levels. Globalization determines the negotiation of the cultural experience to be the center of the interventional strategies upon some other areas of connection: economical, political, ecological. Cultural changes materialize because of the need of increasing the understanding level of our own life and of the world we living in. Nowadays, the cultural changes may be seen in the paradigm of globalization.


\(^{19}\) Ibidem,p.56

\(^{20}\) Ibidem, p.78

\(^{21}\) J. Tomlinson, *op.cit*, p.43
3.1. The development of the deterritorialized human experience

For most of the people, the deterritorialization as a cultural experience does not imply a real physical mobility. Telephone, computer and TV set form a connecting proximity of the human beings who live in different places. Nowadays, physical bordered places are less important as long as information can easily be sent to long distances. “The evolution of the media decreased the importance of physical presence for the way in which we live the people and events experience [...] Where you live is less important than what you know or live. Electronic media have modified the importance of time and space for the social interaction.”22 This media experience that we have access to, gets to involve us in other peoples’ lives, in foreign social and cultural events and contexts, not only in an informational way, but also in a moral and emotional one.

From our point of view, globalization is neither good nor bad, it does not seem dangerous, but, in the same time, not an ideal world. All these characteristics get to describe the attitudinal and behavioral features, the actions and projects of those involved in this complex process, which is compulsory in nowadays society.

References


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Le rôle de la socioterminologie dans la dynamique de la terminologie touristique dans le français contemporain

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Keywords: terminology, socio-terminology, term, touristic terminology

Abstract: From a linguistic point of view, a terminology does not appear at a first sight as an assemble of notions but as an assemble of expressions naming in the natural language the notions revealing a field of knowledge well thematic. The term is a symbol, a physical stimulus representing conventionally a notion or an individual object. The convention can be exemplified under the form of a notion. It can be better defined under the form of a norm. It can also be defined under better circumstances through consensus and it develops itself under the expression of a job, as it can be sees within some vocabularies dealing about folk jobs, agricultural ones, industrial or touristic.

La langue peut être considérée comme une structure stable à un moment donné du temps, c'est la coupe synchronique. La langue peut aussi être considérée comme une succession d'états évoluant au cours du temps de la perspective diachronique. La langue n'est pas un object figée mais bien un système en réorganisation permanente, fait de zones d'équilibres et de zones de déséquilibres, d'instabilité. À chaque instant cohabitent des schémas productifs, d'autres en création, d'autres enfin figés et improductifs dans le système qui est par sa nature non homogène. La prise en compte de cette hétérogénéité et de cette instabilité permanente a amené André Martinet à développer le concepte de synchronie dynamique. La dynamique synchronique est liée au facteur temps, qui prend en compte les différences linguistiques entre générations et aussi liée aux variables sociales.

Comme dans tout secteur professionnel, les professionnels du tourisme utilisent un jargon qui leur est propre, difficilement accessible aux "novices". Par ailleurs, chaque mot, y compris les plus courants, acceptent un sens précis dont la connaissance nous aide à décoder l'information touristique.
La langue est un produit social issu de la parole et un ensemble de conventions permettant l'exercice de cette dernière. De plus la langue est soumise à une évolution dans le temps sous l'influence de l'ensemble des agents parlant, sans qu'aucun d'entre eux ne puisse à lui seul la modifier.

Dans l'ensemble des disciplines qui se préoccupent de connaissances, la socioterminologie a ouvert la voie à une analyse et une compréhension plus fine des pratiques langagières au sein desquelles les termes, supports de connaissance, circulent.

La socioterminologie a permis également de mettre en évidence le rôle du support de diffusion et du contexte dans la propagation terminologique et l'accès de certaines unités langagières au rang des termes.

La terminologie en tant que discipline est définie par les spécialistes comme l'étude scientifique des notions et des termes en usage dans les langues de spécialités. Par langue de spécialité on entend un sous-système linguistique qui utilise une terminologie et d'autres moyens linguistiques et qui vise la non-ambiguïté de la communication dans un domaine particulier.

Vue du côté linguistique, une terminologie n'apparaît pas d'abord comme un ensemble de notions, mais comme un ensemble d'expressions dénommant dans une langue naturelle des notions relevant d'un domaine de connaissances fortement thématisé. Le terme est un symbole, stimulus physique représentant conventionnellement une notion ou un objet individuel. La convention peut être explicitée sous la forme d'une norme. Elle s'établit dans les meilleurs cas par consensus et se perpétue dans la formation au métier, comme on le voit dans les vocabulaires artisanaux, agricoles, industriels, touristiques.

Le caractère interférentiel de la dynamique de la terminologie touristique peut être discuté sous deux aspects: premièrement on implique des termes d'autres domaines d'activité qui sont empruntés du transport, de l'industrie hôtelière et d'autres; et deuxième le glissement de la langue spécialisée en langue commune par le phénomène de la banalisation et vice-versa. On peut prendre comme exemple dans ce deuxième cas le mot baladeur, qui designe dans le langage touristique un appareil électronique portable destiné à l'écoute de contenus multimédias et qui utilisé dans le langage familier designe une personne qui se promène.

Une langue spécialisée ne se réduit pas à une terminologie: elle utilise des dénominations spécialisées (les termes), y compris des symboles non linguistiques, dans des énoncés mobilisant les ressources ordinaires d'une langue donnée. On peut donc la définir comme l'usage d'une langue naturelle pour rendre compte techniquement de connaissances spécialisées.

La langue spécialisée est d'abord une langue en situation d'emploi professionnel mais au service d'une fonction majeure: la transmission de connaissances. Les connaissances spécialisées sont dénommées linguistiquement par des termes, qui sont principalement des mots et groupes de mots sujets à des définitions conventionnelles.

La double nature des termes (mots et expressions d'une langue, mais en même temps dénominations de notions) dépasse les frontières saussurienes entre linguistique immanente et linguistique externe.

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Si on parle de l'aménagement linguistique et de la dynamique d'une terminologie, il faut accorder un intérêt particulier à la néologie, sous ses divers aspects : emprunts, mots construits, néologismes sémantiques, etc. Rien qu'en France, où le statut et le corpus de la langue sont géographiquement privilégiés par rapport au reste de la francophonie, on peut observer que l'une des appellations successives du dictionnaire des termes officiels a été *Dictionnaire des néologismes officiels*. Plus largement, l'ordre des substantifs dans le nom du *Réseau international de néologie et de terminologie* (francophone) est significatif d'une priorité reconnue. Vue du coté de la lexicographie, la néologie n'est rien d'autre que l'enregistrement de mots nouveaux, sous la pression des besoins de dénomination, d'expression et de communication.

De nos jours, comme le prouvent les recherches sur la dynamique linguistique et sur les langues spécialisées, en particulier, l'anglais demeure, pour beaucoup de langues contemporaines, l'une de sources essentielles en ce qui concerne la constitution des terminologies dans divers domaines. Certes, le français ne fait pas exception à la règle en matière de construction et d'aménagement linguistique : l'industrie du spectacle, le développement du tourisme, les produits industriels, les nouvelles technologies, etc. enrichissent toujours la langue. Toutefois, depuis neuf siècles, les rapports entre l'anglais et le français ont été "intimes" et les échanges entre les deux langues ont toujours été déséquilibrés, d'abord à l'avantage du français, puis, aujourd'hui, à celui de l'anglais. De nos jours, on constate un afflux massif de termes spéciaux de l'anglais vers le français. Plusieurs raisons peuvent expliquer cette arrivée massive de termes anglais dans la langue française, car il s'agit plus que d'un engouement à l'exemple de ce que le français a vécu avec l'italien au XVI-e siècle. Notre époque subit l'influence de la suprématie de l'anglais dans le monde. Il y a, bien sûr, la civilisation américaine qui exerce une attraction considérable sur les francophones et transporte avec elle les mots qui véhiculent cette même civilisation. Toutefois, on ne peut pas ignorer certaines causes d'ordre linguistique qui font possible la circulation des termes d'une langue vers une autre.

La profusion terminologique gagne la langue commune, qui présente des traits techniques évidents, voire technocratiques. Parallèlement, la publicité apporte sa contribution : des mots et des expressions plus populaires sont diffusés à l'échelle de pays entiers. Bon an mal an, le français s'enrichit de 60 000 à 70 000 nouveaux, provenant de sources diverses telles que les milieux scientifiques, industriels, touristiques, commerciaux, publicitaires et journalistiques. C'est là le signe manifeste du dynamisme de la langue.

Comme le vocabulaire technologique s'écarte souvent de l'usage courant et comporte de nombreux anglicismes, on exemplifie quelques termes en usages courant déjà, enregistrés par *Lexitour*, *Les 1700 mots des métiers du tourisme* :

- All-in, All Inclusive: Formule de séjour incluant non seulement tous les repas mais aussi certaines dépenses sur place, comme les boissons et les snacks.
- Aparthotel: Type d'hébergement offrant tous les avantages d'un hôtel (nettoyage, service, repas) mais composé d'appartements et non de chambres.
- Air(-)conditionné: calqué sur *air conditioned* cette expression est critiquée à juste titre par les auteurs du Dictionnaire des anglicismes du Robert qui suggèrent de le remplacer avec *climatisation* est l'adjectif *air conditionné* par *air climatisé*.
- Ajusteur d'assurance est un calque de *insurance adjustement*.
- Avisuer légal est un calque de *legal adviser*.
- Appointement est un anglicisme au sens de rendez-vous.
- Board, half-board, full-board : Termes indiquant la formule de repas que vous avez réservée. Half-board signifie que vous êtes en demi-pension, comprenant le petit-déjeuner et le dîner (repas du soir) ; en accord avec l'hôtelier, vous pouvez éventuellement et exceptionnellement remplacer un dîner par un lunch le midi. Full-board signifie pension complète.
Charter, Charterticket : Pour les vols charter, les organisateurs de voyages chartérisent (c’est-à-dire louent ou affrètent) l’avion et déterminent eux-même les tarifs et les conditions de voyages. Les billets des vols charter sont généralement meilleur marché.

Circuit : Formule de voyage où vous changez d’hôtel presque chaque nuit.

Coach : Autocar de tourisme.

Cottage : Le plus souvent, logement de vacances situé dans un cadre champêtre ou encore, bungalow dans un parc ou village de vacances.

Eurolines : Réseau européen de lignes régulières d’autocar de tourisme.

Fly-and-drive : Formule de vacances où le client ne réserve que le volet l’voiture de location et s’occupe lui-même d’assurée son hébergement.

Gîte : Logement ou hébergement aménagé à la campagne.

Haul, long haul, short haul, medium haul : Le terme ‘haul’ indique la distance, la longueur du trajet.

Hôtel de charme : Petit hôtel souvent géré par son propriétaire. L’aménagement est en généralement personnalisé.

Package, package tour : Voyage à forfait ou forfait voyage comportant un ensemble de services et prestations.

PAI, personal Accident Insurance : Assurance relative aux passagers, proposée lors d’une location de voiture.

Party, le français a emprunté à l’anglais ce mot au sens de réunion mondaine. Party lui aussi a été emprunté mot français partie qui prend le sens de divertissement réunissant des gens: une partie de chasse, de pêche, de campagne.

Résignation: Ce mot est un anglicisme au sens de démission

Representative: Représentant sur place (c’est-à-dire à destination) d’un organisateur de voyages.

Round the World-ticket: Billet d’avion vous permettant de faire le tour du monde dans un seul sens.

Royal Class : Siège d’autocar de tourisme, très confortable, réglable et équipé d’un repose-pieds.

Sleeping Class : Autocar de tourisme dont les sièges peuvent être basculés en position horizontale et transformés en lits.

Tourist visa: Visa à durée limitée et destiné uniquement à des fins touristiques.

Voucher : Bon d’échange à remettre à l’hôtelier comme preuve que vous avez déjà payé pour les services ou le logement.

Certes, l’anglais bénéficie ici de la prime à l’inventeur, ce qui explique pour une bonne part son usage général dans le monde touristique de diverses langues, du français y compris. Mais, pour accéder à la langue d’accueil, ces emprunts doivent se conformer à son système et à ses normes, en subissant un processus de naturalisation et de normalisation, dans le cadre d’une politique d’aménagement linguistique. Dans la pratique, les emprunts sont soumis à l’action de plusieurs mécanismes, en acquérant le statut de « terme normalisé » ou de terme « recommandé », de « terme avalisé par l’usage » ou de « terme déconseillé ».

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The Problem of Ambiguity in the Political Discourse

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Keywords: political discourse, ambiguity, manipulation

Abstract: The language and the facts of the political may be, sometimes, difficult to evaluate because of the fact that policy represents a social activity marked at a higher degree by conflicts, complexity, ambiguity and partisanship. The present study aims to analyze the political discourse, attempting to de-code its role, its characteristics and their use. In this respect, the problem of ambiguity within the political discourse becomes a central one because, within the political discourse, as contrary to other discourses, the ambiguity as a discursive mechanism has a central role, even a positive one as its performance is concerned. The methodology is based on pragmatics.

Under these circumstances, the work The Problematic of ambiguity within the political discourse will try to answer to the following research questions: What does ambiguity mean and which are the forms in which it manifests within the political discourse? Which is the role of ambiguity within the political discourse? The hypothesis of this paper is that the ambiguity is a main condition of success for political discourse.

1. Conceptul de ambiguitate

Ambiguitatea, în sens logico-lingvistic, desemnează o pluralitate de semnificații care nu se subsumează unui act obișnuit de semnificație decât lăsând loc unui echivoc. Există echivocitate atunci când aceluiși nume îi corespund sensuri diferite. Cuvinte precum libertate, dreptate, bun, spre exemplu, sunt ambigu pentru că au mai mult decât un singur înțeles. Avem de a face aici cu o ambiguitate lexicală. Trecând la nivelul frazei, ambiguitatea acesteia poate porni de la folosirea unui termen ambiguu (caz în care avem de a face tot cu o ambiguitate lexicală) sau de la o ambiguitate structurală. Pot fi identificate și alte tipuri: omonimia, vaguitatea, relativitatea, indexicalitatea, non-literalitatea, folosirea indirectă (indirection) și inexplicitul. Așadar, există o ambiguitate semantică, dar și una sintactică. Astfel de ambiguități există și la nivel pragmatic. Spre exemplu, putem identifica și o ambiguitate de scop, mai dificil de delimitat, dar folosită destul de des.

Eemeren și Grootendorst, analizând sofismele utilizării limbajului, consideră că există patru factori principali care conduc la ambiguitate lingvistică: 1. implicitul funcției

comunicative, 2. necunoașterea termenilor și expresiilor, 3. ambiguitatea referențială și 4. vaguitatea (obscuritatea). 2. În ceea ce privește ambiguitatea rezultată din implicit, acestea apar din cauza împreciziei forței ilocuționare. Astfel, în cazul propoziției p, Câinii sunt mai afectuoși decât pisicile, interpretarea propoziției poate varia între Am impresia că p, Cu siguranță p sau Nu vorbesc de toți câinii și de toate pisicile în general, ci pur și simplu de exemplu normale. Așadar, ambiguitatea vine din neprecizarea gradului de aderență la enunț. În cel de al doilea caz, ambiguitatea apare din necunoașterea sensului unor cuvinte sau expresii sau din cunoașterea lor aproximativă, pentru ca, în al treilea caz, aceasta să apară din cauza indeterminării extensionale a termenului. Aceasta este cazul tuturor deicitelor. Odată școate din context, înțelegerea unei propoziții cuprinzând un deictic este dificilă. În sfârșit, vaguitatea rezidă în posibilitatea anumitor termenii de a prima sensuri relative la criterii diferite sau la diferențe cantitative relative la același criteriu (înălțimea).

Totuși, trebuie făcută o distincție între ambiguitate și vaguitate. Un termen este ambiguu dacă î se pot atribui mai multe expresii, cel puțin parțial diferite, în timp ce un termen este vag dacă determinarea precisă a extensiei sale se face cu greutate. Uneori, vaguitatea determină ambiguitate. Aceasta din urmă este cauzată îndeosebi de vaguitatea apărută din sensuri relative la criterii diferite, cel de-al doilea caz de vaguitate din paragraful precedent determinând mai rar astfel de cazuri. Așadar, în această lucrare termenul de vaguitate va avea un sens extins, după utilizarea lui Frans van Eemeren și Rob Grootendorst, și nu după cea aparținând Dicționarului enciclopedic de pragmatică. Totodată, putem marca, pe linia lui Augustin, și diferența dintre ambiguitate și obscuritate. Astfel, Augustin susține că diferența dintre obscur și ambiguu constă în faptul că în ambiguitate apar mai multe sensuri, dintre care nu știm pe care să-l preferăm, pe când în obscuritate nu apare niciu sau foarte puțin din ceea ce ne așteptăm să apară.

Așadar, avem de a face cu ambiguitate atunci când unu cuvânt, enunț sau discurs i se pot atașa două sau mai multe înțelesuri (parțial) contrare sau când acestea desemnează mai mult decât simpla semnificație directă, literală, întrucât, în acest din urmă caz, sensul depinde de competența lingvistică a locutorului, care o poate percepe atât direct, textual, dar și indirect. În fapt insă, cel de al doilea caz se reduce la primul, întrucât apar două sensuri diferite pentru același enunț.

2. Sistematizarea tipurilor de ambiguitate

În discursul politic, ambiguitatea apare la diferite nivele: la nivelul cuvântului, la nivelul enunțurilor și la nivelul discursului. Pe de altă parte, numeroasele tipuri de ambiguitate relevate anterior pot fi structurate pe trei dimensiuni: semantic, sintactic și pragmatic. În acest subcapitol vom ilustra tipurile de ambiguitate pe discursul politic, pornind de la cele două criterii enunțate mai sus. Lucrarea de față nu are întinderea necesară pentru identificarea și exemplificarea tuturor tipurilor de ambiguități în discursul politic, drept pentru care ne vom mărgini, de multe ori, la determinarea ostensivă a fiecărei din cele nouă tipuri diferite de ambiguitate.

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Trebuie realizată aici o primă precizare. Fiecare nivel este constitutiv pentru celelalte două, adică prezența într-un plan superior a componentelor din nivelele inferioare determină o ambiguitate prezentată în planul inferior. Așadar, avem de a face cu o scală și nu cu o clasificare standard.

### 3. Tipuri de ambiguitate în discursul politic

#### 3.1. Ambiguitatea semantică

În plan sintactic, ambiguitatea este acea trăsătură a unui cuvânt, enunț sau discurs de a trimite la mai multe referințe specifice. La nivelul cuvintelor, identificăm aici polisemia și vaguitatea. La nivelul frazei vom analiza cazul relativității, iar la nivel discursiv vom prezenta sofismele ambiguițății.

**Polisemia** este capacitatea majorității cuvintelor din limbile naturale de a avea mai multe sensuri. Să luăm, spre exemplu, termenul politic *egalitate*. Liberalii susțin egalitatea formală în fața legii, dar nu și pe cea reală, substanțială, după cum ne arată și pasajul următor.

(1) „Deși am spus mai sus... că toți oamenii sunt Egali de la natură, nimeni nu se poate aștepta ca prin aceasta să înțeleg toate felurile de egalitate.”

John Locke, *Two Treatises of Government*

Prin contrast, socialiștii în general înțeleg prin *egalitate* condiții de viață identice ale oamenilor.

**Vaguitatea** rezidă în posibilitatea anumitor termeni de a primi sensuri relative la criterii diferite. Spre exemplu, termenul *umanitar* poate fi atribuit de către naziștii unei acțiuni de ucidere a evreilor sau, pentru aceeași acțiune, atributul este contrar pentru cei din lumea liberă, după cum arată o relatăre despre un act politic al guvernului în exemplele următoare:

(2) „A interzice celor cu probleme să reproducă descendenți inadecvați înseamnă să realizezi ce ar face cea mai limpede minte: dacă este aplicată metodic, este actul cel mai umanitar care poate fi făcut față de umanitate... Căci astfel se va ajunge, dacă trebuie, la nemiloasa izolare a celor incurabili, măsură barbară pentru cine are nenorocirea să fie lovit, dar binecuvântare pentru contemporani și posteritate. Suferința trecătoare a unui secol poate și trebuie să elibereze de râu secolele următoare.”

Adolf Hitler, *Mein Kampf*
(3) „Guvernul a aprobat în ședința de ieri acordarea unui ajutor umanitar în valoare de 170.000 de euro pentru ziarista Adriana Istdor, bolnava de leucemie. Suma va fi plătită în lei și va fi suportată din bugetul Ministerului Muncii, Solidarității Sociale și Familiei și din bugetul Ministerului Sănătății, prin Direcția de Sănătate Hunedoara”
Adevărul, Nr.4384 - 6 August 2004

Un alt exemplu de ambiguitate determinat de polisemie și vaguitate totodată este cel determinat de termenul **terorist**. Acesta desemnează, în spațiul american, persoane care recurg la atentate cu bombe pentru a-și populariza ideile. Termenul de terorist a fost utilizat și în România în Revoluția din decembrie 1989 cu sensul de persoană care luptă pentru Ceaușescu și pentru menținerea comunismului, dar nu cu ajutorul bombelor, ci arme clasice. În fapt, aici avem de a face cu un alt sens al termenului și cu o referință indeterminată (nu a fost prins nici un terorist).

**Relativitatea** este exprimată în enunțul următor:

(4) **Năstase este terminat.**

Această expresie poate fi utilizată spre a spune mai mult decât spune. Spre exemplu, dacă vorbim despre tenismenul Năstase, am putea înțelege că este oboșit sau dărâmât din punct de vedere fizic. Același tenismen Năstase a fost și om politic care a candidat la Primăria Municipiului București, astfel că frâză ar putea însemna că este terminat, sfârșit din punct de vedere politic. Mai mult chiar, Năstase (Adrian) este și numele unui fost Prim-ministru al României acuzat de fapte de corupție. În acest context, terminat ar putea însemna decredibilizat. Iar dacă Năstase ar fi un om pe patul de moarte, terminat ar desemna aproape de sfârșitul vieții. Acest exemplu este relevant nu doar în ceea ce privește relativitatea (termenul terminat), cât și în ceea ce privește indexicalitatea (termenul Năstase).

Frans van Eemeren și Rob Grootendorst, în lucrarea *La nouvelle dialectique*, stabilesc zece reguli care ar trebui să definească o discuție critică între doi sau mai mulți interlocutori. Aplicabilă aici este regula a zece, care stipulează: părțile nu trebuie să utilizeze formulări insuficiente de clare sau de obscuritate susceptibile de a crea confuzii. Echivoțația este principalul tip de sofism rezultat din încălcarea acestei reguli, dar putem identifica și sofismele compoziției și diviziunii.

**Echivoțația** este un tip de ambiguitate lexicală în care același cuvânt sau expresie este folosit de două sau mai multe ori într-un argument, dar de fiecare dată în alt sens. La nivel de frâză, echivoțația apare ca în exemplul următor, în care nu este vorba de politicanul Victor Ponta, ci un Ponta oarecare:

(5) „**Ponta acuzat de jaf”**

Independent, miercuri, 7 iulie 2004

Compoziția este acel sofism în care o proprietate a părților este extrapolată la întreg, ca în exemplul următor, în timp ce în cazul diviziunii proprietatea a întregului este extrapolată la părți.

(6) „**Trebuie să explicăm cu claritate: PSD trebuie să câștige aceste alegeri pentru că, dacă nu câștigă, atunci pierde întreaga Românie”**


O ambiguitate semantică rezidă și în generalizarea și în unirea în aceeași clasă a unor poli opuși. Astfel, discursul ideologic nu fixează doar adversarii, ci face ca aceștia să constituie o singură clasă nediferențiată, fără grade, fără nivele – ei constituie împreună răul absolut. Simplificând această idee și raportând-o la cele trei mari ideologii care s-au înfruntat în secolul nostru, putem spune:
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3.2. Ambiguitatea sintactică

Omonimia este un fenomen lingvistic care operează la nivel fonologic, prin faptul că două cuvinte se pronunță aproximativ în același fel, dar au semnificații și grafie diferite (bed-bad), sau la nivel morfologic, când un segment din serie acceptă diverse articulații. Spre exemplu, cuvintele eteroclit / heteroclit, ano stă / anu ăă.

La nivelul frazei, ambiguitatea sintactică poartă numele de amfibolie. Aceasta poate apărea din posibilitatea existenței a două structuri sintactice diferite, ca spre exemplu în fraza următoare:

(7) Băsescu spune Tăriceanu minte.

În utilizarea sa verbală, fraza este ambiguă. La fel și în utilizarea sa scrisă, dacă nu intervin precizări gramaticale. Astfel, în funcție de modul în care sunt puse semnele de punctuație, fraza poate avea două înțelesuri opuse: 1. În interpretarea Băsescu, spune Tăriceanu minte, înțelesul este că Tăriceanu afirmă că Băsescu minte. 2. În interpretarea Băsescu spune: Tăriceanu minte sensul acestia este opus față de cel din prima variantă.

Accentul este procedeul prin care pronunțare mai intensă, pe un ton mai înalt a unei silabe dintr-un cuvânt sau a unui cuvânt dintr-un grup syntactic produce modificări în interpretarea frazei/discursului enunțat.

(8) Ion Iliescu: Adică n-a afirmat așa ceva, sau ce să înțeleg?
Emil Constantinescu: Nu... am afirmat.

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În funcție de cum este pus accentul, afirmația lui Emil Constantinescu poate însemna că nu a afirmat ceva sau opusul, a afirmat ceva.

Calamburul este jocul de cuvinte bazat pe echivoc, pe asemănarea sonoră a unor cuvinte cu sens diferit.

(9) La vremuri noi... tot noi!
Non-coerența structurală este acel tip de ambiguitate apărut ca rezultat al lipsei de legături logice între frazele și paragrafele unui discurs. Regăsim aici, în cazul discursului politic, fenomenul beției de cuvinte, prezent și în exemplul (6).

3.3. Ambiguitatea pragmatică

Din perspectivă pragmatică, în discursul politic ambiguitatea poate apărea atât sub forma ambiguităților generale, specifice oricărui tip de discurs, evidențiate în tabelul sistematizator de mai sus, cât și sub forma unor ambiguități specifice.

În prima categorie intră deicticele. Termenul de deictic desemnează cuvinte sau expresii al căror înțeles preciz depinde întotdeauna de contextul particular, de situația în care sunt folosite. Este vorba, în principal, de deicticele personale – eu, tu, el, ea, al meu, al nostru, deicticele temporale – ieri, azi, acum, deictice spațiale – acolo, departe, acela.

Acestea sunt concepte precise lingvistic, dar a căror referință este vagă. Să luăm un deictic temporal, astăzi, din exemplul următor:
(10) „Până să gâsiți foile, aș dori să îi urez succes domnului iliescu, deoarece cred că
ne aflăm la această prima dezbatere într-un moment important pe care-l aşteptăm de patru
ani, cum ați spus dumneavoastră, românii îl aşteaptă de patru ani, în care putem afla adevarul
și despre situația economică și politică, socială și morală a României de astăzi.”

Emil Constantinescu, Alegerile prezidențiale – 1996, al II-lea tur de scrutin,
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Din punct de vedere literal, nu există dificultăți în a interpreta termenul astăzi. Acesta
desemnează ziua în care te află la momentul în care este pronunțat cuvântul. Problema
este că termenul poate lua și o altă interpretare: astăzi poate desemna epoca cu care este
Emil Constantinescu contemporan. Concluzionăm, la linia lui Jacques Moeschler, că
referința temporală nu poate fi determinată doar de ceea ce este spus, ci de sensul
 comunicaței expresiei temporale. În alți termeni, referința temporală este indeterminată
și non-literală. Așadar, și astfel de noțiuni, cum ar fi deicticele, pot fi sursă de ambiguitate.

Ambiguitatea apare și din cauza folosirii figurilor retorice. Ambiguitatea acestora este
susținută și de definirea pe care o oferă ambiguității (în domeniul literar) William Empson.
Astfel, acesta considera că pentru acest termen este relevantă orice nuantă verbală, oricât
de vagă, care dă loc unor reacții alternative la aceeași expresie a limbii. În acest context,
figurile retorice sunt ambigue între vizează în principal un tip de folosire a limbajului care
puce accent nu pe argumentație, ci pe folosirea acelor asociații de cuvinte și care, pe
lângă faptul că ies în evidență prin formule-șoc, prin asociieri neobișnuite, mai au și
proprietatea de a sugera mai mult decât denotă. În categoria acestor tipuri de formule întră
sloganul și interogația retorică.

Un slogan este un procedeu prin care se face o afirmație pentru a determina
acceptarea alteia, pe care o presupune cea dintâi. Astfel, sloganul

(11) “Pasul înainte. Isărescu Președinte!”,
prezentat în campania prezidențială din toamnă 2000, are ca subtext votații, căci el
aduce progresul. Sloganul este o formulă de dimensiuni relativ reduse formulată în așa fel
încât să fie ușor de reținut, utilizând, pentru aceasta, atât asociere lingvistice originale, cât
elemente care conferă ritm, rimă, melodicitate. Gabriel Thoveron, în lucrarea Comunicarea
politică azi, determină șapte reguli care trebuie respectate pentru atingerea efectului
maxim. Astfel, sloganul trebuie să fie sonor, scurt, să fie original. Apoi, trebuie să fie
credibil, să fie complet, adică suficient ieși, să fie în pas cu timpul și să dăinuie chiar și
când situația se schimbă.

Următorul exemplu este un slogan, dar ambiguitatea acestuia rezidă în implicaturile
atașate. Studenții buculeniști, în ianuarie 1990, vehiculau în Piața Universității următorul
slogan:

(12) „Nu suntem partide!”

Trebuie precizat neapărat și contextul istoric căci altfel nu se înțelege esențialul. După
momentul răsturnării regimului comunist, în ianuarie 1990, conducerea țării era asigurată
de către reprezentanți ai eșalonului doi ai fostului Partid Comunist. În acel moment exista
practic un cvasi-monopol al puterii asupra mijlocelor de informare în masă. Televiziunea
Română Liberă, principala sursă de informare, alături de Radio și de cele câteva zare
infinițate prin reciclarea foștilor ziaristi și a vechilor cotidiene (Adevărul) erau toate sub

8 Jacques MOESCHLER, Aspects pragmatiques de la référence temporelle: indétermination, ordre temporel et
inference, in LANGAGES, nr. 112, decembrie 1993, Editura Larousse, Paris, p. 44.
12IBIDEM, p. 36.
controlul puterii. Aceasta, pentru a se legitima intenționa să organizeze alegeri în mai 1990 și, utilizând de forța sa propagandistică, a dezlănțuit un adevărat bombardament mediatic împotriva opoziției care tocmai încerca să se organizeze în acele momente. Propaganda oficială prezenta partidele ca niște formațiuni ahtiate după putere, de parcă lupta pentru putere duse conform legii și conform standardelor democratice ar fi un lucru rau în sine (în esență, puterea a acționat conform fabulei în care hoțul strigă: hotul). În aceste condiții, studenții și intelectualii care manifestau în zona liberă de comunism, prin sloganul Nu suntem partidei!, erau de fapt primii care își însușișeeră tezele ideologiei oficiale: democrația înseamnă dezbinare, partidele politice nu sunt structuri menite să fie mediatori între grupurile sociale și putere, ci organizații veroase și însetate de putere.

Ambiguitatea apare și din cauza folosirii presupoziției, prin care întelegem tehnica prin care un element care nu este afirmat prin enunț, dar pe care îl putem admite dacă acceptăm că enunțul are un sens. Un exemplu ar fi întrebare multiplă:

(13) Iar au propoziție politicienii?.


Interogația retorică este acel tip de întrebare care nu este interesată de răspuns, ci se constituie de fapt într-o aserțiune mascată. Iată o exemplificare:

(14) „Cum se face, care-i explicația, senatorii, că de 20 de ani încoace n-a existat dușman al republicii care să nu-mi fi declarat și mie război?”

Această propoziție este probabil, însă nu valid (nepunând în discuție adevărul premiselor). Din faptul că toți se raportează violent la ceva nu înseamnă neapărat că acel ceva are putere reală, politică, ci pot să se raporteze ca la ceva aparținând unei clase de judecați aparținând sferei valorilor. În acest caz, comunismul este asociat unei grupări ca stigmat, nu ca semn al puterii. Totuși, argumentul este bine făcut, fiind destul de greu de răsturnat.

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13 IBIDEM, p. 69.
15 Karl MARX, Friedrich ENGELS, Manifestul Partidului Comunist, Editura Politică, București, 1959, p. 29.
Un alt exemplu de ambiguitate pleacă din indistinția dintre folosirea atributivă și cea referențială a unui termen. De cele mai multe ori, aceasta apare și sub forma utilizării denotației și respectiv conotației. Astfel, termenul oameni bagați este folosit denotativ, pe când cel de bagațan are și o tentă conotativă peiorativă. Același lucru se poate aplica și termenilor politicieni, privatizați, țigan, care, pe lângă referința au și conotații negative importante. Același procedeu apare și în textul următor:


Alegerele prezidențiale – 1996, al II-lea tur de scrutin, Turneul candidaților - Antena 1

Alături de problema indistinției dintre folosirea atributivă și cea referențială a unui termen, Robert Stalnaker16 consideră că noțiunea de ambiguitate pragmatică poate fi extinsă și la alte cazuri, precum enunțurile conditionale (dacă p, atunci q), propozițiile modale, care exprimă forța cu care este exprimată o asemenie (ar putea să fie p sau este necesar p) și cele parentetic (cred că p). În general, un enunț poate fi considerat potențial pragmatic ambiguu dacă există reguli implicate în interpretarea acestuia care pot fi aplicate și în context și în alte lumi posibile. Aplicate contextului, regulile vor contribui la determinarea propoziției ori a forței ilocuționale a acesteia, pe când aplicate lumilor posibile, regulile devin incorporate în propoziția însăși, contribuind la determinarea valorii de adevăr. Astfel, spre exemplu, propoziția condițională poate fi luată ca o propoziție categorică sau ca o aserare a consecventului condiționată de valoarea de adevăr a antecedentului.

Din punct de vedere pragmatic, folosirea indirectă a actelor de limbaj este o sursă de ambiguitate. Astfel, când cineva pune întrebarea Poți să închiză fereastra?, aceasta nu este propriu-zis o întrebare, ci o formă de a adresa o rugăminte sau un ordin. Răspunsul așteptat nu este Da/nu, (nu) pot, ci Cu plăcere! sau Nu, îmi pare râu, sunt ocupat!

Astfel de implicaturi pe care le realizează oamenii fundamentază distincția dintre planul semantic și cel pragmatic, între înțelesul direct, literal și cel indirect, intenționat. Evidențiem acest lucru în următorul tabel:

<table>
<thead>
<tr>
<th>Act de limbaj</th>
<th>Enunț</th>
<th>Interpretarea semantică</th>
<th>Interpretarea pragmatică</th>
</tr>
</thead>
<tbody>
<tr>
<td>Aserțiune</td>
<td>Stimate domnule Iliescu, ce ați vrea să faceți dumneavoastră nou pentru poporul român, în comparație cu cei aproape 7 ani în care l-ați condus cum l-ați condus? Pentru numele lui Dumnezeu, aveți aproape 71 de ani, iar la sfârșitul unui eventual nou mandat veți avea 75 de ani, să vă dea Dumnezeu multă sănătate.17</td>
<td>Întrebare, Afermație</td>
<td>Afirmație, Ad hominem, atac la persoană</td>
</tr>
<tr>
<td>Promisiune</td>
<td>În 48 de ore de la primirea mandatului promit să stărpeasc mafia (Corneliu Vadim Tudor, Alegerele Prezidențiale, 2000, între cele două tururi de scrutin)</td>
<td>Promisiune</td>
<td>Falsă promisiune (nu se poate realiza și inițiatorul o știe) Cecrea a votului, intenție manipulatorie</td>
</tr>
</tbody>
</table>

În categoria ambiguităților specifice identificăm ambiguitatea esențială – de scop – a discursului politic. Acesta are ca interes fundamental cucerirea puterii, însă exprimarea clară a acestui lucru nu este benefică din punct de vedere performativ. Discursul politic însă se prezintă ca fiind în posesia adevărului absolut, neproblematic.

O ambiguitate de scop se realizează, spre exemplu, atunci când discursul politic (în cazul următor discursul ideologic) se camufează în discursul juridic. Când un discurs juridic nu face ceea ce zice și devine interesat de afirmarea de puncte de vedere, de efectul asupra auditoriului, el devine ideologic.

**Concluzii – rolul ambiguității în discursul politic**

Lucrarea *Problema ambiguității în discursul politic* și-a propus să analizeze discursul politic, în încercarea de a-i descripă rolul, caracteristicile și uzul acestuia. În acest sens, am asumat că discursul politic este o formă discursivă prin intermediul căreia un locutor (om politic, grup de interese, națiune, asociații de națiuni) încearcă obținerea puterii în lupta politică, împotriva altor indivizi, grupuri sau partide. Acesta se remarca prin convingențialitate, adică prin necesitatea de a justifica și a se justifica în raport cu o instituție, prin ritualizare și prin simbolism. În aceste condiții, discursul politic se poate delimita prin îndeplinirea simultană a două tipuri de caracteristici: 1. caracteristici interne de organizare: ambiguitatea intenționată și neîntenționată, caracterul disimulat al mesajului, tonalitatea imperativă și substratul polemic; 2. caracteristici decurgând din constrângeriile situației de comunicare specifice: respectarea scopului discursului politic și convingențialitatea discursului politic.

În discursul politic, ambiguitatea apare la diferite nivele - la nivelul cuvântului, la nivelul enunțurilor și la nivelul discursului – pe de o parte, iar, pe de altă parte, numeroasele tipuri de ambiguitate pot fi structurate pe trei dimensiuni de analiză: semantică, sintactică și pragmatică. În capitolul al III-lea am ilustrat tipurile de ambiguitate ale discursului politic, pornind de la cele două criterii enunțate mai sus. Am arătat că în discursul politic apar atât ambiguități generale, care se regăsesc și în alte tipuri de discursuri, dar și o ambiguitate specifică, esențială, constitutivă discursului politic.

Problema ambiguității în discursul politic este una centrală pentru că în discursul politic ambiguitatea, ca mecanism discursiv, are un rol central, întrucât a fost determinată ca o caracteristică esențială a acestuia. Ambiguitatea esențială – de scop – a discursului politic apare deoarece acesta are ca interes fundamental cucerirea puterii, însă exprimarea clară a acestui lucru nu este benefică din punct de vedere performativ. Dacă discursul politic se prezintă pe sine ca ceea ce este, atunci acesta se pune într-o lumină sumbră, încârcată de tenebre, iar lucrul acesta ar fi un act sinucigaș din punctul de vedere al scopurilor pe care trebuie să le îndeplinească.

Care este însă rolul ambiguității în discursul politic?

Răspunsul nu poate fi însă univoc. Am arătat mai sus că ambiguitatea esențială a discursului politic este una benefică din punctul de vedere al scopului acestuia. Dacă urmărim și celelalte tipuri de ambiguitate identificate aici, trebuie să remarcăm faptul că prezența unora mărește șansele de succes ale discursului politic. Astfel, folosirea figurilor retorice, a sloganului, a întrebărilor retorice, prin suprasaturarea de sens, dă posibilitatea

<table>
<thead>
<tr>
<th>Act de limbaj</th>
<th>Enunț</th>
<th>Interpretarea semantică</th>
<th>Interpretarea pragmatică</th>
</tr>
</thead>
<tbody>
<tr>
<td>Apreciere</td>
<td>Ați rostit un discurs frumos.</td>
<td>Afirmație</td>
<td>Afirmație/compliment</td>
</tr>
<tr>
<td>Întrebare</td>
<td>Iar au furat politicienii?</td>
<td>Întrebare</td>
<td>Dublă afirmație</td>
</tr>
</tbody>
</table>
receptorului să aleagă între diverse interpretări și să se oprească la cea convenabilă. Chiar și folosirea sofismelor ambiguității poate fi benefică din punct de vedere performativ dacă acestea sunt bine construite și greu de identificat și demontat. Dintr-o altă perspectivă, un enunț ambigu este mai greu de respins, iar acest lucru este necesar discursului politic întrucât un politician care emite enunțuri nesustenabile sau care chiar a fost dovedit mincinos se compromite și nu mai poate avea succes în fața alegătorilor. Astfel încât, un anumit grad de ambiguitate îi este favorabil, întrucât îi oferă posibilități de refugiare.

Totuși, utilizarea fără discernământ a ambiguității poate avea efecte contrare. Făcând schematicizarea discursivă dificilă, discursurile excesiv ambigu conduc la o nelămuriere inițială a receptorului, urmată, de multe ori de atribuirea pentru discursul locutorului a atributului discurs politicianist. Aceasta conduce la decredibilizare. Abuzul de sens, chiar o arăta prea elaborată a construirii discursului au același efect. Poate că nu este întâmplător faptul că în România au și continuă să aibă succes politicieni care se remarcă printr-un discurs ferm, cu un limbaj direct, frust, chiar olist. Analizând ambiguitatea în discursul politic pe toate cele trei nivele, trebuie să remarcăm faptul că, dacă la nivel semantic și pragmatic utilizarea în discursul politic poate fi favorabilă, cea de nivel sintactic posedă cel mai înalt risc de decredibilizare. Încoerența, beția de cuvinte aruncă anatema asupra politicianului.

Astfel că ară și știință utilizării ambiguității discursului politic se pot constitui într-o importantă resursă pentru succesul unui om politic, după cum ambiguitatea excesivă conduce la rezultate contrare.

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Managing the Semiotics beyond Fairy-Tales in Political Discourse

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Keywords: election campaign, spectacle versus reality, polemical discourse, intertextuality, fairy-tales, metafictive political tales, “the wolf”.

Abstract: Living in “a culture of images, a society of the spectacle, a world of semblances and simulacra” (Mitchell, 1994: 5), every four or five years we are the witnesses of a show which reaches the highest levels of visibility and appearance, and its name is election campaign. Advertising is the most persuasive strategy of this twofold game between reality and illusion whose final ends (to be voted) depends on some semantic subgoals/ links (Biocca, 1991: 65), responsible for the managing of the candidate’s powerful identity.

The aim of this paper is to see how those objects seen as inter-textual persuasive signs (Beasley & Danesi, 2002), are manipulated by two Romanian politicians (Traian Băsescu and Corneliu Vadim Tudor) during the 2000 election campaign. Actually, our analysis will focus on the retelling of two fairy-tales (the Grimms’ Little Red Riding Hood and Ion Creanga’s The Goat and her Three Kids) within the Romanian political context. This analysis is based on the following hypothesis: intertextuality based on fairy-tales is a significant persuasive strategy within the process of political creativity.

Starting from A.J. Greimas’s semiotics of action, that can be viewed as the method of interpretation for the narrative links that fairy-tales are built on, I will provide a model of political intertextuality whose “intercodality” (Beasley & Danesi, 2002: 71) will be grasped through concepts such as the “cognitive flow” (Danesi, 2002) between the layers of metaforms, meta-metaforms and metasymbols or the “blending” (Turner & Fauconnier, 1995) of mental spaces. The former notion underlying the cognitive theory on metaphors constitutes the basis of the process of decoding the mental transfer between an animal (a wolf) and the other political candidate.
Introduction

“It is necessary to be a fox to discover the snares and a lion to terrify the wolves. Those who rely simply on the lion do not understand what the art of governing is about.” (Machiavelli, our transl.)

The three animals used by Niccolò Machiavelli to define politics or the art of governing are the embodiments of some political features that should characterize any candidate who aspires to becoming a politician in an influential position. Thus, (s)he should be the perfect combination between the slyness of a fox, the power of a lion, and the cruelty of a wolf.

This paper does not deal with zoosemiotics (Jakob von Uexküll, T. von Uexküll), as one might be tempted to presuppose. It rather implies a recontextualization of animals, by a process of “extracting” them from their natural umwells, in order to turn them into signs of what Mitchell (1994: 333) calls “forms of social otherness”. Thus, through the clever manipulation of the mental imagery associated to animals, topics such as race, class, and gender may be shaped into images of “subhuman brutishness, bestial appetite, and mechanical servility” (Mitchell, 1994: 333).

The animal that our analysis is based on is the wolf. The placement of such an animal into a political context automatically shifts our metadiscourse towards the semantic field of aggression and cruelty. Besides the discursive terror that can be linked to the image of a wolf, it implies that the human being behind this mask is actually the other who, in the situation of the political context, becomes the opponent.

1. Election campaign between spectacle and reality

“The art and science of governing” (McLean, 2001: 339) or “the art of playing” (Beard, 2000: 3) are two definitions of politics which, apparently different at first sight, seem to reveal a truth about this field, namely the act of governing can be interpreted as a ritual game whose convention implies not only participation and some rules, but also some discursive performance, having as its final aim the shaping of a very convincing political identity.

The process of (re)constructing these election portraits implies the assuming of a postmodern role of an Alice in Wonderland through a metaphorical “plunging” into a mise en abyme formed of a tridimensional location:

(mise en scène₁, (mise en scène₂ (mise en image)))

The three layers of this political spectacle actually stand for three different stages of a society:

1. The mise en scène₁ could be identified with the street (as the place for election posters and billboards), the house (for the TV set, newspapers, magazines or radio) or with the car (for the radio).

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1 Even if there is Marriott’s translation (1908) of Machiavelli’s The Prince into English, we consider that the last words “what they are about” could be replaced with “the art of gouvering”, since the modern prince is the embodiment of a politician.

2 In Persuasive Strategies in Political Discourse (Cmechiu, 2005), the chapter The Grammar of the Election Ritual Game is dedicated to issues such as: relation of inclusion: candidate – party, relation of conflict: candidate – opponent candidate, relation of legitimacy: candidate – voters, relation of identity construction: (candidate versus (image professionists) versus voters) and the location of the electoral ritual game.
2. The *mise en scène* becomes the metonymy for some mass-media instruments, such as the poster or the billboard or the sheets of paper in a newspaper or magazine.

3. The *mise en image* implies a (non)verbal *representation* which may stir some mental images (memories or ideas). Social semiotics (Kress & van Leeuwen, 1996) may constitute the theoretical background for understanding the syntax of any *mise en image* made up of the following semiotic systems: represented participants, composition, modality and interactive participants. This last system also involves a crossing over the frames of a picture, because it involves the relation between represented participants and spectators/ viewers/ voters, thus laying an emphasis on the process of decoding as well.

One should admit the fact that election campaigns have a twofold nature: pictures of power and a power of pictures.

A. On the one hand, election campaigns become *pictures of power*.

   It is well-known that political discourses are discourses of “the best”, a metaphorical metamorphosis of a politician into a lion. But this should not imply a total isolation from the rest of the world because “power is not something one «has» but a relationship one enjoys or suffers” (Mitchell, 1994: 324). As any relationship is built on at least the presence of the “other”, election power means the coexistence of two “others”: the voters and the opponents who, at the discursive level, help with the establishing of two important obligatory subtypes of election discourse, namely the discourse of “the convenient truth” and the polemical discourse, respectively.

   The former type of discourse stands for the power of the creator who manipulates those discursive elements which serve his/ her political goal. The discovering of these powerful elements is performed on two axes:

   1. *a vertical axis*: the action of “digging” into the *deep structure* of the people’s abstract mental systems. This metaphorical digging implies a micro- and macro-analysis of the society which, according to Teun van Dijk (1995: 21) is one compulsory ingredient within the conceptual triangle that connects society, discourse and social cognition. The Dutch author interprets (an) ideology as “specific basic frameworks of social cognition, with specific internal structures, and specific cognitive and social functions”. The process of controlling/ knowing the “personal mental representations of people’s experiences of social practices”, which Van Dijk (1995: 19) calls *models*, constitutes the starting point in any construction of a political promise, built on illusions, that represent one of the significances of the myth (Girardet 1997: 4).

   The mixture of narrative techniques, mystification, and mobilization implied by myth and archetype – the cultural premise of persuasion – as Ch. Larson (2003: 254) considers, has a twofold function: on the one hand, it can control the shared representations of different social groups, on the other hand, it is the right ingredient in the shaping of a (non)verbal political self-portrait/ image.

   2. *a horizontal axis*: the action of “levelling down” those convenient elements (arguments based on the groups’ values, opinions, properties) that stand for a decisive persuasive force. Bringing to surface what voters would like to hear, political messages have a controlling power upon the citizens’ identity as well, because they seem to undergo a metamorphosis: from citizens who vote for a President, they become consumers of political styles/ representations. This new

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4 Part of these two axes were discussed in Cmeciu (2005: 60).
identity coincides with the concept of synthetic personalization (Fairclough, 1989: 62): to create a personalized relation between the consumers/voters and the producer/product/candidate.

The latter type of discourse, namely a polemical discourse, has a necessary ingredient a sort of “verbal terrorism” whose aim is to explicitly destroy the opponent, offering a negative Other-representation (Teun van Dijk) by intensifying the opponent’s weak points (Hugh Rank). Marc Angenot (1982: 147), in his book La Parole Pamplhétique – contribution à la typologie des discours modernes, states that the persuasive power of a polemic expression consists in striking the opponent using discursive strategies driving towards disappointment. But the final victory comes when this disappointment takes a nonverbal form of a vote against the opponent. Starting from Alex Mucchielli’s classical scheme of stirring an emotion, we can build the pragmatic trajectory a candidate wants his polemical discourse to follow:

![Political candidate diagram](image)

B. On the other hand, election campaigns present a power of pictures.

The modern agora we live in is used rather to watch, than to read. Thus, the goal of any election candidate is “to be publicly circulated and experienced by others” (Biocca 1991: 22-23). The means of doing this belongs to the discourse of advertising which, according to Beasley and Danesi (2002: 2) is “characterizable as a blend of art and science” because it uses both aesthetic techniques designed to influence how people perceive a certain candidate, and the tools of psychology and statistics, the basis of the action of digging, mentioned above.

Translating a doctrinal discourse (levels of reality – the truth about things) into narrative and symbolic images, political discourses seem to become the embodiment of what Mitchell (1994: 325) labels as illusionism, namely “the capacity of pictures to deceive, delight, astonish, amaze, or otherwise take power over a beholder”. Mitchell’s illusionism cannot function without the level of imagination (projections of imaginary spaces through the manipulation of some mental representations) compulsory in the process of decoding.

The duality between reality/realism (Mitchell’s term) and illusionism hidden in any picture can be linked to the etymology of the word sincerity⁵, one of the conditions stipulated by Searle (1972: 105) within any promise (discussed in Cmeciu, 2005: 101-102). The ancient meaning of sincerus (without wax) seems to have turned this lasting camouflage instrument, namely wax, into a word with negative connotations, namely a mask. In the 20th century, the word image is used instead of a mask, the modern ages turning into that period where everyone strives after showing a self’s image that should be the most convincing, interesting and seductive.

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⁵ Muchielli, Alex. 2002: *Arta de a influența – Analiza tehniciilor de manipulare*. Iași: Polirom, p. 16.
⁶ Charles Larson (2003: 261) mentions two ancient meanings of this word. The former is used for “wax layers in order to preserve” and to be without wax would mean “to be pure, fresh”. The latter sends to the unorthodox habit of the carvers in stone that, in order to hide their imperfections, would cover them with a thick layer of wax that finally will fall down, but unfortunately this will happen when the respective carver is dead so that he might not give account for his deed.
2. Political Intertextuality

The results of the action of “digging” into the mental imagery of the citizens of a respective country should remain at the level of some abstract notions, but, on the contrary, they should be turned into some (non)verbal representational images that rely upon culturally determined codes (Hutcheon, 2002: 117), shared by the producer (photographer or political candidate) and the reader (viewers/ voters). Hutcheon (2002: 117) considers that these codes are the reason why the ideological cannot be separated from the aesthetic in postmodernism, and why representations have their politics.

This mingling of apparently different fields is labelled by Beasley and Danesi (2002: 70-71) as intercodality, “a deliberate use of various codes to create a signification system for a product”. In our case, the product is a human being, namely a politician who manipulates some concrete objects putting them into persuasive causal narrative links. These two terms, “narrative” and “objects”, could be linked to Greimas’s actantial model (1966: 173) of his narrative semiotics, which I used as a scheme of political intertextuality:

In Cmeciu (2005: 233), I interpreted this process of intertextuality through a relationship of transaction between the election object and the blocker-object or helper-object. This instance of “give-and-take” (↔) is not meant as an equality of partners: the (non)verbal helpers and blockers must be interpreted as partners in the shadow, while the political candidate/ opponent is the main stockholder who sets the selection of the other partners.

The functionalist perspective on intertextuality should not stop at the level of a mere act of “purchasing”, it should rather go deeper, towards the mental “transaction”. Concepts such as “mapping” (Lakoff, Johnson, 1980), “blending” (Turner and Fouconnier, 1995) or “cognitive flow” (Danesi, 1993, 2002) are the theoretical tools within cognitive theories on metaphors which help with the understanding of “mental imagery transfers” between the discursive partners in the mise en image.

In this part of the paper, I will discuss intertextuality through Turner and Fouconnier’s model of blending because it is based on mental spaces, thus being able to locate objects in space and time. The conceptual projection that every instance of intertextuality is based on, automatically triggers the existence of two input mental spaces: source and target. In the case of political intertextuality, the source is identified with the helper or blocker-object, whereas the target is the election object. Each of these mental spaces has a twofold type of information:

- relevant and pertinent information which, through a compulsory image-schematic structure, creates a third space, namely a generic space;

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7 This model of intertextuality was discussed in Cmeciu (2005) and Cmeciu (2006), but in this paper I will approach this term from different perspectives, namely some theories on metaphors.
additional information provided by culture, context or point of view. I am of the opinion that this type of information, especially offered by the source mental space, includes what Adam and Bonhomme (2004: 281-282) label as archetypal conceptual topics (psychological and mythological structures) and sociocultural conceptual topics (a group’s prejudices and stereotypes). These conceptual topics become the indices of collective knowledge, of some cultural symbolic significances and of an implicit ideology, stored within the memory of the beholders, in our case of the voters-citizens.

Through an appeal to imagination [Gr. eidolon, L. fictio], the blended space\(^8\) seems to be shaping itself taking from each mental space the necessary and relevant ingredients. In the case of political intertextuality, the blended space gives forth a new human object of value “who” may be or may not be the embodiment of the picture of power.

2.1. Empirical data

The objects that will enter into a transactional process and whose mental spaces will be blended belong to the 2000 Romanian election campaign. The reason for the choice of this particular situational context is that it constituted a “breakthrough” within the creative shaping of political identities. The monotonous busts “glued” all over or the long speeches revealing only empty talk were partially replaced by some mere objects turned into inter-textual persuasive signs.

The input mental space could be divided into two categories:
- the input source mental space: a wolf; 
- the input target mental spaces: the opponents (Appendix 1) and Ion Iliescu (Appendix 2)

And yet, I consider that the mental space of the political “creator” [Corneliu Vadim Tudor (Appendix 1) and Traian Băsescu (Annex 2)] should be designed in such a way as to be included here. This third implied space actually resides within the source mental space, being what Turner and Fouconnier call additional information, namely, point of view.

There are three political parties and leaders involved in this process of political intertextuality:
- The Great Romania Party (GRP) and Corneliu Vadim Tudor. They belong to the most right-wing party in Romania. The party promotes an ethnic nationalistic discourse, often being characterized as xenophobic, anti-ethnic Hungarian, antisemitic, homophobic, and irredentist (Stoiciu 2000: 197-202). Our choice has a twofold reason. On the one hand, the surprising result of Tudor entering the second ballot, after having polled 33%. On the other hand, the results of an exit-poll (Vlăsceanu, 2000; discussed in Cmeciu, 2005: 35-36) which showed a contrastive image of the Romanian society (wealth obtained through corruption or breaking the law versus poverty caused by honesty or hard work). This social binary opposition could constitute the logical argument for the reason why 42% voters decided to give a punitive vote, thus, choosing the candidate (C.V. Tudor) whose discourse was built on punishing the corrupted persons.

- The Romanian Social Democratic Party (RSDP) and Ion Iliescu. They are a center-left wing party and their discourse is focused on issues, such as freedom, human dignity, equality of chances, the public welfare, social justice and human solidarity (Stoica, 2001: 51). The leader, Ion Iliescu is usually nick-named “tătuca” (a Romanian pejorative meaning for the word father). This discursive marker could be included into the persuasive strategy of “mythologization” (Beasley and Danesi, 2002: 28-29). Radu Enache (in Teodorescu, 2001: 221) considers that Iliescu, through his paternal figure, belongs to the myth of the father, identifying his political

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\(^8\) This concept of “blended space” can be explained using the terminology from the semiotics of passion. Greimas and Fontanille (1993: 44) define simulacra as “junctions projected by the subject into the imaginary space, opened up by modalities” (wanting, having-to, being-able, knowing).
destiny with a combination between Moses and Phoenix⁹ (discussed in Cmeciu, 2005: 145).

- the Democrat Party (DP) and Traian Băsescu. They belong to a center-left party whose discourse is based on concepts such as democracy, freedom, dignity, social justice and equality of chances. Even if the doctrine might seem the same as the one of RDSP, the difference lies in the image their leaders have. Actually, in 2000, the proper leader was Petre Roman, while the image of Traian Băsescu, more of a spiritual leader, was extensively used in the political advertising for the democrat party.

2.2. Beyond fairy-tales – “metafictive plays”

“Once upon a time” is the very syntagm that becomes the index for every child that it is high time to cross over into the world of imagination where animals and objects are invested with the human power of talking or behaving. Sandra Beckett (2002: 215) defines a fairy-tale as “a genre with very clearly defined conventions and codes that children learn at an early age[...].” Gerald Prince (2004: 156) lays an emphasis on two important conventions, namely the chronological and the causal instances of pertinent events for characters who try to solve a problem in order to reach their ends which, according to Greimas’s actantial model, can be interpreted as objects of value.

When talking about the semantic links that any political discourse should rely on, Frank Biocca (1991) also mentions some causal and narrative links, besides contextual, classificatory, oppositional, metaphorical and hierarchical ones. Thus, at least, in terms of deep-level narratological conventions, the mise en image of fairy-tales and of political discourses seem to resemble.

I have mentioned that a wolf is the input source mental space that the analysis of the two (non)verbal texts is based on. But, it is the case of a metamorphosed wolf, namely the one invented by The Grimms¹⁰ and Ion Creangă¹¹. Hence, we are the witness of a “cognitive flow” (Danesi, 2002) within the shaping of a new wolf, a process based on a metaphorical reasoning built initially on two layers:

1. the layer of a metaform (an association-by-inference process): the minimal parts of the bodily configuration of a wolf, which create Turner’s and Fouconnier’s generic mental space (a wolf¹² – a carnivorous animal with a thick, shaggy coat, erect ears, and a bushy tail. Active mostly at night, gray wolves prey on birds and small mammals and on weak members of larger species, such as deer);

2. the layer of a meta-metaform (indexicality – based on some cultural aspects). Through their tales, the two authors seem to uproot the wolf from its own umwelt¹³ (discussed in Cmeciu, 9 In his youth, Ion Iliescu was friend of the “Pharaoh” (Ceaușescu), then he fought against him (1971). He stretched his hand over the waters and swept the sea. In December, 1991, he gave the ‘Commandments’ (the Constitution). He wandered in the desert (Văcăroiu’s mandate as a Prime Minister). The people protested against him (in 1996). But unlike Moses, Iliescu did not disappear, on the contrary, he seemed to have risen renewed in order to lead his people in 2000. (Radu Enache (in Teodorescu, 2001: 221, our translation).
¹⁰ The Grimm Brothers - Jacob (1785 – 1863) and Wilhelm (1786 - 1859) –, German professors, are best known for their collections of folk tales and fairy tales.
¹¹ Ion Creangă (1837 - 1889) is one of the most outstanding Romanian classics. He is more than a storyteller for children or simply a humorist, and his work stands as a human and social document of the ways of thinking and the life of a Romanian village (Humulești) in the 19th century, his famous Memories of My Boyhood being an illustrative example. (Creangă, Ion. 1978: Memories of My Boyhood and Tales., translated by Ana Cartianu and R.C. Johnson, Bucharest: Minerva).
¹³ An umwelt constitutes the subjective world which any animal builds for itself on the basis of his “real” medium (our transl., Sebeok, 2002: 54). This implies that each species constructs and lives within its own lifeworld which is “a closed unit in itself, [...] governed by the meaning it has for a particular subject separately” (Jakob von Uexküll, apud Wasik Z. 2003: Epistemological Perspectives on Linguistic Semiotics. vol. 8, Frankfurt am Maine: Peter Lang, p. 118.).
2006: 585) and place it in two cultural new spaces, namely a German and a Romanian one.

Modifying the generic mental space associated to the concept *wolf*, the Grimms and Creangă create a fictitious *umwelt* populated with some animate objects that become “carriers of meaning” (T. von Uexküll, *apud* Wąsik, 2003: 118) because they contribute to the satisfaction of the two wolves’ needs. In both cases, these animate objects are imprinted with food-quality:
- on the one hand, the wolf will engulf the granny and the Little Red Riding Hood;
- on the other hand, the wolf will engulf two of the goat’s kids.

The two imaginary *umwelts* actually become the new generic mental spaces for the retelling of the fairy-tales which are temporally and spatially placed in Romania, the year 2000 (an election year).

This process could be labelled as an instance of postmodern intertextuality. For Linda Hutcheon (1996: 3), “postmodernism is a contradictory phenomenon, one that uses and abuses, installs and then subverts, the very concepts it challenges” in order to install a new order. Thus the layer (3) of the cognitive flow is reached, namely the layer of some *metasymbols* (traces to a historical past). The fairy-tales undergo a sort of metamorphosis, becoming some metafictive plays labelled by Hutcheon (*apud* Beckett, 2002: 215) as a *parody* which is a “repetition with critical distance that allows ironic signalling of difference at the very heart of similarity” (Hutcheon, 1996: 26).

It is not only the content of the fairy-tales that has ‘to go through painful experiences’, but the reader as well. (S)he turns from a mere child into “the author’s playmate” (*apud* Beckett, 2002: 215) because this new self-reflexive textuality involves a subtle game of decoding, where the reader/spectator, sharing some deducible rules with the author, should be aware that beyond some mere (non)verbal representational images of fictitious characters there are some social, cultural and political meanings.

### 3. Two (Romanian) Political “Wolves”

The two (non)verbal metafictive political ‘plays’, that our analysis is based on, are actually the visual and verbal representations of a political opponent, being the semiotic flow from the extension to the intension of the concept *wolf*:
- On the one hand, there is the prototype image of a generic political *wolf* (3.1.), adapted to a specific cultural space and time (2000 election campaign for the seat of the Mayor of Bucharest – the creator: Corneliu Vadim Tudor);
- On the other hand, there is the token image of a political *wolf* (3.2.), specific to only one politician, namely Ion Iliescu (during 2000 Romanian election campaign – the creator: Traian Băsescu).

#### 3.1. Corneliu Vadim Tudor’s opponents – embodiments of deception

As I have mentioned in 2.1. the aggressive discourse of the Great Romania Party had a huge impact on the Romanian voters who tried to punish the corrupted politicians:

> You know very well that never have we lied to you, and that for you we are ready to climb/walk up the Golgotha Hill of revenges and of “political police”, the crucified cross on our backs, having no rest and no inward satisfaction. […]

> Most of those who keep begging for your votes, in sham/fake voices, are but the Wolf from “The Goat and her Three Kids”, which hardly wait for you to open the door in order to swallow you up immediately. Do not open the door to thieves, impostors/humbugs, and mafia gangsters. (our transl.)

The narrative structure that underlines Corneliu Vadim Tudor’s metafictive verbal *mise en image* could be analysed through Kress and van Leeuwen’s semiotic system:
a) represented participants & interactive participants. The deictic elements (personal pronouns) are indices of the participants created by Corneliu Vadim Tudor in his verbal mise en image. The triangle, that any election situation (the generic mental space) is based on, has as its points, three interactive participants: the candidate – the opponent(s) – the voters. This relation is represented as a target mental space, “inhabited” by WE/ I (the Great Romania Party/ C.V. Tudor) – THEY/ HE (the opponents) – YOU (the voters).

The same three-fold relation is to be found in the Romanian tale (The Goat and her Three Kids) which is the input source mental space: THE GOAT (the good character) – THE WOLF (the bad character) – THE THREE KIDS (the duality between bad and good children).

But the political narrative structure of C.V. Tudor’s parody, which becomes the blended mental space, does not exactly preserve the same participants as in Creangă’s tale:
- the OPPONENTS = the WOLVES
- the VOTERS = the GOAT’S KIDS
- CORNELIU VADIM TUDOR ≠ the GOAT

Actually this metafictive political play does not blend only two different realities: election situation and a tale. C.V. Tudor does not want to be associated with an animal, and that is why he chooses a biblical source mental space, namely the image of JESUS (the Saviour).

The semiotic resources that characterize the political participants are mainly of physiological nature (van Leeuwen, 2005: 4):
- The imaginary umwelts for the political wolves and the goat’s kids consist of mere gestures of knocking at the door, of begging (sham voice) and of swallowing, in the former case, and of the act of opening or not opening the door, in the latter case. These simple acts of accepting or not the wolf in are the metaphorical reasoning behind the dilemmas that a political promise may raise, thus the wolf’s sham voice becoming the persuasive instrument that can manipulate the metaphorical opening of a DOOR (the being accepted into the voters’ MINDS).
- Manipulating the biblical gesture of climbing the Golgotha Hill and the symbolic image of the cross, C.V. Tudor reinvents some postmodern metonymies for the Saviour’s sufferances.

b) composition. All these rather contradictory points belonging to the source mental space are a proof that we might talk of a verbal eccentricity because there is not only one dynamic centre, but four of them. The plot of the Romanian tale offers us the possibility of a binary opposition within the point YOU (the brave young voters, those who do not believe in the political wolves’ sham voice versus the weak old voters, who are the gullible ones). Hence, the four participants within the metafictive play can be represented through the following semiotic square (Greimas, 1983) based on three types pf relations:
- relation of contrariety: $s_1$ (rules of prescription: C.V. Tudor = JESUS) versus $s_2$ (rules of interdiction: THE OPPONENTS = WOLVES)

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14 In Forța centrului vizual (The Power of the Center: A Study of Composition in the Visual Arts) Rudolph Arnheim considers that all works of visual art have a spatial organization which is made up of two elements, or dynamics: centrality (things that come out of a center, or bear in on a center) and eccentricity (there is no center, but a grid of up and down and/or side to side).

15 The plot of the Romanian tale is the following: The wolf tries to eat the goat’s kids, but they were told to lock the door and not to open it until they hear their mother’s voice (Come, three kids with knobbly brow,/ Unbolt the door for mother now;/ Come and admire the lovely things/ Which for her darlings home she brings:/ Leaves she tugs/ And milk in dugs/ Salt in pack/ Upon her back,/ Maize-flour sweet/ Between her feet, / Flower bunches/ On her haunches). Thus, they are not fooled by the wolf’s coarse voice. The wolf goes to a blacksmith’s and has his tongue filed and teeth sharpened to make his voice thinner and higher-pitched just like the mother goat’s. Two of the kids (the oldest ones) are taken in by the wolf’s coarse voice. The wolf opens the door and they are swallowed by the wolf. The goat wants to revenge for the death of her kids and faking that she is not upset for the wolf’s deed, she invites him to a feast. But the table was set on a rug, underneath which there was a pit full of burning coals. As he sat down, the wax-stool started to melt and he fell into the burning pit.
relation of contradiction: \((s_1 / \sim s_1, s_2 / \sim s_2)\): C.V. Tudor (Jesus) / the weak old voters; the opponents (wolf)/ the brave voters. These relations stand for the logical negation whose terms cannot be true or false at the same time. Thus, within Tudor’s discourse, each of the two elements within the contradiction relations exclude each other. C.V. Tudor, the Saviour, will never be voted by weak old voters, and, at the same time, the opponents, the wolves, will not be elected by brave voters.

relation of implication: \((s_1 / \sim s_2, s_2 / \sim s_1)\). C.V. Tudor (Jesus)/ the brave voters; the opponents (wolf)/ the weak old voters. This relation is actually built on a sort of logical necessity: the presence of brave voters implies the existence of a political Jesus, whereas the presence of weak old voters implies votes for the opponents.

c) modality. This last semiotic system that Kress and van Leeuwen mention will refer to another type of ‘colour’ of the four representations, namely the tone of attack because the above semiotic square is the underlying deep structure of a polemical discourse. The critical tone associated to parody takes the form of a verbal terrorism. C.V Tudor does not stop at the metasymbol of a political wolf, he seems to come back to reality, insulting his opponents, using fallacy ad hominem abusive or ad personam (thieves, impostors/ humbugs, and mafia gangsters). This switch towards the level of reality is actually an instance of a self-reflexive society ruled by these corrupted persons.

This catastrophic social context needs to be rescued by a SAVIOUR, thus creating the layer of the metasymbol of a prophet whose individual destiny identifies itself with that of his people (Girardet, 1997: 53). This newly created layer within the metaphorical reasoning behind the image of Jesus seems to offer a subjective interpretation to the act of the biblical crucifixion: Corneliu Vadim Tudor is not the patient/ sufferer of crucifixion as Jesus Christ was, he turns into the agent of this punishing process, trying to take revenge on those politicians who made political police in Romania during the communist régime.

3.2. Ion Iliescu – a three-fold personality

The mise en image, where the implied main protagonist is Ion Iliescu, is the visual intension of the concept wolf. To go beyond this metafictive political play and to understand the creative process beyond Ion Iliescu’s narrative metamorphosis, I will apply the same semiotic systems from Kress and Van Leeuwen’s social semiotics:

a) represented participants. The 2000 political story has the following characters:
- “alegătorii” = voters
- “tinerii PD-îşti” = The Democratic Party Youth
- “bunicuţa” = Granny
- “Primar General” = Mayor

This act of naming the main characters sends rather towards the level of reality belonging to the situational context of election campaigns, with one exception, namely the fairy-tale-like label given to one particular politician. In 2.1. I have mentioned the persuasive strategy of “mythologization”, the destiny of a political Moses and Phoenix, used for Ion Iliescu. The same candidate seems to be enjoying another discursive marker, this time sending to the well-
known fairy-tale of every (Romanian) child, namely, *The Little Red Riding Hood*. The cognitive flow in the metaphorical reasoning beyond Iliescu’s and Băsescu’s mental representations\(^\text{16}\) implies, in each case, an intercodality of three different layers of meta-metaforms, which belong to the input source mental spaces that are built on metonymies:

### Target mental space

<table>
<thead>
<tr>
<th>Source mental space = the layer of meta-metaforms</th>
<th>ION ILIESCU</th>
<th>TRAIAN BĂSESCU</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Target mental space</strong></td>
<td><strong>ION ILIESCU</strong></td>
<td><strong>TRAIAN BĂSESCU</strong></td>
</tr>
<tr>
<td>Two-legged person, bent back, glasses, stick, dress, linguistic message “What?!” —&gt; <em>granny</em></td>
<td>Human being [+male]</td>
<td>Human being [+male]</td>
</tr>
<tr>
<td>Head of a wolf, prolonged muzzle, fangs, paws —&gt; <em>wolf</em></td>
<td>Carnivorous animal</td>
<td></td>
</tr>
<tr>
<td>Red hood, red shoes —&gt; <em>Little Red Riding Hood</em></td>
<td>Fictitious human being [+female, +young]</td>
<td></td>
</tr>
<tr>
<td><strong>Source mental space</strong> = the layer of meta-metaforms</td>
<td><strong>ION ILIESCU</strong></td>
<td><strong>TRAIAN BĂSESCU</strong></td>
</tr>
<tr>
<td><strong>Target mental space</strong></td>
<td><strong>ION ILIESCU</strong></td>
<td><strong>TRAIAN BĂSESCU</strong></td>
</tr>
<tr>
<td>the blue uniform —&gt; <em>commercial ship captain</em></td>
<td>Human being [+male, + social position]</td>
<td>Human being [+male, + social position]</td>
</tr>
<tr>
<td>the picture of the building of the Town Hall —&gt; <em>Mayor of Bucharest</em></td>
<td>Human being [+male, + social position]</td>
<td>Human being [+male]</td>
</tr>
</tbody>
</table>

### b) composition & interactive participants.

The composition system is structured on eccentricity. Four dynamic centers occupy the two subfields divided by the vertical axis and interact among them. If we interpret the two positions (left/ voters versus right/ the DP youth; lower/ voters, the granny and the Mayor versus upper/ the DP youth) in terms of a temporal axis and a scale of reality, the following conclusions might be reached:

- The left subfield coincides with the past. Voters will always be the most important pawn within the election play, hence the drawing of different social classes.
- The right subfield embodies the future: the DP Youth is to be elected as MP members and Traian Băsescu continues to be the Mayor of Bucharest. The granny stands at the crossroads between the two subfields, thus “inhabiting” the present moment of the 2000 metafictive political text. The blending of fairy-tale characters within Iliescu seems to be triggering him towards the past, whereas the situational context of election seems to situate him towards a plausible axis of future.

Within the right subfield there can be observed another dichotomy, in terms of lower field versus upper field. Whereas the former belongs to political leaders (Ion Iliescu and Traian Băsescu), the latter is the territory of possible members of the Parliament. This upper subfield is

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\(^{16}\) In Fairy-Tales as Political Advertising (Cmeciu, 2006: 221-233), the two politicians’ visual representation was approached using Groupe µ’s theory on visual metaphors.
dominated by the DP youth. The link between these two territories is achieved through the kinezic code of hand gestures. Traian Băsescu’s configuration (open palm) and direction (upward) of the right hand suggest the semantic configuration of a political mentor who is introducing his team to the spectators.

- The duality lower versus upper is actually the clash between reality and ideal. And yet, we might notice a sort of paradox if we consider the visual and the linguistic representation. Thus, the dialogue between the voters (Why aren’t your people as young and as skilled as those from the DP?) and the granny (What?!) indeed suggests that the DP youth is believed to be the right solution for the future of the country. But the visual representation of the lower subfield seems puzzling, because even if, theoretically, it should be linked to reality, the cartoon as an inter-text connotes rather appearance (to be discussed within the semiotic system of modality).

  c) modality. The critical distance within parody is obtained exactly through this game of blending photographs (reality) with cartoons (appearance). Thus it is a twofold return to childhood: on the one hand, through the Grimms’ fairy-tale as starting point of the metafictive play, and, on the other hand, through the art of drawing as a means of a subjective representation of reality. This persuasive strategy of cartoons has a double power:

  - the discursive creator may hide beyond some “innocent” child-like drawings in order to adopt a more virulent tone;
  - the viewers/ spectators become important players in the game of decoding and they should not stop at the layer of some cultural meta/metaforms, but, on the contrary, they should reshape the cognitive incompleteness/flow in order to reach the layer of metasymbols.

Thus, in our case, Ion Iliescu becomes the blended mental space of three distinct source spaces: the granny, the wolf and the Little Red Riding Hood. Beyond this cognitive process of blending, there is a layer of three metasymbols which is reached: old age, shrewdness and cruelty, gullibility.

Conclusion

Fairy-tales stop to be mere bed-time stories. Their retelling becomes a metafictive play with specific cultural and social implications which might become political parodies. This paper was meant to go beyond this intricate reshaping, through an act of decoding some familiar fairy-tales (the Grimms’ Little Red Riding Hood and Ion Creangă’s The Goat and her Three Kids) within the Romanian political context. Thus, turning into “managers” of the semiotics of two metafictive Romanian election ‘plays’, I tried to decode the meanings of Mitchell’s syntagms (the power of pictures and the pictures of power).

The situational context (2000 Romanian election campaigns) seemed to be the perfect embodiment of the picture of power, whereas the mise en image of the two (non)verbal discourses proved to be the power of pictures through the strategy of intertextuality which seems to become very powerful especially if it manipulates some images reminding of one’s childhood. Analyzing the “mental imagery transfers” between the discursive partners (the wolf and two political candidates) in the two Romanian mise en image, the following conclusions could be reached:

- Theoretical concepts such as “blending” or “cognitive flow”, from cognitivism and semiotics, can solve the understanding of the metaphorical reasoning behind some rather peculiar mappings (OPPONENTS = WOLVES, C.V. TUDOR = JESUS; ION ILIESCU = GRANNY)
- The critical distance within the concept of parody is achieved through the discursive manipulation of the natural umwelt of wolves and of the technique of representing some level of reality (cartoons as inter-texts).
APPENDIX 1 (Corneliu Vadim Tudor versus political opponents)

You know very well that never have we lied to you, and that for you we are ready to climb/walk up the Golgotha Hill of revenges and of "political police", the crucified cross on our backs, having no rest and no inward satisfaction. [...] Most of those who keep begging for your votes, in sham/ fake voices, are but the Wolf from "The Goat and her Three Kids", which hardly wait for you to open the door in order to swallow you up immediately. Do not open the door to thieves, impostors/humbugs, and mafia gangsters. (our transl.)

APPENDIX 2 (the Democratic Party versus Ion Iliescu)

A fairy-tale - Little Red Riding Hood – 2000 version

Characters:
- “Alegătorii” = voters
- “Tinerii PD-îști” = The DP (Democratic Party) Youth
- “Bunicuța” = Granny. This character is often associated in Romania with Ion Iliescu, the leader of the Social Democratic Party of Romania. Ion Iliescu was a candidate for Presidency in 2000.
- “Primar General” = Mayor. Traian Băsescu, a member of the Democratic Party, became the Mayor of Bucharest in June, 2000.

Lines:
- “Oamenii mătale de ce nu sunt la fel de tineri și bine pregățiți ca cei din PD?” = “Why aren’t your people as young and as skilled as those from the DP?”
- “A?!” = “What?!”
- “Eu am venit la Primărie, ei vin acum la Parlament.” = “I came to the Town Hall, they are coming now for the Parliament.”

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The ‘Death of the Intellectual’ and the Discourse of Supersedence

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Keywords: intellectual, discourse, etymology, history, signs

Abstract: The paper focuses on the status of the intellectual and his/her function in the society producing or neglecting such a cultural role. The method of investigation is based on:

a. the semiotic approach offered by John Deely (2005: 73) who considers that “what distinguishes the human being from the other animals is that only human animals come to realize that there are signs distinct from and superordinate to every particular thing that serves to constitute an individual ... in its distinctness from its surroundings”;

b. Lacan’s theory of the ‘four discourses’ (Evans, 2005: 95-97), particularly the discourse of the master and that of the university;

c. the strategies offered by cultural studies;

d. the diachronic perspective of the topic applied to English literary texts (particularly to John Fowles’s The French Lieutenant’s Woman, 1967), having as a background Charles Darwin’s Origin of Species (1859).

Starting from the hypothesis that an intellectual is the holder and ‘trumpet’ of new ideas, we want to show the reasons why such a cultural type is in full swing in some ages or in full neglect in others, and the effects produced on the society (un)breeding intellectuals. The ‘discourse of supersedence’ brings to surface, on the one hand, the power of the intellectual to metamorphosize him/herself in order to react and respond to the needs of an everchanging society, and, on the other hand, an intellectual’s relations with power and the way such relations are viewed and turned into discourse. The ‘death of the individual’ and the rise of an institutional structure with its specific language(s) are elements that build up an intellectual’s identity as a discursive effect within culture.

I. Introduction

I.1. Why such a topic?

This attempt to write a paper on intellectuals, on their metaphorical death, or better said, apparent absence (translated into visible active participation), starting from and always bearing in mind a literary (The French Lieutenant’s Woman, 1967), containing, in its turn, the tenets of a scientific (The Origin of Species, 1859) text, may seem strange. It is neither a sociological, nor a historical or psychological study. It is much more restricted, but nevertheless, deeper in focus as it raises one aspect issuing from a literary discourse produced one hundred years later than the span of time devised in the novel (1867 – 1869). This aspect refers to the foregrounding of one cultural type – that of the intellectual – within the Victorian social, political and cultural frame. ‘Perching’ on the shoulders of the
20th century (as Julia Kristeva may have said), allows Fowles to look deep down into the layers of time, to pose questions and try to find answers concerning the supersedence of the species called intellectuals. Such a game of question-and-answer left for the reader to unriddle unsolved problems raises another challenging issue: the function of literature as seismograph. Fowles shows that it [literature] is the most sensitive instrument of measuring the infinitesimal changes taking place at the level of the human mind, of development of ideas, of the subtle phenomenon of progress emerging from failure and error. Why *The French Lieutenant’s Woman* particularly and not another novel by Fowles? There are several reasons, that, may turn, indirectly, into a plea for a perceptive reading, which proves again that a literary text catches nuances left otherwise untouchable:

- it scrutinizes the Victorian world through the lens of the 20th century: by creating an invisible bridge between present and past (as the world of the novel encompasses several ages with their own system of values), it reveals how different societies (Victorian and modernist, for example) “have understood [themselves] when subjected to the litmus test of dropping the term ‘intellectuals’ into its public debate”;
- the literary discourse with its use of connotative language, besides its task of conceptual analysis (through metaphors), makes possible the emergence of significations from different and diverse perspectives; thus, the symbolical act of *putting to test* by positing an intellectual on the counters of a market turns such a cultural type into an exhibit-as-product item belonging to a specific culture within a specific historical context and occupying a certain hierarchical position; from a discursive point of view, the change from symbol, through metaphor, to irony registers the shift of paradigm operating at the level of mentalities from the 13th to the modernist and postmodernist eras;
- the novel also emphasizes the idea that it is through literature and within its confines that the oxymoronic pattern/model of an intellectual’s place in society may be more clearly understood: a model which interprets the performative act of an intellectual as bound-free; hence the ironic mode of the Fowlesian discourse which best illustrates how “the question of intellectuals has been posed and answered in Britain in the course of the twentieth century” (Collini 2006:7) and how to pursue the rise and fall of a *cultural species* through the judging of failures;
- the text also sends to what might be called ‘an intellectual’s pursuits’ in the Victorian society (science and religion, literature, the fine arts and travelling) and who they may be undertaken by (men rather than women);
- it also shows a term’s struggle to survive within a discourse of ‘masters’/snobs/gentlemen; thus, it is not only a species that is put to test, but also language itself;
- the text suggests the answer to how the problem of intellectuals is posed in the Victorian world and the way it may be pursued by modernists; that is why, the structure of this paper is built on the model offered by Fowles’s novel: from etymologies, through an indirect act of naming (defining by traits, by what it is not, yet, without using the denominator ‘intellectual’), to relations, hierarchies of value, habitat (the mind as habitat and battle-ground for opposing influences and conflicting ideals).

### I.2. Etymology

The analysis of a name and the search for its etymology is both a way of fixing somebody’s or something’s existence in time and the possibility of recording distinctive traits which differentiate items among themselves and of mapping a specific pattern for that name. Such an exercise (particularly with the creation of the concept of *intellectual* as

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a common denominator explaining discoveries in the domain of knowledge) means an ever new changing of frontiers, an act which coincides with the dynamics of enlarging perspectives and of deepening the levels of understanding.

It is interesting that Fowles’s text takes the reader to the medieval times with the mapping of the concept’s major trait, that of search, of the desire to discover new things able to generate new hypotheses. The etymology of intellectual, used as an adjective (= a quality of something), goes back to the ME [ad.L. intellectualis, f. intellectus] and displays the following significations: 1. of, or belonging to, the intellect or understanding; that appeals to or engages the intellect (1834); 2. apprehensible or apprehended only by the intellect; nonmaterial, spiritual; ideal (1711); 3. characterised by or possessing intellection or understanding; intelligent (1797); possessing a high degree of understanding; given to pursuits that exercise the intellect (1819). As a noun, intellectual denotes 1. the intellectual faculty; the intellect, mind (1667); 2. used as a synonym to intellect (1615); 3. (pl.) things pertaining to the intellect (1650); 4. an intellectual being; a person having superior powers of intellect (1652); used in syntagms such as ‘a dinner of intellectuals’ in 1884.

Thus, an intellectual is the being possessing the quality of apprehending something at a higher level of understanding than any other being. The idea of hierarchy is implicitly contained in the denotative definition when admitting the existence of levels of understanding. It is exactly what Fowles’s discourse on the rise and fall of intellectuals refers to. There are two reasons for his going as far back as the 13th century for tracing the history of such a cultural type: the first is given by the social and historical circumstances of founding the two universities in England, metaphorically conceived as ‘cradles of knowledge’, and by the effects such intellectual spaces can produce upon human minds; and, the second, refers to the possibilities (offered by the diachronic perspective, and using the instruments offered by the semiotics of culture) of recording the changes which give rise to new hierarchies built up on a system of values which every great age creates in consonance with the level of knowledge attained. Thus, as the Fowlesian discourse shows, every development in ideas is a rebellious phenomenon as it aims at obtaining an ever more accurate picture of the changes in the domain of knowledge and in the development of reality; which means that every such picture is superseded by a set of higher values supported by the new ideas discovered by all those endowed with superior powers of intellect. And it is not by accident that Charles Smithson – the character in The French Lieutenant’s Woman – is a 19th century paleonthologist in search of tests hidden beneath layers of history. The etymology of the paradigm test and its being used ambiguously in the text reveals the novelist’s strategy: that of studying the validity of an age’s system of values with special lens. Hence the discovery that supersedence is supported by what Peirce calls “an infinitesimal” tendency to change and diversification. It is this unobservable disposition to move, to turn direction, to diversify,

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2 The etymologies belong to Oxford Dictionary on Historical Principles. The act of digging up for etymological roots is offered by the novel itself: Charles Smithson is in search of testa, which is a strong opportunity for the narrator to trace the dynamics of the word.

3 Oxford University was granted its first official privileges in 1214; Cambridge University was established in 1284 (apud the New Penguin Encyclopedia, edited by David Crystal, 2002).

4 Fowles’s discourse also contains questions concerning the (im)possibility of acquiring knowledge only through the data offered by reason. Are learning and logical thinking enough to reach a level of understanding the changing phenomena in reality, or is there necessary a certain amount of subjective experience or religious faith in order to respond to the needs of an individual in a specific age and to act according to the principles and values established by that age.

5 For the use of lens (the lens of a microscope and of a telescope) as a narratological strategy to demonstrate hypotheses see Cmeciu 2002.

6 In “On the Notion of Reality as Changing” (apud Kallen 1953:116), William James explains the paradoxical nature of this paradigm which is the brick of the Victorian discourse of change: “The mathematical notion of
which is the cause of the researcher’s testing and being tested at the same time, of observing and being observed, of changing something and himself in response to all the alterations encountered during the act of demonstrating new ideas; all these traits merging into a possible portrait of the intellectual as perceived by a 20th century narrator who might be Fowles himself.

Leaving behind the career of a gentleman, Charles Smithson turns into a ‘queer species’ – one that manifests itself by using his mind to ask and answer questions on a variety of different ideas - as far as he seems interested in searching for, observing, studying extinct creatures and in reflecting upon the causes and effects of change or in trying to obtain a spiritual profit, rather than a material one, out of all his queries.

I.3. A brief history (through a growing lexicon)

The 13th century seems to be dominated by the nominal paradigm of ‘sages’; the Renaissance by that of ‘scholar’, or encyclopedic mind, and, starting with the Enlightenment onwards, the semantic field includes names such as: moralists, ‘men of letters’, ‘men of ideas’, ‘men of thought’, thinkers, ‘cultivated men’, with new additions towards the end of the Victorian period and during the modernist age: men of culture, observers, critics, commentators.

The French influences are to be observed in the syntagms ‘men of …’, while Charles Smithson’s American adventure unfolds to him the possibilities of ‘learning’/finding out that an intellectual activity may be seen as trade. And yet, the noun ‘intellectual’ first comes into use at the end of the 19th century as a term denoting the defenders of Dreyfus (Collini 2006: 21) and as a response to a new social and political context, “involving a structural change” in the (French) society. Thus, the presence of a term in the vocabulary of a community at a certain period of time is a ‘linguistic birth registration’, which, semiotically, coincides with the putting into discourse, that is, with an act of communicating something according to codes, and with the existence of (a Peircian) representamen, interpretant and object.

The absence of the term in the novel and the use of other terms, such as researcher, scientist etc. shows, from the very beginning of the text, a fracture in relationships established between such ‘men’ and the public at large, a slowness in accepting structural changes, although the reader is told that “another wind was blowing in 1867”. Lack of communication, contempt, recording of different needs and pursuit of different ideals in a trade society map a discourse of Darwinian struggle to exist both as individual and as symbolical representation of a group in search of strategies to show the others how superior knowledge can be shared for the benefit of all, or, on the contrary, what disadvantages it may bring about if codes are misunderstood. Charles Smithson becomes a demonized figure alleged to pursue either the little goals of Ernestina Freeman, a prisoner of Victorian market needs, and, thus, turning into an extinct species, or to follow the high ideals of the liberal new woman Sarah Woodrough, and yet, get confused with the blindness of principles he cannot change and thus, ending by being left at crossroads not knowing exactly which way/direction to choose/to go along. It is this struggle of trying to find the true voice of expressing and communicating new needs which Fowles studies and poses as the problem of intellectuals alongside with the emergence of the term to signify it. In other words, does it remain for the reader to scrutinize histories of need and change and give a name to defenders of new ideas?

an infinitesimal contains, in truth, the whole paradox of the same and yet the nascent other, of an identity that won’t keep except so far as it keeps failing, that won’t transfer, any more than the serial relations in question transfer, when you apply them to reality instead of applying them to concepts alone.
II. What is an intellectual?7

Before trying to answer the question and define the term, we should remember that the latter half of the 20th century, particularly the decade when the book was written (it was published in 1969) witnessed a greater interest in the function and duties of intellectuals. The mere enumeration of some titles shows the climate which favoured Fowles’s interest in tracing the evolution of such “a rare species” in the course of time:

- on the one hand, we should mention at least two titles belonging to the 20th century: in 1969, John Gross published *The Rise and Fall of the Man of Letters*, a man of letters whose life and career shaped the cultural sphere in England from the 18th century through the Victorian into the modernist age; in 1966, Sartre8 delivered a series of lectures, focused on the nature and role of the intellectual, and known as *A Plea for Intellectuals*, which begins with the question “What is an intellectual?”;

- on the other hand, the concern shown by a host of Victorian writers, philosophers, critics, editors (Carlyle, Arnold, John Stuart Mill, Leslie Stephens) about the field of activity of ‘truth-seekers’, men of science/of culture/of letters (or whatever name they are known by in the Victorian culture), a concern made public in articles for reviews, journals or other writings. The major issue is ‘the putting of the researchers’ principles and theses to the test’ of ‘practical authority’.

Here is John Morley’s opinion on what modernists define as ‘intellectual’:

“Though England counts her full share of fearless truth-seekers in most departments of enquiry, yet there is on the whole no weakening, but a rather marked confirmation, of what has become an inveterate national characteristic, and has long been recognized as such; a profound distrust, namely, of all general principles; a profound dislike, both of much reference to them, and of any disposition to invest them with practical authority; and a silent but most pertinacious measurement of philosophic truths by political tests. The most obvious agency at work in the present exaggeration of the political standard as the universal test of truth, is to be found in some contemporary incidents. The influence of France upon England since the revolution of 1848 has tended wholly to the discredit of abstract theory and general reasoning among us, in all that relates to politics, morals, and religion.” (John Morley, *On Compromise*, 1874, apud Collini 2006:73-74)

With all this in mind, what is Charles Smithson when studied with the microscopic and telescopic lens of an intellectual9 like John Fowles?

Chapters are dedicated to defining him by displaying his characteristic traits, and yet never forgetting that, beneath the surface, there is a span of one hundred years’ time

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7 For the modern senses of the noun ‘intellectual’ and its definition, see Collini 2006:46-48, who considers that there are three major classificatory criteria: sociological (an intellectual being a member of an occupational group, such as: professors, writers, journalists, government workers, and the like; this meaning, corresponding to *intelligentsia*, shows a “new class” whose function is to advance common interests in and for modern societies); subjective (the term is used to identify persons with interests in books, ideas, and intellectual debate) and cultural (an intellectual is that person who possesses intellectual authority on the basis of achievements or appointments and who tries to use that authority to the benefit of the broader public on subjects that go beyond their domain of activity). It is this type of authority, allowing them to be the possessors of a cultural capital (Bourdieu), which identifies intellectuals as a cultural type distinctive not only temporally but also spatially, and which has given rise to debates over how and for what ends such authority should be used).

8 John Fowles’s interest in French literature and philosophy is well-known.

9 Although the paradigm ‘intellectual’ is not used in the text (as shown above, it was introduced in the late 1890ies), there are its distinctive traits as a mix emerging from both character and narrator which allows us to show that the concept existed, and that the use of a word or another sends to the dynamics of referents superseding one another in order to signify the changing relations within a society.
against which the infinitesimal changes of reality and those of a subjective creative self have been recorded.

He [Charles Smithson] “liked to think of himself as a scientific young man” interested in palaeontology, and who “would not have been too surprised had news reached him out of the future of the aeroplane, the jet engine, television, radar: what would have astounded him was the changed attitude to time itself.”(p.15.); while, as if *sworled* around 1867 as temporal axis, projected into a long time ahead, and reflected in a mirror, the narrator-intellectual’s concern encompasses a mix of abstract philosophical approach to time with a tendency to ‘use’ it for practical purposes. The sense of lack of time and of overcoming it through producing something, such as writing, for example, carries with it the intellectual’s fear of “inner nothingness” (what Fowles names as *nemo*, the Latin word for *nobody*), a state of mind alleviated by religion. It is within the confines of religion, science, philosophy and writing that the *whatness* of an intellectual could be defined. Starting with discovering data offered by geology and palaeontology – “the reconstruction and dating of fossils being two vital acts to the evolutionary argument”¹⁰ – an exercise introducing science as intellectual discipline to both Charles Smithson and to Fowles the narrator, the two ‘truth-seekers’ continue to dig up the temporal layers until finding solutions for subduing time. The gradual shift of paradigm from religion to writing, the latter building itself up on the findings of the other three mentioned above, is observed in the text in terms of a dynamic hierarchy of values slowly changing in the course of one century.

It is interesting to observe that the semantic field of the intellectual contains two important verbs: *to look for* and *to look at*. They circumscribe the territory of an intellectual’s activity: the former, which “I”, as Fowles said in an interview taken by V. Dupont, “vaguely attach to science, wanting to increase scientific knowledge”, maps the quest of an ideal in life; the latter, “in a full sense of existential awareness of the now” (the same interview), reveals and displays the art of observing and reflecting upon the acquiring of knowledge by magnifying the “sense of existingness”, of never dying, of living intensely through the very act of producing something. The two verbs map the bourns of an intellectual’s identity; hence, the large amount of synonyms for the latter and its very frequent use.

Charles’s ‘asking life too many questions’, his experiencing of time, his accepting that knowable reality means the reality of self-perception, the narrator’s searching for “time’s signature over existence”, the strategies of reflecting lens and of flexible endings, all are signs which identify an intellectual’s struggling to establish relations which might place him/her in a position of power.

We may define, then, a Fowlesian intellectual as the being who gains, or strives to gain, the knowledge of how to make life endless, in order to give it a potential value by attaining, or failing to attain, certain ideals of knowledge, of beauty or of power.

**II.1. Distinctive signs/Attributes**

What distinguishes one intellectual from the other in the text is the way of thinking, the degree of curiosity, the fastness to take a decision and the responsibility of assuming the effects of the solutions given as answers to the questions posed.

But the text also shows that distinctiveness manifests itself through the interest in action, and in different activities. The idea of participation, of taking the initiative is supported linguistically by the relationships between modal verbs. The semiotic analysis of such relationships between modalities that qualify action (will to know and ability to reach knowledge and turn it into capital) and those that moderate action (must, shall, should) shows that they constitute the structure of the most meaningful pattern of an intellectual’s

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The ‘Death of the Intellectual’ and the Discourse of Supersedence

life (Johansen and Larsen 2002: 99). The game between will, knowledge and ability within the Greimasian pattern of qualifying modalities reveals the following possible types of action developed by the two males: a higher rate of deliberate (+will, +knowledge, +ability, +action), desired (-ability, -action, +will, +knowledge) and omitted action (+will, +knowledge, +ability, -action) for the narrator-intellectual; while for the researcher, there is a greater rate of erroneous (+will, +ability, +action, -knowledge), failed (+will, +action, -knowledge, -ability) and accidental (+knowledge, +ability, +action, -will) actions (apud Johansen and Larsen 2002: 100). Then, the fact that modalities such as must or should are mostly used when Charles Smithson is referred to, shows his dependency on established rules, his incapacity to live according to a set of codes fabricated by himself and imposed to others. The narrative strategies used by Fowles – of studying two types of intellectuals in action at a temporal distance of one hundred years, of naming them differently, which involves another reference, hence their power to represent and to become signs for somebody; or that of constructing a house of fiction with three exits/endings – are meant to show the importance allotted to openness, to freedom of action when referring to such a cultural product. The degree of openness of movement and of thinking confers more fastness to the process of understanding, of gaining knowledge and, consequently, of turning a researcher into a dynamic intellectual, into a more active participant to the process of producing something/signs in their capacity to create relations of representation. (Gadamer 2005: 477, 499).

The other problem which the study of this cultural type raises at this point of circumscribing its temporal identity refers to its turning into a tragic individual. Charles Smithson’s struggle seems dull; in spite of his desire to be free, to move freely, he lacks the ability to do so and his actions lack a dynamic flexibility based on spontaneous turns; his structural background, that of being a Victorian gentleman, makes him comply with the rules of comfortability; hence, the impossibility of rapid action which might produce deep structural changes. It seems that this is Fowles’s purpose: to define an intellectual by circumscribing his territory, his types of action, his desire to produce signs able to represent his endeavours as distinguishable from others (because every age creates its own species). The will to gain knowledge and the ability to alter strategies in order to restructure, reorganize and reconnect is an act not only of superior understanding but also of creating a new thing with each action done, an act of empowering the doer, by giving free way to several possibilities of action.

II.2. Roles performed by intellectuals

To translate Darwin’s ‘natural selection’/survival of the fittest into Fowles’s intellectual’s discourse means to trace the trajectory of a struggle which confers unto such a being the position of power and makes him play the role of subject, of producer of ideas, of consumer of exterior data in order to reshape them according to the needs of a community and to creatively manipulate those he comes to/wants to establish relationships with. It is the power to put into practice the ideas nourished by the mind, to make abstractization useful that turns Darwinian struggle into a profitable ‘affair’.

The following conversation between Foucault and Deleuze highlights the major issues of the discourse on intellectuals, with the further addition that a writer’s metaphorical language can better illumine things which otherwise remain invisible: “Foucault: The intellectual’s role is no longer to place himself “somewhat ahead and to the side” in order to express the stifled truth of the collectivity; rather, it is to struggle against the forms of power that transform him into its object and instrument in the sphere of “knowledge”, “truth”, “consciousness”, and “discourse”. In this sense theory does not express, translate, or serve to apply practice: it is practice. But it is local and regional, as you said, and not totalising. This is a struggle against power, a struggle aimed at revealing and undermining power where it is most invisible and insidious. It is
not to “awaken consciousness” that we struggle (the masses have been aware for some time that consciousness is a form of knowledge; and consciousness as the basis of subjectivity is a prerogative of the bourgeoisie), but to sap power, to take power; it is an activity conducted alongside those who struggle for power, and not their illumination from a safe distance. A “theory” is the regional system of this struggle.

Deleuze: Precisely. A theory is exactly like a box of tools. It has nothing to do with the signifier. It must be useful. It must function. And not for itself. If no one uses it, beginning with the theoretician himself (who then ceases to be a theoretician), then the theory is worthless or the moment is inappropriate. We don’t revise a theory, but construct new ones; we have no choice but to make others. It is strange that it was Proust, an author thought to be a pure intellectual, who said it so clearly: treat my book as a pair of glasses directed to the outside; if they don’t suit you, find another pair; I leave it to you to find your own instrument, which is necessarily an investment for combat. A theory does not totalise; it is an instrument for multiplication and it also multiplies itself. It is in the nature of power to totalise and it is your position, and one I fully agree with, that theory is by nature opposed to power”.11

II.3. Positions

Scholars, men of science, intellectuals – whatever their name might be – have been given a privileged position. The paradox here arises from the fact that such a position is given either by the people they ignore, or despise (for the latter’s lack of knowledge), or they themselves claim to be regarded with respect for their learning, for their superior power of understanding, a tendency which is tinged with selfishness and leads to self-isolation. It is a kind of oxymoronic structural relationship, an embrace-reject attitude which carries with it the division of the people into two: the few educated and the many uneducated, the high- and the lowbrow, the élite and the vulgar, the lighted, the illumined minds and the invisible, unknowable, the master minds and the slaves. It should be observed that the latter item of these syntagms is metaphorically associated with food, or with places where food is prepared (particularly the kitchen). The most striking result of this cultural division is the ironic or negative resonance which the term ‘intellectual’ has. The taking of power is at stake again: Sam’s gradually usurping the position of his master is an example in point.

Lacan’s theory on the four discourses12 (of the master, the academic person, of the hysterical and of the analyst) provides the elements which support the changing of positions according to relationships, the (im)possibility, (in)ability to satisfy certain needs or to reach some ideals, but, above all, it poses the problem of the discourse, which presupposes the existence of the Other, and of the structure of language which contains and gives linguistic expression to the type of relations establishing themselves between the intellectual and the others. The algorithm which represents each discourse contains four symbols in an equation: $S_1 =$ the signifier master; $S_2 =$ knowledge; $S =$ the subject; $a =$ surplus of pleasure.13

The discourse of the master, characteristic of Charles Smithson’s Victorian age14, gives the dominant position to the master $(S_1)/$the educated, aristocratic gentleman,

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11 ‘Intellectuals and Power: A Conversation between Michel Foucault and Gilles Deleuze’, (1972). Trans. in LCM.
12 For this part of the paper, we used Lacan’s Écrits (1966/1977), Evans’s Dicționar introductiv de psihanaliză lacaniană (2005), and Soler’s What Lacan Said about Women. A Psychoanalytic Study (2006).
13 We prefer the term pleasure to jouissance, in order to emphasize the cultural rather than the psychoanalytical approach to discourse.
14 Although the two years (1867 – 1869) which constitute the span of time of all the events in Smithson’s life are meant to mark the transition between one mode of thinking and another: from the (apparently) stable, coherent, organized Victorian pattern of life to the flexible, incoherent, ambiguous modernist model of existence.
playing the role of researcher, of seeker of tests, which represents the subject (S) (symbolically written under S1) for other signifiers (S2). This act of investing the master/subject relation with meaning, always involves a surplus, an objet petit (a), which turns the master’s attempt to communicate full possession of the others to failure. Thus, we can say that Smithson’s discourse hides, beneath it, two important aspects: the splitting of the subject (hence the quest for the true self) and the surplus (of work, of pleasure, of knowledge, of information, even of desire) which is fought for by both the seeker of tests and the seeker of material satisfaction (Sam, the servant).

\[ S_1 \rightarrow S_2 \]

\[ S \rightarrow a \]

The discourse of the university, characteristic of the intellectual-narrator, is created/produced through a quarter counter clockwise rotation of the positions in the previous discourse. The dominant position is allotted to knowledge of and by the other. It signifies the position of other(s) as signifier for master which represents the subject; which means that no matter how neutral the sharing of knowledge might seem, and no matter the social frame wherefrom it is imparted to, there is always an authority imposing its will, this time, the authority of S2 to whom knowledge is shared. Knowledge, science, the attempt to understand the phenomena outside and the crises inside are characteristic of the seekers of answers to doubts, to questions which, most often, remain unsolved, or appear as riddles left to others to guess their meaning.

\[ S_2 \rightarrow a \]

\[ S_1 \rightarrow S \]

These two algorithms constitute, in our opinion, the structural backbone of Fowles’s text, and foreground the cultural aspects of the questions of and on intellectuals; in other words, how their identity is construed.

The study of an intellectual’s positions within his discourse reveals that the success or the failure of his endeavours is based on both exterior relations (his dependence on the others’ attitude towards him) and inner relations (exerted by the other representing the effect which the language that is addressed to him, by another subject that comes from the past, from another temporal position, working either as a cultural heritage or a personal experience has; hence the burden of so many hundred of years marking the existence of an intellectual). Language renders these two types of relations through metonymy (a combination of signifiers, a series of cause-effect interdependence seen at the level of having or trying to take power) and through metaphor (as a substitution of one signifier for another, which means that through a metaphorical operation, something of the first signifier passes to the signified producing a positive ‘meaning-effect’, as Lacan calls it and symbolically shows it with a +). This metaphorical supplement of meaning and metonymical negative/minus meaning-effect, looked at the level of roles and positions may explain the desire of the intellectual, belonging to any cultural age, to change the status of object into that of subject. From watched, observed, scrutinized, from obeying the orders of others, although apparently situated high up on the social rung, the intellectual struggles for free movement, free thinking and free participation in a natural habitat, a desire which is translated through modalities of qualifying action, through states expressing perceptual awareness, or through verbal constructions rendering reciprocal transference. The game

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15 The first epigraph of The French Lieutenant’s Woman, is taken from Thomas Hardy’s poem The Riddle (with no year mentioned). The last two epigraphs belong to Martin Gardiner’s The Ambidextrous Universe (1967) and Matthew Arnold’s Notebooks (1868). From unriddling the signification of ‘true piety’ (does it mean acting what one knows?) to “Evolution is simply the process by which chance (the random mutations in the nucleic acid helix caused by natural radiation) co-operates with natural law to create living forms better and better adapted to survive.”, we, as 21st decoders of communicative algorithms, observe, while looking at them, that the process of sharing knowledge records the traces of an evolution of the discourse of cooperation whose major purpose is the manipulation of new ideas.
of roles and positions, supported by the structure of language, displays, at the deep level of discourse, the act of supersedence, a type of Darwinian natural selection, of survival of the fittest\(^{16}\) signifier producing its signifieds; and, at the surface level, or in between, the struggle of the intellectual to change his position as object into active roles played by the subject.

III. The ‘death of the intellectual’

We have already shown that by producing and expressing ideas, intellectuals play with power; that is, by fighting against its different forms of manifestation, they try to take it. So, the ‘co-operation’ which the verb ‘to share’ includes in its semantic sphere is only apparent because, as Foucault’s algorithm discloses, there is always the other’s desire to manifest authority over another position in order to impose ideas = their power onto sharers of knowledge. Becoming both creators and critics of authority and of ideology within this process of co-operation, intellectuals, metonymically seen as a series of manipulators to be manipulated, turn into a species that is ‘for sale’ (the display of knowledge on the counters of a market uses the product and leads to its metaphorical extinction) in Victorian markets or ‘for public exposure’ on the stage of institutions such as universities, law-courts, mass-media (newspapers etc). Either a subject to scandal, or a public person involved in a public performance which turns the stage into a political institution\(^{17}\) (Gadamer, 2006:141) “par excellence because only the performance brings out everything that is in the play ...”

By being publicly exposed, an intellectual is used, which means that he is subject to extinction; while struggling to take power he ends by being taken in its possession.

And yet, through his role of producer of new ideas, the intellectual is the abstract embodiment of the seeker, animated by the desire to know, and, consequently, to change. He is the ‘only species’ – Fowles seems to say – that possesses the power to see beyond a mere system of related entities (a surface relation of relatedness between subject and object, for example), which is a characteristic of common creatures. This idea sends us to Deely’s semiotic animal. For the American philosopher, “semiotic creatures [are] creatures which grow and develop through the manipulation of sign-vehicles and the involvement in sign-processes, semiosis” (2005:73) If every animal is a semiotic creature “able to survive and thrive only thanks to whatever semiotic competence it is able to manage”, then, what distinguishes an intellectual from the other semiotic humans?

Translating Deely’s theory of semiotic competence into the practice of Fowles’s text (also bearing in mind Foucault and Deleuze’s conversation on theory and practice), we can say that, as a mind-dependent being, an intellectual (with the will, the knowledge, the ability and the power to perform an action) is the only one “capable of distinguishing relations as such from related things or from objects observed.”(idem:74). Capable of developing a semiotic consciousness, the intellectual dies as ens reale, but is superseded by ens rationis when pursuing the quality of the sign “to function as an other-representation within semiosis” (ibidem) and when understanding the difference between (triadic) relation and the sign itself in its material or psychological manifestation.

\(^{16}\) The syntagm survival of the fittest was adopted by Darwin from Herbert Spencer’s theory to replace “his own natural selection and ‘fit’ in his sense [is] related to a given environment, not to an absolute scale of perfection.” (Burrow 1985:33).

\(^{17}\) Institution, taken semiotically, with the meaning of a signifying function. The stage, then, is instituted, an act which gives it its representational character.
IV. The discourse of supersedence

If the intellectual-narrator in Fowles’s text replaces the scientist through his capacity of apprehending the power of relations within the sign, relations which generate new other representations in the mind, then, we can say that he supersedes the traditional species through “an act of institution” that allows a free play of signifiers and signifieds, the latter being recognized as the effect of the former. Thus, the mode of being of an intellectual can be circumscribed in terms of “presentation and action of knowledge, which includes performance, image, commun(icat)ion and representation (Gadamer, 2006:145), a ‘presentation and action of knowledge’ which manifests itself only in and through language. If metonymy showed just a combination of signifiers – let us remember all the types of ‘men of ...’-linguistic structures governing the Victorian discourse – without any supplementary addition meant to keep the species alive -, metaphor, with its substitution operation, is asked to govern the discourse of supersedence. Thus, the concept of understanding is enlarged: it does not mean only the decoding of past texts, but the apprehending of the essence of all phenomena of evolution through the meaningful presence of the signs located in the past (Gadamer, 2006:158). An ever new identity of the intellectual-narrator (linguistically expressed through metaphors: a telescopist, a Maker, maker, an Isis hid by the veil, a transposer, the freedom that allows other freedoms to exist etc.) shows the power to metamorphosize, a power which is given onto him when becoming the possessor of a cultural capital (Bourdieu 1985), which is but the superior understanding of how time works, of how it plunges some thing into oblivion or projects an-other thing into the future, or how and what it digs up from such distances to offer it as a model/reason for change. Hence the six hundred years’ distance needed to prove that a mind-dependent being cannot die. One name supersedes another definition when knowledge is not spatialized through names belonging to the same category as if in a series on a production line; when it is dug up, searched for through past and future to be raised to a meaningful present surface, then, transference of meaning to an-other representation within semiosis (rendered through challenging ideas), makes the species survive.

References

A Spatial Approach to Characters in Henry Fielding’s The History of Tom Jones, A Foundling

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**Keywords:** space, design, convenience, harmonizing, character, anti-hero, spatial idiom

**Abstract:** The paper presents the literary character as a spatial entity, having as a starting point Simon Varey’s study *Space and the Eighteenth-Century Novel*. Our aim is to show that we can learn about a human being’s personality features, designs, interests, plans, mental or emotional states not only by focusing on that person’s behaviour, language or gestures, but also by analysing his/her external appearance. In fact, it is the exploitation of the ‘man is a building’ theory, according to which humans could be architecturally invested with (or, better said, analyzed from an architectural point of view) features and concepts generally associated to natural or artificial spaces (like gardens, rooms, buildings, cities, etc.) Studying the 18th century literature we observed that Henry Fielding characterised his characters as spaces, using language referring to architectural elements. Additionally, by emphasizing the external aspects of the characters, the author subtly points to their inner characteristics.

1. **Characters as space**

Since Fielding is constantly interested in weaving a complex, well-knit plot, he obviously proves to be a masterful designer of the narrative structure, too. We can observe his skill from the very beginning of the novel when he establishes a close relationship with the readers and presents the novel spatially, as a restaurant (a ‘public ordinary’, p. 23). This close relation is maintained all through the novel\(^1\), in the introductory chapters to each of the 18 Books or in the commentaries while accompanying the characters on their journeys in the countryside or in urban areas.

The book is, in turn, a feast (p. 23), a history (p. 119), a ‘heroic, historical prosaic poem’ (p. 120), a great ‘design’ (p. 425) or a journey (p. 427). However, on the whole, the literary work is an intricate ‘design’ made up of parts forming a whole with distinguishable internal and external features; therefore, the novel itself resembles a spatial entity. This

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\(^1\) We will also argue – in a future paper – that the reader turns into a cultural type, one that is not only characteristic to the 18th century, but a universal one.
space should manifest a harmonious relationship between the interior and the exterior so as to fulfill its original function and not to acquire a different, atypical function. S. Varey focuses on two major elements as part of the architectural idiom, elements that can be identified in Fielding’s treatment of space in his novels: design and convenience\(^2\), where the convenience principle implies the existence of harmony or the lack of it between the external and the internal features of a space.

The book contains references to real or imaginary spaces but it also turns into a space inhabited by characters and places. This microcosm is the expression of a space which, in order to fully convey the proportions of a well-designed space, must exhibit equilibrium between all its components. Thus, the narrator warns the readers and the professional critics not too hastily to condemn any of the incidents in this our history as impertinent and foreign to our main design, because thou dost not immediately conceive in what manner such incident may conduce to that design. (p. 425)

The book is definitely seen as a spatial unit, as a building in which the narrator had ‘crammed’ his ‘variety of matter’ (p. 763) just as people fill up their houses with objects, so that, in the end, the narrative observations will leave room only to events. But then, the novel uses space not only to express narrative organization (the work as a complex design), but also to provide the portraits of the characters inhabiting the fictitious world. We will analyse instances where the characters are metaphorically identified with buildings, cities, or they are characterized by means of language generally used to refer to buildings. Human beings are therefore analogous to houses where external features can be consistent with internal furnishings or not\(^3\). Consequently, we will analyse the relationship between interior and exterior features or between psychological and physical ones as seen in character portrayal as an instance of Fielding’s use of architectural language. Characters are spatially conceived in terms of outer appearance and inner space and the readers are helped to distinguish between real motives and disguised intentions, truth and falseness, hypocrisy and good will, and so on.

### 2. Characters and typologies

As we mentioned, the author himself repeatedly acknowledged in the novel that, whatever the person, one must seek behind a veil to see if the appearance matches the inner world. This exercise is useful to see if the convenience principle is realized and this leads to a grouping of the characters in some major categories, like: false heroes or villains (Blifil) vs. heroes (Tom), according to Vladimir Propp’s classification (see Cmeciu 2003: 24), princesses (Sophia Western) vs. their fathers (Squire Western) or victims (Sophia, Tom) vs. victimizers (Blifil, Mr. Western, Thwackum, Square)\(^4\).

In other words, from a moral point of view, the characters can be divided into good (Squire Allworthy, Sophia, Tom, Mrs. Miller) and bad characters (Blifil, Lady Bellaston, or even Squire Western to some extent). But the opposition seems arbitrary (Cmeciu 2003: 96) since human beings are not totally good or totally bad. Then, if we remember that the narrator professed to be writing truthfully (p. 119), to ‘keep within the bounds of possibility’


\(^3\) Varey, op. cit., p. 172 argues that the principles of architecture like design and convenience can be applied to individuals, too since ‘the geometrical proportions of architecture were derived from the proportions of the human body’.

\(^4\) Though the scheme may seem too simplifying, Cmeciu, Doina. 2003. *The Literary Character. Between Limits and Possibilities*. Bacău: Egal, p. 24, underlines the fact that one character may play different roles or, vice-versa, a role may be performed by several characters. It is this multiplicity of roles that will provide characters with psychological depth.
(p. 323) and ‘within the bounds of probability’ (p. 325), this means that, in his ‘heroic, historical, prosaic poem’ (p. 120), the author will try to avoid representing stereotypical figures and to come closer to real, verisimilar human beings.

If we think of Forster’s classification, it seems that Fielding’s characters are generally flat since they revolve around one main idea or feature and they can be easily recognized and remembered. Thus, they are ‘two-dimensional and predictable’ beings. (Cmeciu 2003: 97 – 98)

From a sociological point of view the character is either a type or an individual, that is a character associated with a single trait vs. a being with unique, diverse traits (id.).

Moreover, Fielding is the first writer ‘to have created historically marked social types’ (Cmeciu 2003: 100) in Tom Jones, such as: the wealthy country squire (Allworthy, Western), the Justice of Peace (Allworthy, Western), the innkeeper (a numerous group mainly exhibiting the same traits), the scoundrel (Blifil, Black George), the country gentlewoman (late Mrs. Western), the worldly gentlewoman (Aunt Western, Lady Bellaston), the frivolous decaying aristocrats (town rakes, Mr. Nightingale, or Lord Fellamar).

But these types are also significant from a cultural viewpoint since they shape and reflect the 18th century English socio-cultural realities and values, like: country gentlemen, justices of peace, scheming servants, doctors, painters, philosophers, pedagogues, fortune hunters, orphans, corrupt politicians and clergymen, emancipated women, etc.

In the Dictionary of Literary Genetics characters are seen as archetypes if they display primitive, general or universal traits which can be traced in any representative of the group. (Pârvu 2005: 15). From among these archetypal characters listed in the book (the hero, the orphan, the traveler, the warrior, the magician, the buffoon, the maid/ virgin, etc.), in Fielding’s novel we find a great number of travelers (most of the characters), the orphan (Tom, Blifil), the generous old man (Allworthy), or the virgin (Sophia). However, as the narrator underlines, Tom is not the typical hero, he is an anti-hero or a mock-heroic protagonist, one who does not function as a reproduction of moral or intellectual excellence. Fielding criticizes the other writers who create false images of reality at the expense of truthfulness and launch ‘models of perfection’ (p. 426). He rejects ‘inserting characters of such angelic perfection or such diabolical depravity’ (id.).

The main flaw of the characters seems to be a sense of ‘indiscretion’ (p. 5 in the Dedication) understood as imprudence, and the moral he wants to teach is that there certainly exist people driven either by good impulses or by mischievous ones but ‘it is much easier to make good men wise, than to make bad men good’ (id.). Recognizing the double nature of man, the comic mode also seems to be the solution to advocate ‘innocence and virtue’ through ‘laughing mankind out of their favourite follies and vices’ (id.). The narrator invites us in a world where good humour, harmony and plausibility are the dominant rules, the narrator utterly detesting ‘scurrility’ (p. 764) while journeying together with the reader in a ‘stage-coach’ (p. 763).

On a social level, Fielding proves that moral flaws or qualities are indiscriminately found in any man, no matter their social status (Macsiniuc 2003: 206). Allworthy persons (the very name of the naïve old squire Allworthy) can become cruel, philosophers can be hypocrites (Square), and the parson preaches malice. All the more, the very protagonist

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5 As we will analyse, Fielding’s technique is to state a general idea about humankind only to introduce, immediately after, specific, particular instances and examples working against the initial all-knowing verdict.

6 Doina Cmeciu, op. cit., p. 40, highlights that humans can become cultural types since they are encasulators of an age’s mentality and system of values.

has, as we said, nothing of a haloed good man; his flaws are revealed and he comes to learn from his own mistakes. As a young man, he was indeed a thoughtless, giddy youth, with little sobriety in his manners, and less in his countenance; and would often very impudently and indecently laugh at his companion for his serious behaviour. (p. 105)

In the introductory chapter to the last book (Ch. 1, Book 18) the narrator distances himself from the narrative world after handling the events and the characters, aware of the fact that these very characters and events will be those that ‘will most probably outlive their own infirm author, and the weakly productions of his abusive contemporaries’ (p. 764). From this perspective, the characters can also be defined as the creative productions of an artist, and his works, contrary to the fate of the human being, are eternal.

3. A spatial approach to characters

As ‘mediators between the reader and the text’ (Cme ciu 2003: 6), as ingredients of the narrative world, the characters are directly or indirectly portrayed, that is through descriptive language or through the characters’ speech, action or behaviour during the course of events.

Description is the main narrative modality that realizes character portrayal (Colipcă 2005: 103), which implies a focus on different parts of a being according to the narrator’s interest: details about the head, the body, specific marks, way of dressing, attitude, moral features, personal history, idiosyncrasies, curiosities, etc.

Fielding makes brief, straightforward portraits of people belonging to various social classes so as to create a comprehensive map of the contemporary society. The character portrayal is always added new elements so as not to waste too much time on static scenes at the expense of action; on the other hand, the narrator also conveys a sense of suspense and mystery. Thus, in building the picaresque narrative, the narratorial eye must focus on the accumulation of events which will subsequently mirror individual psychology. At the same time, 18th century authors were interested mostly in ‘conveying a moral, didactic message which required stress on mobility and action’. (Colipcă 2005: 104)

As examples of living human beings, the characters are invariably portrayed as entities with internal and external attributes; if coming back to the starting assumption that characters are spatially pictured in terms of in vs. out, then our main concern will be to analyse excerpts where such instances are clear. We will see if the characters in the novel under study are harmonious or non-harmonious spaces/buildings.

At the same time, if we take into consideration Bacon’s assertion that man was a ‘microcosmus’ (Cuddon 1998: 126) or the little world, then the fictional characters are examples of microcosms within the larger macrocosm represented by the novel encasing them.

Squire Allworthy, a rich country gentleman and a JP, is apparently the embodiment of all worthiness although what the narrator wants to suggest is that perfection with humans does not exist. As a proof, Allworthy dispossesses and mistreats Tom while favouring the villain Blifil all through the novel. In his description we can find an ironic use of language suggesting the clash between appearance and true nature:

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8 S. Varey, op. cit., p. 164, considers that the main characters in Tom Jones and Joseph Andrews are only ‘hierogryphical representations’ of people. From this perspective the critic sees the characters as examples of a human type, but not as too complex people. But though they serve as examples or replicas of typologies, Fielding continuously states his attempt to offer a slice of reality, examples of individuals, of individualities (and we can start from the very example of the title).

9 As men display both an external form and internal consistency, then they can be compared to the structure of buildings, too. The body represents the outer frame and the morals and the feelings represent the ‘inhabitants’ of that particular frame, or the ‘objects’ filling that space.
Nature may seem to some to have come off victorious, as she bestowed on him many gifts. (p. 25)

However, we may embark on our analysis starting from the protagonist’s remark which is applicable to most characters in the novel, with few exceptions:

‘Appearances’, cried Jones, ‘are often deceitful; men sometimes look like what they are not’. (p. 363)

Dr. Blifil and Bridget Allworthy are characterized by means of the same stylistic strategy: the narrator asserts something positive about the characters which they put on show outwardly, but then the narrative voice quickly shows the opposite which stands as the truth. Thus, some characters take pride in possessing wide knowledge, like Dr. Blifil. As he loathed his profession, books on medicine were almost the only ones with which he was unacquainted. (p. 47).

At the same time, he displayed ‘a great appearance of religion’ (id.) and engaged in religious disputes with Bridget who assumed a ‘grave and solemn look’ which was totally contrary to her true nature if we consider her secretly giving birth to a bastard, Tom. She has good knowledge of religious theories but she does not put them into practice:

To say the truth, she had read much English divinity, and had puzzled more than one of the neighbouring curates. Indeed her conversation was so pure, her looks so sage, and her whole deportment so grave and solemn, that she seemed to deserve the name of saint equally with her namesake. (p. 47)

Furthermore, the reader is warned that women are generally putting on a mask to conceal their real motives, as in Lady Bellaston’s case who ‘was a strict observer of all rules of decorum’ (p. 52). At the same level, the courtship between captain Blifil and Miss Bridget turns into a battle and he treats her as if she were a space to be conquered starting from the outside so as to capture the inside. And yet, everything, the whole relation is just a matter of form:

The captain made his advances in form, the citadel was defended in form, and at length, in proper form, surrendered at discretion. (id.)

The main difference between Tom and Blifil while living on Allworthy’s estate seems to be that between joyfulness (as a sign of a light heart) and somberness (as a sign of a cold heart). Tom is a kind and civil man but he disregards manners and whatever is related to outward display, while Blifil slyly flatters and praises both their pedagogues. In Tom’s case, there’s an accord between what he feels inside and its external manifestation, whereas in Blifil’s case his hypocrisy is hidden under the disguise of good will:

(1) Tom Jones (...) was not only deficient in outward tokens of respect, often forgetting to pull off his hat, or to bow at his master’s approach; but was altogether as unmindful both of his master’s precepts and example. (p. 105)

(2) Master Blifil, on the contrary, had address enough at sixteen to recommend himself at one and the same time to both these opposites (i.e. Thwackum and Square). With one he was all religion, with the other he was all virtue. And when both were present, he was profoundly silent, which both interpreted in his favour and their own. (id.)

As similar temperaments easily get together, Sophy preferred Tom to Blifil who, though seemed of a more serious character, looked too stern as if always brooding something against the others. Ironically, the space of Blifil’s mind remains unknown even for the narrator – obviously, only to show the permanent, unexpressive dissimulation on Blifil’s face – who often underlines the clash between Tom’s openness and Blifil’s moroseness:

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10 Notably, the name (Bridget or Brigid) sends back to the Irish abbess who was venerated in Ireland as a virgin saint and praised in miracle stories for her compassion. New Oxford Dictionary of English, Oxford University Press: electronic edition.
As he did not, however, outwardly express any such disgust, it would be an ill office in us to pay a visit to the inmost recesses of his mind, as some scandalous people search into the most secret affairs of their friends and often pry into their closets and cupboards (...). (p. 125)

Metaphorically speaking about the ‘great theatre of nature’ (p. 265) or the ‘theatre of time’ (p. 264), the narrator highlights the clash between the internal and the external features in men. He associates hypocrisy with performing as ‘actors’, acting turning men away from any trace of sincerity so that they have come to be only some masks (‘personas’). Falseness and concealing become the key-traits:

Some have considered the larger part of mankind in the light of actors, as personating characters no more their own, and to which, in fact, they have no better title, than the player hath to be in earnest thought the king or emperor whom he represents. (p. 264)

Inner feelings must sometimes be suppressed when they are irrelevant, as in Mrs. Western’s opinion while trying to force Sophia to formally ‘contract an alliance’ with Blifil (p. 269). A woman of the world, Mrs. Western equates her experience with the true values of marriage, focusing only on external marks. Therefore, for the ‘politic aunt’ (p. 270) the ‘frame’ is all that matters:

I think, to have seen the world, in which I have not an acquaintance who would not rather be thought to dislike her husband, than to like him. The contrary is such out-of-fashion nonsense, that the very imagination of it is shocking. (p. 270)

On the other hand, Sophia, though taught in the spirit of ‘prudence and discretion’ (p. 261), stubbornly rejects Blifil as she simply ‘hates’ him (p. 269). It is a rejection of being with someone whom she feels no attraction to, but the father and the aunt insist on pushing her in the business-like idea they have formed about marriage.

Blifil’s lack of a concordant blending of internal and external features is emphasized all through the novel, as he never revealed his true intentions, but he rather made use of ‘great art’ (p. 279) in covering them. In fact, he does not know how to court a woman and Sophia does not want to express her feelings, though this is due to an apparent social ritual as in:

(1) Her behaviour to him (...) was entirely forced, and indeed such as is generally prescribed to virgins upon the second formal visit from one who is appointed for their husband. (p. 279)
(2) Blifil having conveyed the utmost satisfaction into his countenance (...) (id.)
(3) (...) by endeavouring to hurry on so blessed an event, faster than a strict compliance with all the rules of decency and decorum will permit. But she might be induced to dispense with any formalities. (id.)

Sophia symbolizes Mr. Western’s estate and this is the main reason for Blifil’s metaphorically transforming Sophia into a piece of delicious, rare food to be engulfed, i.e. totally subsumed to his own being, to his only control. He had a ‘distinguishing taste’ (p. 280) which taught him to consider Sophia as a most delicious morsel, indeed to regard her with the same desires which an ortolan inspires into the soul of an epicure. (id.)

Additionally, Blifil artfully controls his feelings and is some sort of a dull, monotonous being, or, more probably, he controls the outward manifestation of what he feels inside:

(…) his appetites were, by nature, so moderate, that he was easily able, by philosophy or by study, or by some other method, to subdue them; and as to
that passion which we have treated of in the first chapter of this book (i.e. love), he had no tincture of it in his whole composition. (p. 229)

The food metaphor above refers to a space connotatively taken over by another: Blifil’s estate ‘eating up’ Western’s estate, or the game between Blifil and Sophia of constantly rejecting the idea of violating the other’s private space. The metaphor of the clothes employed by the Man of the Hill opens the way to new interpretations. It suggests the striking clash between falseness, hypocrisy and evil vs. true nature in humans. Verbs like ‘to display’, ‘to be equipped’, ‘to be dressed’ (p. 390) enhance this gap which greatly dishonours the ‘omnipotent Author’, God:

(…) going to a carnival at Venice, for there they will see at once all which they can discover in the several courts of Europe. The same hypocrisy, the same fraud; in short, the same follies and vices, dressed in different habits.

But human nature is everywhere the same, everywhere the object of detestation and avoidance. (id.)

As we underlined, the narrator does not waste too much time on detailed direct character portrayal, but rather advances the events and the actions so as to reveal the essential character-traits. Consequently, in Book 9, Chapter 5 the narrator suddenly decides to make up for saying ‘very little’ about Jones’ ‘accomplishments’ (p. 413). In contrast with other characters (except for Sophia) where outer countenance does not match the inside, what is particularly underlined in Tom’s case is a perfect equivalence between the two. In spatial language, he fulfills the ‘convenience’ principle at the roots of our analysis:

(…) so strongly was this good-nature painted in his look, that it was remarked by almost everyone who saw him. (p. 413)

The Man of the Hill detests humankind because of the deceptions and deceits he had met with in his life among men, and yet he senses that, considering his looks, Tom must be a good quality person, an opinion consistent with the narrator’s belief that Tom’s inner qualities are manifest on his outer aspect.

I have read that a good countenance is a letter of recommendation; if so, none ever can be more strongly recommended than yourself. (p. 363)

In fact, in the character of the Man of the Hill’s we can identify a blending between inner aspects and outer ones: he doesn’t care about outer conventions or regulations and puts on a wild appearance. He looks and feels like an untamed recluse because the world that he recreates for himself is a more primeval, pure one. To justify this hatred of humans even more, the narrator also brings forth the episode when the hermit is attacked by some villains even in this remote, solitary place, being rescued by Tom (p. 361). He is a Robinson Crusoe out of his own will, and yet not on a deserted island but among his fellow beings:

(…) it was an appearance which might have affected a more constant mind than that of Mr. Partridge. This person was of the tallest size, with a long beard as white as snow. His body was cloathed with the skin of an ass, made something into the form of a coat. He wore likewise boots on his legs, and a cap on his head, both composed of the skin of some other animals. (p. 362)

The Man of the Hill rejects some spaces preferring others generally avoided by the civilized community, and he turns the temporal dimensions upside down, too. Thus, out of the same desire to keep away from human company and what is specific to it, he twisted the common living in and through time: he spends the days sleeping and the nights walking and meditating (pp. 392 – 393).

Superficial or selfish persons cannot perceive or are not interested in this complementary relation body – soul; moreover, Mrs. Waters is only an instinctually driven person and her passion for Tom’s body is rendered by means of the food metaphor:
The beauty of Jones highly charmed her eye; but, as she could not see his heart, she gave herself no concern about it. She could feast heartily at the table of love, without reflecting that some other had been (...) feasted with the same repast. (p. 420)

Distinguishing people by their profession is not necessarily suggestive of their true nature. Additionally, the naming practice is not a clear evidence of what the person really is and the narrator uses suggestive names to challenge the readers’ judgment. These symbolic names hint at human types epitomizing a major inner trait, like, for instance, one’s obsession with money and garments:

(…) every person can distinguish between Sir Epicure Mammon, and Sir Fopling Flutter; but to note the difference between Sir Fopling Flutter and Sir Courtly Nice suggests a more exquisite judgment. (p. 426)

Mr. Fitzpatrick is ironically characterized in terms of his ‘handsome’ appearance (p. 451) and his ‘handsome fortune’ (p. 433). The narrator emphasizes the contrast between what he shows and what he really feels, between how he was in the past and what he became. The narrator finds excuses for him, softening his wife’s complaint by revealing that, on the whole, he has a good nature:

(…) for he was really born a gentleman, though not worth a groat; and, tho’, perhaps, he had some few blemishes in his heart as well as in his head, yet being a sneaking or niggardly fellow, was not one of them. In reality, he was so generous a man, that whereas he had received a very handsome fortune with his wife, he had now spent every penny of it (...) (p. 433)

Mrs. Fitzpatrick portrays him to Sophia by referring to the prominent change he had undergone, going from gallantry to wildness. Thus, Mrs. Fitzpatrick focuses on external features, on his manners which, together with his excessive jealousy, totally dismissed the kindness of his soul:

He was handsome, degage, extremely gallant, and in his dress exceeded most others. In short, my dear, if you was unlucky to see him now, I could describe him no better than by telling you he was the very reverse of everything which he is: for he hath rusticated himself so long, that he is become an absolute wild Irish man. (p. 476)

Innate wildness in temperament is related to women, too. For example, Molly Seagrim’s inner traits are mirrored truthfully on her appearance, thus creating a harmonious blending. She is rather portrayed in terms of manly appearance as her beauty ‘had indeed very little of feminine in it’ (p. 137). Comically, she is more of a man taking up manly actions, and the frame generally matches the interior:

Nor was her mind more effeminate than her person. As this was tall and robust, so was that bold and forward. So little had she of modesty, that Jones had more regard for her virtue than she herself. (id.)

The narrator frequently calls attention to some of the major concepts of the 18th century like decorum, property, propriety, prudence, folly or frivolity. In Chapter 1, Book 14, the narrator characterizes the ‘higher order of mortals’ (p. 610), namely the aristocratic circles, particularly the women belonging to the group. They are reduced to outward traits of affectation, dullness, dissimulation and emotional shallowness. In fact, the narrator directly states their abasement and their functioning as mere forms, the whole personality being reduced to outer display. The contrast between ‘form’ and ‘character’ enhances the

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11 According to the Macmillan English Dictionary for Advanced Learners, 2002, Oxford: Macmillan, the term ‘mammon’ sends to the idea of money considered as the most important thing to have (p. 867). The New Oxford Dictionary of English explains that it refers to wealth regarded as an evil influence or false object of worship and devotion. The Macmillan Dictionary quoted also defines the term ‘fopling’ deriving from the word ‘fop’, an old fashioned word referring to a man who thinks too much of clothes and appearance (p. 550). In fact, all these metaphorical names refer to the cultural type of the fop.
fact that, with such persons, the quality of being unique or the implications of strength, freshness and originality have faded away:

What Mr. Pope says of women is very applicable to most in this station, who are indeed so entirely made up of form and affectation, that they have no character at all, at least, none which appears. I will venture to say the highest life is much the dullest, and affords very little humour or entertainment. (p. 611)

On the other hand, the lower classes seem to be defined through diversity, vivid existence and open manifestation of anger or joy as the various callings in lower spheres produce the great variety of humorous characters. (id.)

In the case of the men of the ‘higher species’ contrasts coexist again, apparent honesty being destabilized by the practice of ‘deceits’ and ‘treachery’\(^\text{12}\) (p. 623). For most gentlemen, loving and playing tricks on women, or keeping mistresses is a business. Moreover, Nightingale’s name may be suggestive of his outward charms and abilities to enchant women with his nightly singing. The harmony in – out is only partial since his honesty is not complete, being impaired by a great weakness, his lust for women:

This Nightingale (…) was in the ordinary transactions of life a man of strict honour (…); yet, in affairs of love he was somewhat looser in his manners; not that he was even here as void of principle as gentlemen sometimes are, and oftener affect to be; but it is certain he had been guilty of some indefensible treachery to women (…). (pp. 623 – 624)

If for Mr. Nightingale a woman is a mere possession to be won on a war field, for Jones she is a delicate counterpart who must not be injured in any way. Thus, Mr. Nightingale speaks of women using war language, they are spaces to be conquered, while Jones refers to them using love language. Nightingale was so far from being ashamed of his iniquities of this kind, that he gloried in them, and would often boast of his skill in gaining of women, and his triumphs over their hearts, for which he had before this time received some rebukes from Jones, who always expressed great bitterness against any misbehaviour to the fair part of the species (…) to be considered, in the light of the dearest friends, were to be cultivated, honoured, and caressed with the utmost love and tenderness; but if regarded as enemies, were a conquest of which a man ought rather to be ashamed than to value himself upon it. (id.)

As with most male characters, female ones are also portrayed in terms of contrasting features. Again, the narrator does not want to offer a model of perfection in the person of the main female protagonist, but, by focusing on elements which convey the ideas of harmony and balance, he puts forward an example of virtue. This requires proper respect from the narrator himself who, in a poetic stance, carefully prepares the ground for Sophia’s appearance in front of the readers. Sophia is therefore introduced with ‘utmost solemnity’ and ‘elevation of style’ (p. 121), because the description must necessarily express the many qualities of this ‘paragon’ (p. 122). On the other hand, the narrator exercises his own stylistic skills so as to offer a model of what he ‘can do in the Sublime’ (p. 121). The solemn atmosphere is created by invoking the balmy winds and the auspicious seasons to attend Sophia's entrance (pp. 121 – 122). The narrator uses spatial language to describe her as if she were some architectural mold, referring to all her physical traits using terms generally associated with buildings: ‘adorned’, ‘bedecked’,

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\(^\text{12}\) Anyway, it seems that the entire aristocratic class presented, whether males or females, distinguish themselves by an acute sense of frivolity and disrespect for true feelings, often using the others as the object of their erotic passions – like Lady Bellaston or Lord Fellamar.
’shape’, ‘proportion’, ‘symmetry’, ‘arched’, ‘regular’ (pp. 122 – 123). Since with most of the characters there is no matching of external features with the internal ones, the narrator explicitly underlines that her soul was in total agreement with her aspect:

Such was the outside of Sophia; nor was this beautiful frame disgraced by an inhabitant unworthy of it. Her mind was every way equal to her person. (p. 123)

It is obvious here that Sophia is spatially made up of a beautiful ‘frame’ that is ‘inhabited’ by remarkable feelings. Tom’s body is architecturally seen as a frame, too, or as a city. In these two characters’ depiction, this technique frequently heightens their honesty and sincerity, and focuses on the rejection of hypocrisy as demonstrated by the balance between outward and inward features:

(1) If he touched her, his hand, nay his whole frame trembled. (p. 189)
(2) The citadel of Jones was now taken by surprise. (p. 180)

Aunt Western is a woman of the world who has learnt of ‘philosophy and politics’ which taught her to be ‘artful’ (p. 273), meaning deceptive, guileful, duplicitous. On the other hand, Sophia is characterized through the employment of a concept specific for the 18th century England, that is sensibility understood as prudence and wisdom. Additionally, what she lacks is exactly that ‘art’ fully recognizable in her aunt’s case. Sophia is wise, prudent, decent and honest, since her interior world is outwardly revealed so as to show a perfect harmony:

(...) for she was indeed a most sensible girl, and her understanding was of the first rate; but she wanted all that useful art which females convert to so many good purposes in life, and which, as it rather arises from the heart, than from the head, is often the property of the silliest of women. (id.)

With shrewd, passionate women like Lady Bellaston there is a constant fight between inner impulses and the rules of decorum related to what should be exhibited in public. The narrator includes the lady in a whole class of well-bred women who symbolize the idea of ‘intrepidity’. She manifests utter defiance of everyone else and an explosive temper. Yet, her courageous, daring nature is due to her financial power:

Some there are however of this rank, upon whom passion exercises its tyranny, and hurries them far beyond the bounds which decorum prescribes: of these, the ladies are as much distinguished by their noble intrepidity (...) Lady Bellaston was of this intrepid character. (p. 611)

But when it comes to rivals in love, she privately works out for measures to destroy the enemy and shows nothing of her rage. The narrator proceeds from generalities to specific examples so as to avoid presenting too strict and unreal typologies:

When the effects of female jealousy do not appear openly in their proper colours of rage and fury, we may suspect that mischievous passion to be at work privately (...). This was exemplified in the conduct of Lady Bellaston, who, under all the smiles which she wore in her countenance, concealed much indignation against Sophia. (p. 648)

The verb ‘to wear’ is very much used with the spatial meaning of having something on the body so as to protect oneself from what is outside, or as a means to conceal what is underneath. Lady Bellaston encourages Lord Fellamar to take more drastic action against Sophia’s shyness:

13 Moreover, she is compared with various famous statues and paintings, the narrator insisting on the resemblance between all the ladies in the ‘gallery of beauties’ (p. 122), women like Venus de Medicis, the daughters of John Churchill, Duke of Marlborough or Lady Ranelagh.

14 The choice of the verbal phrase exemplifies again the narrator’s use of architectural language as it refers to a purely external shape which functions here as a mask for the character to put on, to present, or to assume a false image.
Do you think any woman in England would not laugh at you in her heart, whatever prudery she might wear in her countenance? (p. 656)

Lady Bellaston’s tool in attempting to keep Tom and Sophia separated is the same Lord Fellamar whose title is hardly appropriate if we consider his public conduct. The narrator emphasizes this fact by humorously feeling puzzled himself at the contradiction between his inner characteristics and the external ones: ‘Lord Fellamar (for this was the title of this young nobleman)...’ (p. 649). Significantly, the narrator’s stylistic playfulness leads to a reversal between human and object features so as to represent the Lord’s perception of Sophia as if she were a possession:

he would not suffer so handsome an occasion of improving his acquaintance with the beloved object (…) (id.)

Mr. Western’s hypocrisy comes to the surface when hearing that Jones is Allworthy’s son. But his violent nature makes him look sincere as he directly expresses his feelings by using language referring to hunting activities; on the other hand, at the end of the novel, his obstinate interest in marrying Sophia with a rich man and his total change disclose a lack of harmony between his inside and outside features. Similarly, he focuses only on outside traits just as he asks for nothing more than material, palpable, external possessions, no matter who the provider is. The former bastard and rascal becomes a ‘gentleman’ and an ‘old friend’ (p. 806) only with the news of fortune. All of a sudden he fully accepts Tom:

Men over-violent in their dispositions, are, for the most part, as changeable in them. No sooner then was Western informed of Mr. Allworthy’s intention to make Jones his heir, than he joined heartily with the uncle in every commendation of the nephew, and became as eager for her marriage with Jones, as he had before been to couple her to Blifil. (p. 801)

Western had heartily sworn the two before, but the clash between his true nature and the pretense of happiness on his face is obvious here in his enthusiastic praise of the same people.

Tom’s sincere forgiveness for all who had treated him dishonestly (like Blifil, George Seagrim, even Mr. Western and Mr. Allworthy) is characterized in terms of excess (p. 810 – 811), whereas Blifil secretly negotiates in his mind (a space of mysterious dealings again) whether to reveal or to hide the hatred he felt, finally coming to another type of confession: assaulting Tom’s private territory in a servant-like manner. He slyly externalizes a fake inner regret:

He then asked pardon of his brother in the most vehement manner, prostrating himself on the ground, and kissed his feet: in short, he was now as remarkably mean, as he had been before remarkably wicked. (p. 810)

Silence is sometimes taken as sadness; thus, a harmonious expression of what Sophia and Tom feel inside, their quietness in the happy ending of the book is a moment of great confusion for the others who value outward expression too much. Allworthy and Western cannot understand that the apparent discontent hides a ‘great joy’. This happens because

great joy, after a sudden change and revolution in circumstances, is apt to be silent, and dwells rather in the heart than on the tongue. (p. 819).

Ultimately, the silence of the two protagonists sends to the order brought in the course of events at the end of the book; it is a sense of order understood as peacefulness, absence of conflict, and harmony.
Conclusions

After analyzing Fielding’s employment of words referring to characters as spaces (cities or buildings) we consider that the discrepancy between internal and external elements in the case of the ‘bad’ characters seems to be a strategy supporting the ironic or the comic mode. This is because, with these characters, true intentions are veiled behind a mask just as in ironic contexts the narrator uses language to ‘dignify’ the opposite of what he says. This way, the narrator exploits as many techniques in order to create his narrative universe mainly as a ‘prosai-comi-epic writing’ (p. 167).

References

Genius loci sau cultura și personalitate

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Keywords: personality, culture, Romanian literature, local versus national.

Abstract: This paper deals with recent topics within the context of globalization and within that of the new position that Romania has been since 2007. “The concert” of European nations implies neither uniformization, nor any authority exercised by one or another community. The right to making oneself known means to respect, first of all, the spiritual identity of a nation. This implies a process of identifying, assuming and displaying some national, regional and local values which are to be judged according to their contribution to the defining of Romanian personality, in our case.

We want to emphasize the necessity of revealing the local contributions to the shaping of national identity, our focus being the reality of the region of Bacău.

Preliminarii

Când în 1941 G. Călinescu își finaliza „Istoria...“, devenită punct de referință obligatorie pentru cercetătorii culturii naționale, a simțit nevoia de a trasa o „hartă a poporului român“1 într-un moment de cumpănă pentru țara sa, dar de fapt pentru întreaga omulie. Cu un entuziasm abia stăpânit, istoricul literar consideră că nu este exagerat sensul epitetului „strălucită“ pentru a defini literatura română și că mefiiență2 trebuie înălțată cu totul. Suportul afirmațiilor îl constituia chiar cartea care tocmai se încheiase, iar mobilul exuberanței este nu elogiuul trăvăului la care s-a supus de bunăvoie, ci satisfacția de a identifica în spațiul românesc valori compatibile în bună parte cu cele din peisajul european. În acest context apare cel puțin bizără eliminarea datei de „24 Ianuarie 1941“, înscrisă de Călinescu la finalul prefereței. (Ediția din 1982, îngrijită de Al. Piru, probabil la sugestia autorului de a considera că „pe teritoriul României Mari, una și indivizibilă“3, se produce artă de calitate era suficientă în ambianța semnalelor cu trimitere spre hotarele istorice, dar nu data era îndrăznită, ci enunțul din finalul prefereței: „Eminescu în Bucovina, Hasdeu în Basarabia, Bolintineanu în Macedonia, Slavici la granița de vest“, Coșbuc și Rebreanu în preajma Năsăudului, Maiorescu și Goga pe lângă Oltul

1 G. Călinescu, Istoria literaturii române de la origini până în prezent, București, Fundația Regală pentru Literatură și Artă, 1941, p. 9.
2 Termen vehiculat în special de G. Călinescu, odată cu descoperirea în arhivele din străinătate a dovezilor că poporul român este unul înzestrat cu geniul creativității.
3 Ibidem.
4 În ediția din 1941, „Vest“. Nu e singura corectură de ortografie și punctuație operată de Al. Piru.
ardelenă sînt eternii noștri păzitori ai solului veșnic⁵. Nu era o exaltare gratuită, ci consecința efortului benedictin care a dat o „carte nepărintinoare”⁶, unică în piesajul culturii române. Vorbele lui Miron Costin „Nasc și în Moldova oamenii!”, scris cu majuscule în final, nu-l acuză pe G. Călinescu de provincialism, ci, paradoxal, extinde pecetea creației naționale către orice punct al spațiului românesc.

1. Personalitatea - un concept deschis

Nu este prima oară când lucrările lexicografice de interes larg sunt în dezacord cu conținutul unor noțiuni extrem de mobile. Termenul „personalitate”, de exemplu, a depășit de mult limitele impuse de disciplina care-l-a consacrat - psihologia -, pentru a acoperi realități noi, în relație continuă cu sensul fundamental. Pentru prima aceptare, potrivit celui mai popular dictionar, personalitatea este definită drept „ceea ce este propriu, caracteristic fiecărei persoane (subl. ns.) și o disting ca individualitate conștientă și liberă⁷. Celelalte trei grupe de definiții se raportează tot la persoană sau cel mult la personal. Nici dicționarele de neologisme nu extind prea mult câmpul semantic; la „ceea ce caracterizează o persoană, deosebînd-o de oricare alta”⁸ se adaugă „îndividualul uman considerat sub raportul dezvoltării epifane și al valorificării sociale a insușirilor persoanei”⁹, adică o informație mai apropiată de sensul dat de psihologie, dar incapabilă de a motiva utilizarea mai largă a lexemului. „Noul dictionar universal al limbii române”¹⁰, printre ultimele aparute la noi, acordă dreptul la extensie semantică termenului în discuție, fără a depăși sfârșitul lucrului, abstractând: „caracterul a ceea ce este unic, original; individualitate, unicitate, originalitate”¹¹. Ca exemplu este reprodus un citat din opera lui G. Călinescu: „Personalitatea scrierii stă în tonul religios inspirat”¹². Este lipsed că lexicografi nu au consultat publicațiile din ultima perioadă și nici nu au consenmat ocurențele unei sintagme, de tipul „personalitatea locului”, frecvente în mass-media. Astfel evaluarea sensurilor, se ajunge fie la direcționarea exclusivă spre individualitățile dintr-un domeniu sau altul, fie la restrângerea semantică în perimetrul științelor educației. De exemplu, o apariție recentă la editura de profil disociază personalitatea elevului, dată de temperament, aptitudinile, caracter și creativitatea, de personalitatea profesorului, însumând aptitudinile și competențele didactice ale profesiunii¹³. Lucrări anterioare anului 1989 fixau trei structuri fundamentale ale sintezei personalității, aflate în interacțiune: temperamentul, aptitudinile și, respectiv, caracterul¹⁴, iar unele dicționare de specialitate mai noi nici nu înregistrează termenul¹⁵. Îl intuiam, eventual, în

⁵ Ibidem.
⁶ Ibidem.
⁷ Academia Română, Institutul de Lingvistică „Iorgu Iordan”, Dicționarul explicativ al limbii române (DEX), Ediția a II-a, București, Editura „Univers enciclopedic”, 1996, s.v.
⁸ Florin Marcu, Noul dictionar de neologisme, București, Editura Academiei Române, 1997, s.v.
⁹ Ibidem.
¹² Ibidem.
¹³ Ibidem.
¹⁵ Ministerul Educației și Învățământului, Institutul de Cercetări Pedagogice și Psihologice, Dicționar de pedagogie, București, Editura Didactică și Pedagogică, 1979, s.v. personalitate.
acceptă „pedagogiei personaliste”, concept avansat în 1936 de E. Mounier, promovând ideea că „scopul educației este persoana liberă și creatoare”\textsuperscript{16}.

2. Literatura română și personalitatea ei

Că sensul lexemului „personalitate” a fost extins la nivelul oricărui areal în general marcat „+ uman” este o realitate desprinsă atât din lucrările teoretice tipărite în ultima vreme, cât și din producțiile mass-media. Cel mai relevant caz îl constituie apariția, în 1973, a lucrării academicianului Constantin Ciopraga, „Personalitatea literaturii române”\textsuperscript{17}, la Editura „Junimă” din Iași, „o încercare de sinteză” care „angajează puterea de concentrație pentru a detăsa ființele de forță ale unei evoluții particolare”\textsuperscript{18}. Tratatul de peste 350 de pagini a fost apreciat pentru că a reușit „delimitarea originalității creației literare românești, a vârfulor ei, printr-o vastă serie de aprecieri și diferențieri de valori estetice, privite adesea din perspectivă europeană”\textsuperscript{19}. Întrebat, în 1981, cât de cunoscut este totuși literatura română în străinatate, C.Ciopraga constata cu mâlnire că „opere redactate în limbi așa-zise <<neuniversale>> - danelază, suedeză, norvegiană -, provenind de la popoare nu mai numeroase decât noi, au devenit bunuri culturale universale, dovadă că răspândirea (condiționată desigur de calitate) ține de îmþejurări faste. Pentru noi, împrejurările au fost multă vreme nelaste”\textsuperscript{22}. Reprezând România la cel de-al XI-lea Coloçuvi al Asociației Internaționale a Criticilor Literari (1983, Praga), C. Ciopraga nu s-a sfătuit să afirme că noi, românii, avem prin traduceri operele esențiale din literaturile lumii, dar că prelucrăm viața și universul prin prisma creației marilor scriitori autohtoni: Eminescu, Caragiale, Sadoveanu, Blaga, Argezei și alții\textsuperscript{21}. De altfel, „liniile sugerate de Personalitatea... în capitolele corespunzătoare, sunt dezvoltate în monografii dedicate eminesciene și sadoveniene”\textsuperscript{23}, iar ca repere ale individualității literaturii române sunt, în ordine, „Miorița”, Dosoftei, Cantemir, Eminescu, Caragiale, Creangă, pentru literatura populară, veche, iluministă și clasică. Din literatura interbelică C. Ciopraga selectează pe Sadoveanu, Rebreanu, Călinescu, Camil Petrescu și Hortensia Papadat-Bengescu, iar dintre poeti, pe Argezei, Blaga, Barbu și Bacovia. Urmează scriitorii avangardisti, Urmut și Vintilă Horia, serie încetiată cu Marin Preda și Nichita Stănescu.

Sintagma din titlul cărții lui C. Ciopraga pare inspirată dintr-un studiu asupra particularităților Franței, în ansamblul comunităților europene. Această țară „n-a produs nici un Dante, nici un Shakespeare, nici un Cervantes, nici un Goethe”, „pozedă în schimb o literatură dotată, în ansamblu ei, cu o incomparabilă personalitate”\textsuperscript{23}. Afirmația apare în lucrarea lui Ernst-Robert Curtius și a fost făcută publică în 1932. În acest cadru, personalitatea, la modul general, devine

\textsuperscript{16} Vezi Mircea Ștefan, \textit{Lexicon pedagogic}, București, Editura „Aramis”, Col. „Educația XXI” (coord., prof. univ. dr. Ioan Cerghit), 2006, care trece de la „Personalism energetic” la „Personalism pedagogic” și de aici la „Personalized System of Instruction”.

\textsuperscript{17} Ibidem, s.v. Pedagogie personalistă.


\textsuperscript{19} Mircea Zaci, Marian Papahagi, Aurel Sasu (coordonatori), \textit{Dicționarul scriitorilor români (A-C), București, Editura Fundația Culturale Română, 1995}, s.v.

\textsuperscript{20} I.D. Lăudat, Constantin Ciopraga, în \textit{Buletinul Societății de Științe Filologice din R.S.R.,}, 1986, p. 80.

\textsuperscript{21} Constantin Ciopraga, \textit{Călătoresc în fiecare zi, de-acasă până la Universitate, prin șapte veacuri de istorie}, interviu de Petrech Dima, în „Revista noastră” (Focășani), nr. 76-78/ 1981, pp. 1381 – 1382.

\textsuperscript{22} Cf. Constantin Ciopraga, \textit{Modalități de lectură și interviu de Ioan Dănilă}, difuzat de Radio Craiova, în cadrul emisiunii „Univers sonor duminical” din 4 martie 1984. În preambulul aceluiași dialog, am discutat cu C.Ciopraga despre personalitatea literaturii, plecând de la afirmația lui Nichita Stănescu: „Personalitatea poeziei cuiva nu e în starea de spirit a autorului și nici în textul poemului, ci în sufele și miile de cititori care refac pe sinea lor sinea impersonală a stării de grăte”. Aceasta, în ciuda faptului că marii creatori de literatură îi evalează diferit pe cititori: „Nu scriu decât pentru o șută de persoane” (Stendhal) și „Nu mă interesează să scriu pentru mai puțin de o șută de mi de oameni” (Tolstoi).

\textsuperscript{23} Academia Română, \textit{Dicționarul general al literaturii române (C-D), București, Editura „Univers enciclopedic”}, 2004, s.v.
„un mod de convergență”\textsuperscript{24} între constante și variabile, între ceea ce este stabil și ceea ce se manifestă în dinamică, mai precis între vechi și nou, între imuabil și evanescent. Există în subconștiința oricăruia creator de literatură o nevăzută comandă a straturilor de adâncime istorică, în care se coagulează linile de specificitate spirituală ale neamului, structura evenimențială a datului național, proiecțiile ca idealuri – împlinite, dar mai ales neîmplinite – conturate de generațiile apuse, izbâncile și eșecurile acestora. Cătă vreme scriitorii au arătat dintotdeauna receptivitate față de momente de istorie strâbătute, transfigurate artistic în operă, se creează ceea ce sociologii numesc „conștiința de sine”. Scrieri precum „Deliurul” sau „Cel mai iubit dintre pământeni”, de Marin Preda, au devenit emblematice pentru artiștil-conștiență, ulcerat de vicisitudinile vieții și determinat să dea glas neliniștilor individuale, expresie a neliniștilor colective.

Dar nu numai literatura prefigurează o intercondiționare existență-individ-conștiință socială, ci și experiența pedagogică, pe care sociologii culturii o așază printre valorile colective de cea mai aleasă spete. Din tradiția educației „putem afla și ce anume a constituit obiectivul cultural pe viitor al fiecărei generații, cum a fost acesta fixat, respectiv identificat - conștient sau instinctiv -, ca o consecință a situației istorice”\textsuperscript{25}.

3. Local – regional – național

Asistăm în ultima vreme la o dinamică terminologică fără precedent, dată nu atât de invazia anglicismelor, cât de investirea ori reinvestirea semantică a unor lexeme, pe de o parte, și de propagarea pe scară largă a unor termeni utilizăți cu discreție - chiar tîmiditate - în urmă cu aproape două decenii. „Globalizare” și „regionalizare”, „europäizare” și „localism creator” sunt două posibile perechi terminologice care depun mărcuri privind tendințele centrifuge ori centripete ale creației umane în general. Din păcate, fiecare dintre cuplurile de mai înainte a fost tratat cu considerație, dar și persiflant, în funcție de structura mentalitară, de dinamica raporturilor politice, de proiecția idealurilor individuale etc. Cert este că avem de a face cu logica relației parte-intreg și că descărcarea unuia dintre termenii invocați - național - este nemotivată, cătă vreme acesta nu implică idea de claustrare, de suficiență ori chiar de arogață, ci exprimă realitatea conform căreia europenizarea obligă la dialogul unor culturi bine structurate și conturate. Or o stabilitate a unei culturi nu poate fi asigurată fără o stabilitate a conținutului fiecărei segment al întregului. Inventarierea și legitimarea valorilor la nivel local devin obligații pentru responsabilii zonelor respective. A fi naționali cu fața spre universalitatea - idealul culturii interbelice - presupune clădirea temeinică a unor valori apete să se înscrie în registru bunurile publice. Cu alte cuvinte, prima recunoașterea a strălucirii - evident, în tonuri și intensități diferite - unei creații spirituale va veni din zona responsabililor locali, îndrăzneți să însanseze și să catalogheze valorile respective. Abia apoi este nevoie de difuzarea acestora prin intermediul lectoratelor din străinătate, al institutelor - tot mai multe în ultima vreme -, al traducătorilor. Numai astfel s-ar putea crea o imagine, alta decât cea lacunară și superficială de acum, despre cultura națională românească, despre exponenții cei mai reprezentativi ai întâlnirii identității noastre cu orizontul spiritului european\textsuperscript{26}.

4. Genius loci - o sintagmă vie

Primul termen al sintagmei are o biografie edificatoare pentru a susține subiectul propus prin lucrarea de față. Latinescul genius, -ii, derivat al lui genii, -ere, -ui, -itum „a se naște”, desemnează „spiritul divin particular fiecăruia om, care-l însoțește în tot ce trăiește de la naștere


\textsuperscript{25} Titlu studiului introductiv al sintezei lui C.Ciopraga, „Personalitatea literaturii române”.

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până la moarte, împărtășindu-i destinul.27 Dicționarele latinene adaugă aceste precizări semantice sau perifrastice: „geniul” era „spiritul unui loc”28, ba chiar „lucru, acțiuni, divinăți văzute ca forță de influență”29. Mai mult decât atât, „geniul unei divinățiții și a locului”30. Într-un anumit sens conține identitatea personalității locului în care trăiește divinitatea proprie naturii fiecărui loc, lucru sau om.30 Același Vergilius propune sintagma în discuție: genius loci precutur „roagă geniul locului”.31

Prin extensie, este de admis sintagma „personalitatea locului”, pentru care există deja, în august 2007, 30 de ocurențe înregistrate pe internet. De la extrafamilială cultură („E destul de greu să determini personalitatea locului” sau „Anul în care a fost construită casa dv. e o afirmație esențială, ce determină personalitatea locului în care trăiești”) la cele publicistice în general („Amințirile sale dau personalitatea locului”, „Vitalizul îmbogățește și definește personalitatea locului ce îl conține” sau chiar „Patroinul preia din personalitatea locului”), sintagma/sintagmorialul se va impune curând, ca formă de dinamism al limbii, în relație cu o realitate care-și clamează dreptul la denominare.

5. Memoria culturală a locului

Din punctul de vedere al antropologiei culturale, toposul marcat spiritul devine matricea individului și a colectivității. Imediat energie și informație deopotrivă, genius loci își impune caracteristicile și modelează conștința umană. Cum se văd înșes lucrurile din afară?

Am întreopreș o anchetă culturală printre scriitori, critici și istorici literari, descendenți ai unor familii nobiliare, artiști plastici, dirigitori de instituții culturale etc. pentru a afla dacă Vasile Alecsandri, genius loci tutelar în Bacău, își merită un punct memorial, materializat într-o casă-muzeu care să-i poarte numele. Dintre răspunsurile primite le-am selectat pe cele care pot configura un demers în dinamică:

A. Partizanii ai memoriei culturale

* „Orice oraș care are orgonii bun de a conserva urma unor mari personalități, care și-au legat într-un moment sau altul destinul de el, face un gest nu numai legitim, ci cu totul lăudabil.” (Andrei Pleșu, estetician)

* „Chiar în formă de cimitir, muzeul cel mai bun al eu îl prețuiesc cu un sentiment pătimaș, pentru că este memoria și pentru că oamenii care nu au memorie – cum am dovedit

29 Ibidem.
30 Ibidem.
de multe ori, din lipsă de educație – sunt niște oameni morți.” (Horia Bernea, artist plastic, directorul Muzeului Țăranului Român)

* „Pentru România, mai ales pentru orașele extracarpatice, arhitectura vernaculară constituie în foarte multe părți o zonă foarte consistentă și interesantă. Când suportul ei, orașul, ca structură urbană, există, este obligat să o păstreze, să o analizeze, în vederea unei continuități în felul de a concepe orașele noastre.“ (Al. Beldiman, președintele Uniunii Arhitectilor din România)

* „Un oraș este o educație implicită; or dacă ne-am naște în niște oraș în care istoria este marcată, am învăța de mici deprinderea simțului civic, ni s-ar inculca aproape de la sine aceasta, doar umblând pe stradă.” (Bogdan Ghiu, poet și publicist)

* „Indiscutabil, Bacăul este legat de amintirea a doi mari poeți români: Alecsandri și Bacovia. În ceea ce mă privește, oricât de multe documente ar produce unii biografi, rămân la părea că Vasile Alecsandri s-a născut în vara lui 1821 și la Bacău, cum însuși declară: <<Sunt născut în Bacău>>.” (Ion Rotaru, critic și istoric literar)

* „V. Alecsandri și Al. I. Cuza „au rămas în conștiința posterității ca mari patrioți”, ca „modele de prietenie și colaborare pentru unirea țării.” (Mabel Silva D. Cuza, Spania)

B. Pentru o casă – muzeu „V. Alecsandri“

* „Un loc supraviețuiește prin chipul pe care îl dau numele adunate în perimetrul lui”. „Or Bacăul nu poate fi decât onorat de eventualitatea unei case memoriale înnchinate lui Alecsandri.” (Andrei Pileșu)

* Întemeierea Casei-Muzeu „V. Alecsandri” „mi se pare o idee extraordinară, pe care o salut fără nicio rezervă. Fiind o clădire veche, trebuie păstrată. Deși se pare că avem suficiente muzee, de fapt nu avem, când la noi s-a distrus cât s-a distrus, când la noi s-a terminat cu clase întregi, s-au distrus cutume, obiceiuri, orice formă de moștenire.” (Horia Bernea)

* „Trebuie făcută o Casă Memorabilă <<Vasile Alecsandri>> (în Bacău și în Moldova se găsesc suficiente materiale de documentare pentru ca acest lucru să se realizeze).” „Punerea ei într-o condiție de materie, mai întâi restaurată, și punerea ei ulterioră într-o condiție de funcționare, în sensul de a exista o viață a ei, care să o facă să trăiască, sunt obligatorii și urgente.” (Al. Beldiman)

* „Inițiativa de a amenaja un muzeu închinat lui V. Alecsandri, ca o mică oază de memorie, era absolut necesară.” „După mine, Alecsandri e așemenea lui Victor Hugo, adică un om care a trăit o viață lungă, a întemeiat genurile literare și s-a afirmat în toate...” (B. Ghiu)

* „Cât mă privește, înclin să cred că e puțin probabilă, cam romantică, ipoteza susținută de George Călinescu cum că în momentul Eteriei, familia Alecsandri s-a retras la Târgu-Ocna. A pornit încet-încet cu cărțile, cu toată averea, cu angajații, cu bătrânul Alecsandri de la Mirceașt, să se adâpostească de furia etriștilor. Ei bine, chiar la Bacău, în mijlocul orașului, lui madam Alecsandri i-a solicitat sorocul să-l nască pe <<bardul de la Mirceașt>> [...] Așadar, Bacăul este dator în primul rând să oandreze cu ocazia nașterii sau a morții amintirea acestui mare poet...” (I. D. Bacău)

* „Sigur că este nevoie [de o casă memorială pentru V. Alecsandri]. Al.I. Cuza s-a născut la Bârlad, dar încă nu se știe tot adevărul despre casa natală. Totuși bărădenii îl omagiază permanent. Pentru V. Alecsandri, dv. ar trebui să faceți chiar mai mult.” (Mabel Silva D. Cuza, Spania)

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La grande «migration»

du XXI-ème siècle

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Keywords: migration, multiculturalism, acculturation

Abstract: Our paper offers an analysis of the Romanians’ (political or economic) (e)migration within the North-American territory, especially in Canada, a federal state characterized by multiculturalism. The theoretical background focuses on J. W. Berry’s strategies of acculturation. Migration implies a number of changes and it has an impact both on the acculturation group and on the native group. The social findings presented are the result of (in)formal talks with Romanians, the age variable being 30-45 years old, who emigrated in Canada and settled in Windsor, Kitchener and Toronto.
religieuse, la corruption politique, les maladies, les catastrophes naturelles, la manque des lieux de travail et la seconde catégorie inclut des raisons attractives comme: des impôts plus petits, une clime meilleure, des opportunités pour la trouvaille des emplois meilleures, des facilités en ce qui concerne le système d'éducation, la stabilité politique, des raisons familiales, la tolérance religieuse.

Les caractéristiques du phénomène migratoire actuel sont la diversification des pays de provenance et de destination, ainsi que les formes prises par la migration. Pour l'ére post-industrielle, la migration correspond plutôt à un changement définitif de résidence, sauf pour le cas particulier des migrations saisonnières liées au phénomène des vacances. On parle alors, selon le point de vue, d'émigration (sortie du pays d'origine) ou d'immigration (entrée dans le pays de destination). Les flux migratoires sont classifiés selon leurs mobiles. On distingue notamment les migrations économiques (déplacement de travailleurs) et les migrations contraintes (fuite de persécutions, famine résultant souvent de guerres ; on parle aussi de conquête, d'invasion, d'exode, de colonisation).

Cet article est une présentation des quelques observations concernants au phénomène de la migration, surtout de l’émigration des Roumains dans l’espace nord-américain, plus spécifique, au Canada. Dans notre démarche nous avons suivi les stratégies acculturatives que les Roumains ont adopté au Canada. Comme méthodes de travail nous avons utilisé l'observation et l'interview.

Canada est un état fédéral de l’Amérique du Nord, limité au sud par les Etats-Unis, a l'ouest par l'océan Pacifique, au nord-ouest par l'Alaska, au nord par l'océan Atlantique. Le Canada s'étend sur 9.976139 km² est a pour capitale la ville de Ottawa. C'est pour le site de Gaspé que le français Jacques Cartier, en 1534, pour la première fois, puis à nouveau en 1541, prend pied au Canada, au nom du roi François I. Le navigateur français découvre que le golfe du Saint Laurent se prolonge par un fleuve, pénétrant à l'intérieur du Nouveau Monde. Mais il faut attendre 1608, lorsque son compatriote Samuel de Champlain fonde la ville de Quebec pour parler de colonisation. Les premières habitants du Canada ont été les Amérindiens, surtout les Esquimaux (les inuits). Le nom Canada est d’origine iroquoise : Kanada qui signifie « communauté, village » et il s’agissait surtout aux environs du Quebec. Le peuple canadien a été divers dès le début. C’est un fait très évident que les vagues migratoires qui ont traversés le Détroit Bering n’ont pas été homogène. Pendant le temps de la colonisation européenne, les peuples Amérindiens, les Premières Nations (le nom sous lequel elles sont connues aujourd’hui) étaient -ils aussi assez diverses. Depuis la Second Guerre Mondial presque 3.5 million d’émigrants sont entrés au territoire canadien. La population canadienne est composée par : des anglais 43.2%, des français 28.8%, des européens 24%, des indiens autochtones et esquimaux 1.5%, des minorités visibles 1.5% (The impact of muti-ethnicity on canadian education, Toronto, 1977, p.4).

A ce moment, la politique de l’immigration a changé et le nouveau critère qui s’impose, ça veut dire la non-discrimination, a permis l’entrée des immigrants qui ont été autrefois exclus : des africains et des asiatiques (Idem, p.5). Dans la ville du Toronto on a la plus grande concentration des immigrants. Ici, il y a presque 70 groups ou sous-groups ethnique, qui parlent des langages différents. Ils sont formés environ 400 organisations ethniques à Toronto et encore 400 dans la province d’Ontario (Idem, p.6). L’immigration des nos jours sur le territoire canadien n’a pas le même modèle historique qu’il y avait il y a 25 années. Maintenant, les immigrants ne sont pas du tout attirés par des espaces ouverts ou par la possibilité de colonisation des terres nouveaux. Ils sont attirés par le mirage des villes métropolitaines et la place des paysans du XIX-ème siècle est pris par des gens avec beaucoup de qualifications, avec des études universitaires.

Après la Révolution de 1989, en Roumanie, grace à l’ouverture des frontières, beaucoup de gens ont choisis de quitter le pays. L’une des destinations préféré a été Canada. On se pose toujours la question suivante : pourquoi les Roumains choisissent la
voie de l’émigration, qu’est-ce qu’ils espèrent y trouver, comment se familiarisent-ils avec la nouvelle société, comment gardent-ils les coutumes, les traditions ? Quelles sont les motifs pour lesquelles les Roumains viennent au Canada, un pays avec une diversité culturelle extraordinaire, aussi grand qu’un continent ? Si avant la Révolution de 1989 on pourrait parler des causes politiques, après ce moment historique il ne s’agit que des motifs économiques. Les Roumains qui viennent ici vont une meilleure vie pour eux et leurs familles, mais qu’est-ce qu’ils trouvent ici ? D’abord, la première chose dont ils se confrontent s’est l’accomodation. L’accomodation a toujours pris la forme d’un modus vivendi parmis deux ou plusieurs groupes ethniques. Dès le moment de l’entrée dans le pays d’immigration, l’étranger, soit qu’il est adulte ou enfant, il se trouve dans un procès d’adaptation plus ou moins rapide, plus ou moins intens, en fonction de quelques paramètres : le lieu et le rôle de l’immigration dans le nouveau pays, le fait qu’il se soumet ou il choisit la migration, la durée et l’objectif de son projet migratoire.

Un phénomène dont on parle souvent quand’il s’agit de la migration des gens, et bien sûr de la migration des Roumains, c’est l’acculturation, qui a été définie “comme le changement culturel qui résoud par la suite du contact entre deux groupes culturels distincts” (Redfield et al, 1936, p.149). Les implications du procès de l’acculturation ont été étudié par J. W. Berry (Berry, J.W., Kim, U., Power, S., Young, M., & Bujaki, M. :1989, 38, p.185-206) qui s’occupe des minorités qui vivent au Canada et étudie les groupes culturels qui sont en contact. Ses recherches l’ont conduit à l’étude du processus de l’adaptation et d’acculturation dans les sociétés qui, pour des différentes raisons reçoivent des groupes massifs d’immigrants économiques ou politiques. Berry observe que l’acculturation implique des changements, non seulement au niveau du groupe dominé, que Berry le considère groupe d’acculturation, mais aussi dans le groupe qui domine, ça veut dire le groupe autochtone. C’est évident que le groupe qui souffre les transformations plus importantes, c’est le groupe d’acculturation. L’adaptation du groupe d’acculturation dépend de la politique d’immigration du groupe autochtone.

Berry considère qu’il y a 6 types de changements qui ont liaison avec le phénomène d’acculturation:
- physiques (logement, urbanisation);
- biologiques (des maladies nouvelles, la nourriture);
- politiques (la perte de l’autonomie, des droits);
- économiques (le chomage, les salaires);
- culturels (la langue, l’éducation, la religion);

Dans une situation de migration, toutes ces changements vont se produire plus ou moins rapides et dans des conditions plus ou moins bonnes. Les changements psychologiques peuvent avoir des conséquences favorables, comme l’amélioration des conditions économiques, médicales mais aussi des conséquences négatives comme la confusion identitaire, le stress de l’acculturation. Berry a fait une distinction entre l’adaptation et l’acculturation. Il décrit quatre stratégies d’adaptation, qui sont des procès d’acculturation. Le modèle qu’il a construit présente 4 résultats et stratégies d’adaptation, en fait, 4 types d’acculturation (assimilation, integration, separation, marginalization) auxquels on y arrive en fonction des réponses aux deux questions:
1. La première (Est-ce qu’il est important à mentenir l’identité culturelle et ses caractéristiques?) a comme sujet l’importance de la conservation des caractéristiques culturelles (coutumes, langue, religion).
2. La deuxième (Est-il-ce qu’il est important à maintain les relations avec d’autre groupes?) c’est une question concernant la volontée d’établir des relations avec d’autres groupes dans la société.

Les 4 résultats du procèsus de l’adaptation (integration-assimilation, separation-marginalisation, Idem, p.82) tient compte de l’intensité de la liaison que l’individus veut
garder ou non avec sa culture originaire ou sa volonté d’être ouvert vers l’assimilation d’autres cultures.

Dans le cas de l’assimilation se produit l’abandon complète de sa propre identité culturelle dans la faveur de la culture de la communauté dominante. Cette sort d’abandon est plutôt une contrainte de la part de la société hôte qu’une choix volontaire et, dans ce sens, l’école a toujours une force d’assimilation extrêmement puissante. Même si on pose le problème de l’intégration, plutôt que celle de l’assimilation, les exigences éducationnels et linguistiques ne donnent pas du tout une autre alternative. L’assimilation est une réalité pour beaucoup d’entre Roumains au Canada. Mais, autrefois, on peut dire que sous l’impression superficielle de l’assimilation assumée, on cache la „dissimulation” (Dasen, P. Perregaux, C., Rey, M. :1999, p.150) considère que la „dissimulation” est une nécessité pour cacher les différences. Le phénomène apparaît surtout dans le cas des enfants, qui adhèrent aux règles scolaires, à la langue qui leur a été imposé, pour n’être pa dans la situation de „trahison culturelle” par rapport à leur famille. Au cours du processus de l’intégration, le „sujet” garde une partie de son caractère culturelle et en même temps il fait partie de quelques structures qui appartiennent à la société dominante. C’est un processus très difficile, avec beaucoups de facettes, dans lequel, tous les éléments sont rédéfinis par celui qui vient d’arriver. Chaque intégration provoque un autre modèle.

Le processus de marginalisation se trouve dans un autre type d’acculturation. La marginalisation n’est pas volontaire et la société dominante a le rôle essentiel dans la pratique de la marginalisation. Aucun d’entre les modèles d’acculturation proposés par Berry ne représent un choix libre et de bon gré de la part d’un individus.

Un autre problème avec lequel les immigrants se confrontent c’est la sous-évaluation de la part du groupe autochtone. Pour le pays hôte, l’impact économique de la migration est positif. En ce qui concerne le pays d’origine, le phénomène de la migration suppose des pertes importantes au niveau des ressources humaines d’élite. Le pays hôte reçoit une main de travail bien qualifiée, sans dépenser pour la préparation professionnelle.

L’histoire de l’immigration des Roumains au Canada a commencé vers la fin du XIXᵉ siècle, mais il n’existe des informations trop exactes. On ne sait pas la date auquelle le premier Roumain a mis le pied sur la terre du Canada. On sait seulement que les premières Roumains y venus étaient originaires du Transylvanie et Bucovine. Il paraît que le premier vague des immigrants est arrivé dans les provinces Alberta et Saskatchewan vers le debut du printemps de l’année 1899. En janvier 1901, presque 100 familles originaires du village Boian du Bucovina fondaient le nouveau Boian, le village jumeau en Alberta. En ce qui concerne la motivation, cela a été soutenu tout comme dans nos jours, d’un cumule des facteurs politiques et sociaux, mais surtout économiques: la pauvreté, la manque de terre qui, combinés avec quelques informations qui leurs sont parvenus de l’Amérique ont donné de l’espoir. A l’époque, les agents du chemin au fer du Canada faisaient publicité pour encourager l’immigration dans plusieurs villes et foires de l’Europe de Nord-Est, parmis lesquels Cernauti et Boian. Ceux qui décidaient d’émigrer au Canada vendaient la terre qu’ils possédaient pour pouvoir à peine soutenir un voyage très longue et très difficile dans plusieurs étapes. Ils voyageaient en bateau du Hamburg à Halifax où un service de réception qui fonctionnait sur des principes d’organisation sur le modèle britanique, recevait les nouveaux arrivés et il les embarqua dans des trains avec une destination précise vers le ouest sauvage à l’époque. Le voyage au train durrait plusieurs jours jusqu’au Stratchona, le but de la ligne, d’où ils devaient aller plus loin au pieds ou avec les chariots. Ainsi, le voyage durrait presque une mois. La plupart d’entre ceux qui y arrivaient n’avaient aucun sou et ils ne savaient pas la langue anglaise. Une fois “installés” ils devaient cultiver la terre dans des conditions extrêmement dures. La campagne de colonisation que le gouvernement du Canada a soutenu à l’époque a été suivie d’un influx massif d’immigrants qui désiraient d’accomplir un rêve, celui d’être
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propriétaires. La loi donnait le droit, à chaque individus d’avoir pour 10$ une surface de 160 acres de terre, à la condition que pendant 3 années la terre devait être cultivé. C’était une perspective très séduisante pour beaucoup de paysans Roumains qui, dans leurs pays ne pouvaient ni même rêver à une telle chose. En plus, pour gagner d’argent, il y avait la possibilité de travailler sur les chantiers de la construction des chemins en fer qui devaient faire la liaison avec le côte de l’Océan Pacifique à Vancouver.

Il y avaient plusieurs vagues d’immigrants Roumains au Canada. La plus grande partie sont venus avant la Première Guerre Mondial, plus précisément entre 1907-1913. Au début ils habitaient dans des logements provisoires, creusés dans la terre, avec une seule “chambre” dans laquelle vivait toute la famille. Une autre catégorie a été formé par ceux qui sont y venus avec l’intention de travailler quelques temps pour gagner d’argent et puis de retourner dans la Roumanie. Ils se sont dirigées vers des centres bien industrialisés comme Montréal, Hamilton, Windsor ou Regina où ils pouvaient travailler dans des fabriques. Mais leurs intentions ont changés à cause de la Seconde Guerre. Ils ont fondés au Canada des villages comme celles de Boian et Ispas en Alberta. La seconde vague des immigrants Roumains peut être considéré celui d’après la Première Guerre jusqu’en 1929, quand, les parents de ceux qui y étaient déjà sont venus au Canada (follow-up migration).

Après ce moment, à partir de la fin de la Seconde Guerre Mondial jusque les années 1955 un autre vague des Roumains sont venus au Canada, surtout pour des raisons politiques. Entre 1970 et 1980 beaucoup des Roumains avec une bonne préparation professionnelle ont choisis de venir au Canada. En 1986, au Canada il y avaient plus de 60.000 Roumains. Après les années 1990, conformément au service de statistique canadiens, environ 3000 jeunes Roumains sont y venus, chaque années. Ils choisissent le Canada, un pays qui encourage beaucoup le multiculturel ethnie par l’entremise du Ministère Fédéral de l’Emigration. A présent il y a plus de 100.000 des Roumains au Canada. Si au début, les Roumains qui y venaient étaient des pauvres paysans sans aucune culture, sans des connaissances des langues anglais ou française, dans nos jours, beaucoup des Roumains bien préparés, avec des études universitaires, aves de l’expérience, quittent la Roumanie pour Canada. Après les années 1990, parmis les raisons plus importants de l’émigration des Roumains vers le territoire du Canada, il y a eu le vouloir de l’amélioration du propre condition économique (labour migration). Comme une conséquence a surgi un nouveau type de migration: le besoin d’unification de la famille (follow-up migration). Au moment de leur arrivée au Canada, les Roumains (comme presque tout autres immigrants) se confrontent avec des situations sociales caractérisés par des relations anonymes et bien commercialisés. Au contraire, en Roumanie, la plupart d’entre ces gens étaient intégrés dans des structures sociales et familiales solides. Au Canada ils souffrent un choc culturel qui leurs produit des problèmes d’identité, d’orientation et de socialisation. Il y a aussi des gens qui sont capables de s’intégrer très bien et assez vite qui se considèrent réalisés dans la nouvelle société.

Au Canada, le processus de l’immigration des Roumains dans le XX-ème et le XXI-ème siècle peut être encadrer dans deux types. On peut parler de l’immigration politique avant les années 1989 et immigration économique, après les années 1990. Dans la deuxième catégorie sont inclus les gens entre 30-40 années, qui ont choisis la voie de la migration, un chemin assez difficile, pour un statut économique meilleur. Nous avons observé et discuté avec des Roumains établis dans les ville de Windsor, Toronto et Kitchener. Nous pouvons distinguer deux catégories des Roumains: ceux qui ont réussi à continuer leurs études au Canada et ainsi ils ont obtenus des employ très bien payés. Ceux-ci ont assimilé plus facile la langue, les coutumes et les normes de la société canadienne. Une autre catégorie est formé par les gens qui ne sont pas réalisé du point de vue professionnelle, mais, pour eux les signes du développement personnel se confonde souvent avec la famille et la bien-être qu’ils ont trouvé et qui leur manquait en
Roumanie. On peut ainsi considérer que les 2 catégories mentionnées ont choisis l’intégration, parfois en même temps avec leurs enfants. L’intégration, l’adaptation sont des processus très difficiles même si dans un pays qui offre beaucoup d’aide aux nouveaux arrivés.

Dans la ville de Windsor, autrefois la capitale automobile du Canada, il y a presque 10000 des Roumains, qui sont y venus à des différentes époques. Pour ceux qui y arrivent pour la première fois un chemin obligatoire est à l’église, où ils trouvent dès le début que celle-ci ne ressemble beaucoup avec une église orthodoxe du Roumanie. Les différences sont beaucoup: premièrement les gens restent assis tout au long du service divin. La langue dans laquelle le service divin est fait est l’anglais. Puis, on constate que les gens sont divisés dans deux groupes, une diversité pas très visible, mais que l’on ressent. Il s’agit des vieilles, qui sont au Canada à la seconde génération et les plus jeunes, qui y sont arrivés après 1990. Les premières à peine se souviennent la langue de leurs parents, la langue roumaine, en temps que les dernières ne savent pas beaucoup de mots dans la langue du Shakespeare. Le problème qu’il y surgit est celle de la langue dans laquelle le prêtre doit célébrer le service divin. Ainsi, dans la cathédrale orthodoxe “St. George” on entend un mélange entre les deux langues: roumaine et anglais. Mais, a Windsor il y a encore une église orthodoxe, l’église “Pogorarea St. Duh”, où, jusque il y a quelques mois, le service divin était officier seulement en anglais.

On a posé à plusieurs Roumains, qu’on a ici connu, la question si le Canada a accomplis leurs rêves. La réponse a été surprenante. Pour ceux d’entre eux qui en Roumanie n’avaient une bonne situation matérielle, le Canada c’est le Paradis. Pour ceux qui en Roumanie avaient une emploi conforme à leurs études, Canada n’est pas du tout ce qu’ils désiraient, surtout qu’ici les différences entre ceux avec études universitaires et ceux avec des études moyennes s’effacent. Les choses qui dans leurs pays faisaient la différence (une maison, une voiture) ici ont disparus.

Mais les plus étonnants sont encore une fois les enfants qui démontrent une capacité d’accommodation extraordinaire, enfants qui parlent facilement les langues anglaise, roumaine et française, selon le context dans lequel ils se trouvent, ça veut dire à l’école, pour ceux qui suivent une école avec programme d’enseignements en français, au dehors, avec les amis et à la maison avec leurs familles.

L’existence d’une mosaïque culturelle rend complexe toute tentative de définition, quand on parle de l’identité canadienne. La question qui reste est si les Roumains qui y arrivent vont être capables à garder les éléments caractéristiques à leurs peuple, si le seul événement qui les réunissent c’est le Caroussel des Nations, un événement attendu surtout pour sa composante culinaire.

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Consequences of the Inferiority Feeling in the Human Personality Development

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Keywords: personality, human individuality, inferiority feeling, inferiority complex

Abstract: Included in the subject of activity of resonant names in the field of psychology, the aspects related to the inferiority complex could not have remained in the obscure area of psychological phenomena insufficiently explored by other generations of psychologists as well.

Here, we aim at presenting the major effects of this unwanted complex on the moulding of human personality. In our approach, we start from the variety of some possibilities in combining personality traits. We will continue by presenting the Freudian perspective, followed by the Adlerian one, on the discussed topic, and we will “get” nowadays, more precisely to the descriptive analysis, which is worth all our respect, made by Tiberiu Rudică, one of the representative personalities in psychology in Iași and in Romania, in general.

1. Human Individuality, the Essence of Allportian Thinking

As the initiator of the theory of personality and the founder of humanist psychology, Gordon W. Allport himself states, the entire combination of factors, elements and influences determine people to be so different from one another and therefore to have equally different behaviors. Within his theory, Allport places the accent especially on the dynamic organization of personality, characterized by a continuous development and transformation, on the timelessness, diversity and multitude of reasons, on the conscious triggers of human behavior, on the individuality, unity, and uniqueness of each person. According to Allport, man is more than a meeting point of abstract dimensions; he is – before anything else – a unique creation of nature, a creation endowed with goals, which aims at integrity and completeness.

The holistic study of personality draws the attention from particular to general, from the concrete person to the abstract one and vice-versa. Allport stresses that what differentiates one human individual from another is their individuality, which represents the main particularity of man. In the Allportian view, man is an open system, which allows him to mould in interaction with his fellows and with the environment, because he
not only takes from, but also gives to the ones he meets in contact with, and eventually offers himself. A healthy personality characterized by an active position towards reality, by accessibility to facts, events, people and life, by self-knowledge, ability to theorize, individualize, by the functional autonomy of reasons, affective maturity and stabilization of frustration. Allport also points out the characteristics of a neurotic personality: passivity, alteration of truth, affective immaturity, and limited thinking.

The emblem of uniqueness, which we all carry and which is the result of complex interrelations of factors, allows personality to be seen as a network of organization (whose structure includes a variety of cellular systems), a network modelled by heredity and environmental experiences that are never repeated, which actually makes it unique. Every one of us has a body, a physical structure made up of the same components that fulfil the same roles (walking, seeing, hearing, smelling, etc.), but we are extremely different in what concerns our psychological functioning. We are merely the result of the interference of a multitude of ever-changing factors that generate in their turn new changes, which result in different perceptions and respectively in different responses.

2. Sigmund Freud and the Psychoanalytical Approach to the Inferiority Complex

Sigmund Freud does not plead exclusively for organic inferiority as the source of the corresponding complex, as we will see his younger colleague did, but considers it more like the factor that triggers aggressive, abusive, excessive and monopolizing behaviours, aspirations towards power that characterize the human individual. Therefore, Freud believed that this symptom should be analyzed taking into account two aspects that he considers essential for this topic, respectively the castration of the child, or his loss of love (irrespective of whether these aspects are real or based solely on the child’s imagination). Actually, the entire psychoanalytical thinking related to the analysis of the inferiority complex agrees with the general concept of inferiority complex; as a result, the problem can be viewed in terms of the human individual’s want for power, although paradoxically (the same individual) also feels some sort of fear of the desired power. Not succeeding to quaint his thirst for power, man cannot experience the self-satisfaction determined by accomplishing an action, and caught in this entire hellish race towards acquiring power, he loses any sense of reality regarding his actual abilities, which he continuously overestimates, determining the very “raw material” that conditions the existence of the inferiority complex. In short, this is the psychoanalytical view on the dimensions of the inferiority complex.

3. The Inferiority Complex in the Adlerian Approach

The Austrian doctor and psychologist Alfred Adler have laid the bases of the concept on which the present paper builds. His work Studies on the inferiority of organs (1907) contains his first original ideas; the individual whose any organ is weakened tends to over-compensate for this flaw through a strong impulse of self-assertion. This impulse based on aggression, in its turn expressed as a “wish for power primary for the human,” Therefore, in Adler’s opinion, the complex we refer to comes from an organic inferiority, functional or morphological, and the affected person makes the efforts they consider necessary to compensate more or less for the “inconveniences” caused by the respective deficiency. To this mechanism, Adler attributes the dimension of causality of

In the opposite direction to the inferiority complex, Adler places the superiority complex, considered the over-compensation for the former; the human individual’s aspiration to the status offered by power also determines the individuals to run away and isolate themselves when they feel the threat of a virtual failure, and the lack of courage replaces the initial impetus. The individual has to descend from the phantasmagorical, ideal heights towards which they let themselves propelled (sometimes by fake self-delusions), and this evolution of facts can lead to two diametrically opposed types of consequences: they will either persist in unfounded underestimations concerning their abilities, or will see that situation as “apocalyptic”, which leads to impeding all future efforts. As we will show in this paper, although they are rare, there are nonetheless happy cases when the inferiority complex can become a source of mobilization for the individual, depending on their psychological structure.

### 4. Forms of manifestation of the inferiority complex and its ways of “attack” on personality

Starting from the descriptive perspective of the inferiority feeling, as it has been conceived by Alfred Adler, the author of the work *Maturizarea personalității* (*The Maturation of Personality*), Tiberiu Rudică, refers to those who, for a variety of reasons – we will stop at some of them below – exaggerate in one of the following two directions: the former is the direction of excessive underestimation and the latter is that of the conscience of the superiority of another. Acting in the virtue of excessive underestimation results in the person withdrawing to their own aspersing feelings related to the limited psychological abilities the person believes they have. The second direction, that of the conscience of the superiority of another, “supplies” with the same generosity the state that Alfred Adler has called “inferiority complex”. As we have shown, according to Adler, the semantic content of the mentioned phrase is the result - at least - unhappy of a comparison, a morbid symptom; for him, the aspiration towards self-achievement represents the nucleus around which the image of one’s own value can be express. Here we refer to the entire series of feelings that characterize the human being during childhood, more precisely the period when they understand their impossibility to meet appropriately the requirements imposed on them by the social environment. From Adler we find out that “the inferiority complex dominates psychological life and allows itself to be clearly seized in the feeling of imperfection, of impossibility of fulfilment and in the permanent goals of man and mankind.”

We must mention that this feeling of powerlessness that can develop into resignation (always with consequences for the young being) can be amplified by a precarious material state, by a physical flaw or by faulty education.

The famous psychologist of Iaşi mentions that there also is – fortunately – the possibility to overcome the inferiority complex through the mechanism of compensation; although this mechanism does not always prove useful, T. Rudică, quoting Vasile D. Zamfirescu, states, “When we act on the causes of inferiority, compensation is real and the inferiority complex dissolves. Nevertheless, there also are situations when, for subjective or objective reasons (socially frustrating conditions for example) we can only act upon the effect (the inferiority complex). Then we would deal with pseudo-compensation: the means are imaginary-subjective, not objective; the inferiority complex not dissolved, but sent to the unconscious. (V. Dem. Zamfirescu, *Între logica

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But not only underestimation as a personal attitude leads to an inferiority complex, but also the negative estimation of those from whom we expect the opposite in evaluating our results; in other words, we can speak of also underestimation when we do not receive qualifiers at the level we consider we are entitled to. The mention “from those from whom we expect the opposite” refers to people dear to us, close to us, whose evaluations sensitize us deeply, as we do not consider that the underestimating attitude of our fellows in general could become a real source of the inferiority complex. This mention often concerns a malicious behaviour reflecting a wish to calumniate and disapprove adopted by “foreign” persons, a behaviour that – as we have already stated – does not manage to exploit the unhappy feeling. Certainly, our purpose is not at all to label as malicious all human individuals, as if this had been the general and compulsory feature of those who do not fit in our “frame” of sympathy and affection; we merely wish to signal that this feature exists, and sometimes in proportions that cannot be ignored.

There are also special situations when the feeling of inferiority can grow in the unwanted direction and become a “complex”, which means the endurance of an acute feeling of powerlessness that sometimes leads to the conviction that within the ego there exists a crushing, even tearing inability, and, by extrapolation, this powerlessness can develop an attitude of abandon, of renunciation. In the opposite direction and somewhat paradoxically, the feeling we discuss of can “work” productively, becoming a source of mobilization in the fight for surpassing this condition; we can try to acquire personal satisfaction in another field of activity. But, again, everything depends on the psychological structure of each person: “Am I able to overcome this obstacle that erodes my entire existence, that wastes all my energy, which otherwise I might use for satisfying purposes, or do I simply let myself go in this state, allowing it to dominate me for the rest of my life? Do I have the necessary resources? Am I able to use them?” This process is complex and lengthy, we cannot win the fight unless it is sustained, carried out with all our determination. Therefore, the results will not be obvious over night, on the contrary they will come in time; but once they appear, even if these results are few, they will stimulate the individual and gradually bring back their confidence and self-respect.

From a theoretical perspective, the author of the paper Maturizarea personalității refers to the existence of two categories of factors on which the inferiority complex based: the first category made up of external conditions and the author calls the second that of internal conditions.

In the previous phrase of psychological structural of the individual, we must consider elements such as indecision, hyper-emotionalism, acute depressive reactions, the degree of impressionability, the tendency towards isolation and exaggerated introversion, obsessive-phobic states, etc., which all represent a labile psychological fund of a person, favourable to the feeling of inferiority. When this fund completed by elements such as a faulty education, a family life characterized by extreme rules and interdictions, the aforementioned feeling can acquire dramatic dimensions. For instance, when a child with minor deficiencies such as light myopia, or who walks funny, or who has little hair, etc., is spoken obsessively of his small flaw (and not by foreign persons but unbelievably by the close family members, whose words the child actually takes into consideration and which truly affect him), the inferiority feeling finds fertile land! And when there are serious flaws (handicaps, disabilities), the already “trivial” former feeling of inferiority acquires deep roots in the consciousness of the poor being, so that they cannot free themselves from it and in time this leads to the Adlerian

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Consequences of the Inferiority Feeling in the Human Personality Development

“inferiority complex”, an extreme form of the described feeling. Here too, in this context of an apparently irreversible moral collapse, there are a number of exceptions, which can become actual behavioural patterns. These are characterized by tenacity, ambition, the wish to compensate for the physical flaws: we refer here to the category of optimists, who despite their physical disabilities succeed due to their healthy spirit (in a way that we, “normal people” are almost unable to explain) in having an existence that offers them satisfaction and contentment. Again, it all depends on the psychological structure of every one of us, on the wealth or poverty of our resources, but for whose usage every human is responsible individually.

As G.W. Allport explains, when someone starts an action, they do so thinking about obtaining a certain result, but the influences from the environment, the other people with which they come in contact, can determine an internal disorganization, which leads to an imbalance that can negatively influence the expected result.

In the context we refer to, we cannot ignore that category of children whose vain parents cannot accept at all the idea that not all children have to be born with the attribute of genius, as it is not compulsory for their offspring to be endowed in all regards and at the extent, their parents expect. A child brought up in such a family atmosphere will experience almost without a doubt the effects of that feeling. We mean that atmosphere where he only finds lack of consideration, Underestimation of everything he accomplishes and – ultimately – despise from the adults concerning his intellectual abilities, and where development is continuously inhibit by the attitude of the very people from whom the child expects the opposite of what we have above mentioned. Fear, perpetual torments in his concern with obtaining results that would meet the parents’ requirements – expectations often based on unjustified vanity – will definitely have the unwanted effect of the acute impregnation of the conscience of the innocent being with the devastating feeling of inferiority, which in many cases will have consequences throughout the existence of that person.

If we take into account the idea regarding the internal conditions of the acute feeling of inferiority and self-accusations, we can speak again – making the necessary changes – of the psychological peculiarities of each individual: “a) exaggerated repeated introspection; b) hyper-emotionalism; c) lack of self-confidence; d) lasting remembrance of one’s own unfavourable memories regarding oneself.”

We could speak of two categories of introverts: one is that of the introverts who analyze themselves, even while performing an action (focusing their internal attention of the face mimics, gestures, eye expressiveness, different voice tones, etc.). All these contribute in keeping other people away, so that the introvert is praying to their internal torment created by an exaggerate introspection, or after the respective action is completed, when the person subjects their entire behaviour to a rigorous and unforgiving internal analysis, in the minute’s details. The positive component of such behaviour is that, based on an analytical intelligence with which introvert people endowed, they can reach, because of detailed analyses, to optimist conclusions. These meant to give one back their self-confidence and trust that everything is fine, that if they adapted their behaviour in a certain direction things would go the way they want, etc.

The second category of introverts is that of people whose analytical intelligence does not diminish their intimidation, lack of self-confidence, but on the contrary amplifies these feelings. Such individuals concentrate too much on the reason of their intimidation, and emotionalism defeats intelligence. They get lost in their own problems of conscience. People characterized by high impressiveness so scared by the simple fact of imagining a dialog, that irrespective of the real situation they anxiously project a negative reaction from the virtual interlocutor.

5 Tiberiu Rudică. op.cit. p.41.
In what concerns hyper-emotionalism, the author defines it as “that feeling that makes the individual intensely react to events and situations that seem insignificant for others: the strong emotion that dominates the hyper-sensitive person determines them to create negative representations, to imagine extremely serious sequels and dangers. Moreover, hyper-emotionalism can lead in some cases to intellectual blocks, to the impossibility to act appropriately in a specific circumstance. Psycho-pedagogical research has shown in this respect that, compared to an equally intelligent non-emotional individual, the emotional person stands no chance in a competition, because always, but especially in the context of an official contest or laboratory testing, the self-control and lucidity of the non-emotional are superior to the lack of self-assurance and awkwardness specific to the emotional.”

As it happens with all the elements included in the psychological structure of the individual, emotionalism too displayed differently from one person to another, according to their temperament. The significance of a moment with special connotations for the individual is equally important: in some persons, emotions are sovereign in their internal structure, and they act accordingly in crucial moments for their existence. There are also cases when a person can adopt an apocalyptic behaviour in situations that only require elementary self-control or a certain degree of concentration (for instance, standing for an exam).

The lack of self-confidence is the consequence of an erroneous self-evaluation compared to other people, which will generate, on the one hand, the certainty that it is practically impossible to obtain a success that others acquire, and on the other hand the fear to repeat the attempt. Those who permanently experience the acute feeling of lack of confidence in their own abilities become inappropriately stuck on their level of aspirations in their activity. The level of these aspirations lowers, as an effect of repeated failures, which are a sign of the insufficiency of that person’s ability to reach a desired level, and success, the expression of capacity, is the launching ramp for aspirations.

The lasting remembrance of one’s own negative memories results in a strong reaction of self-accusation. Someone who has a momentary failure and analyzes in detail each side of the respective context discovers subsidiary meanings, significations that reflect imaginary hostile intentions, which makes them give an unnatural dimension to the experienced failure, over-dramatizing everything and ending in severe self-accusation. The persistence of these persons in living their lives in the light of real or imaginary memories, to which they usually give a severe note, and the amplification of personal failures create in them a feeling of unsatisfaction for the past as well as lack of confidence, fear and discouragement regarding the future.

After this presentation of the causes of the feeling of inferiority, the author of the paper Maturizarea personalității, using his training as a fine analyst of human psychology, also suggests some solutions that may lead to “healing” (as the author himself calls it) or at least to diminishing this state called acute feeling of inferiority. Synthetically, these solutions are:

1. First, we must consider the specificity of the individual case encountered.
2. It recommended knowing exactly the concrete circumstances in which the person becomes discouraged.
3. We must create and meet a warm affective climate, an atmosphere of security, both within and outside the family.
4. When the subject is a child, their parents have to get them used to unpredictable or difficult situations.

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6 Tiberiu Rudică. op.cit., p. 46.
5. The discouraged children must be encouraged by the parents to give up constantly analyzing themselves both while the action is in progress and after it is completed.

6. The people must get use to analyze lucidly the report between their own real abilities and the difficulty of the task undertaken at a certain moment.

7. Another factor refers to the psychological and pedagogical tact of parents and educators in the group where the respective timorous child or youngster lives and develops.

8. The most certain modality of obtaining self-confidence is without a doubt to prevent this state of mind.

References

Comparative Approach of Literary Representations of the Other in the Post-War Modern Greek Prose. The Example of Jews and Albanians of Thessaloniki

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Abstract: The Balkans seems to be an area where extreme national discourses have played a devastating role throughout the centuries. For this reason it is important to explore the specific nature of the various “Balkan national collective we’s” as we enter a period of time where the old “monoethnic and monocultural selves” seem to disappear and a transformation into a multicultural society seems to be generated. Our research consists in collecting, elaborating and comparing the elements which distinguish the multifaceted role of the national "other" in the Greece of the 20th century through post-war literary work.

As elements of comparison we selected the Jewish literary heroes from the second world war period and the corresponding Albanians of the last 15 years in the post-war prose of Thessaloniki’s writers. Multicultural Thessaloniki is the decisive point of comparison, because it constitutes not only the literary space of representation of the Jews' drama during the period of German domination in Greece, but also the space of accepting the economically motivated immigrants from Albania. Despite the fundamental differences concerning the quality of the settling down of the two ethnic groups in the same geographic region, exceptional interest presents both the literary depiction of their fright and the image of the "other", which are analysed against the stereotype literary treatment. The objective of our research imposed the use of context analysis and of cultural iconology combined with principles of the narrative theory, the main method of reading and approaching the texts.
Introduction

The human sciences, approaching the social and the historical reality in an inter-scientific way, have discovered new paths and views in the exploration of the social interactions. In this new framework the external urban environment surpasses its geometrical and technical boundaries and constitutes a material registration of the characteristics, of the restrictions and of the controversies of the social and cultural function and hierarchy at a certain space and time. At this certain time and space there is a significant change evolving in the society throughout Greece. The country, since the decade of the 90s, has been transformed from a place of migration export into a country of migration import. This is also true for the main field of our research, the historical city of Thessaloniki, a traditional place of interculturality for significant periods of its history. Yet, in our paper we will not concentrate exclusively on the case of Thessaloniki, but we will search the ways in which the other is represented in the modern Greek city in general.

Thessaloniki, the capital of the Greek part of Macedonia and the centre of the North Greek territory, shaped its "New Western European" image in the second half of the 20th century. Following unverified rhythms of development in the new historical circumstances, it became a large city that attracted the national, and in some cases the international, interest for many reasons. That face, which begins in the Hellenistic era and presents an unbroken continuity until our days, shows us that in periods of peak or of fall, Thessaloniki did not function only as a financial centre, but also as a centre of forming religious aspects and political ideologies. Thessaloniki, even today up to a point, is a cross-road between East and West, North and South. But, at the same time, as a city "of the border" in a world were "localism" and nationalism waken as the other side of globalisation, it gestates understandable yet not less obtrusive nationalistic charges. This position of the city was the main reason for its multi-disturbed life.

1. The space as a field of social interaction

The material space, the space of the objective reality in which the human activity is achieved and transformed, constitutes a multidimensional field not only of research for the human sciences, but also a field of interaction between the individual and his/her material and social-cultural environment. At the same time through the exploration of such notions like the "personal space" and "life space", it was argued that the social relationships articulate around solidarities which have to do with the factors of behaviour and of space, based either on the individual or on the interpersonal relationships. From this point of view the material space is marked out as a regulator of the social relations, formed with emotional and cultural factors and connected with a way of life and with the values of a certain society which have an influence on it.

Those approaches accent that the material space is a composition and a multi-interacted reality. This way it becomes clear that the field of every day life is made both from the material elements and aggregations (products of the human activity and culture) and with the natural elements. Thus it can operate not only as a field of practices and actions where we can express our emotions and structure our experiences, but also as a field of communications and interactions (Karasavvidou, 2001). In this framework particular emphasis was placed on certain concepts, related to the articulation of the relationships between the "individual-group-material environment". Especially with reference to the behavioural studies about the mastery of the territory – as a piece of the of the material environment which was occupied by a certain group or (in microstructure) by an individual – as well as its advocacy from the intruders (individuals or groups) whom asserted in a symbolic or real way the relation between the material space and the person was proven to constitute a basic factor of communicative procedures. Consequently, the current trends of the social and human sciences have pointed that the material environment must not be
considered only as the external environment of the human activity. On the contrary, its geometrical characteristics are invested with subjective and social factors which represent the cultural values of a certain society and the social status in general. That means that town planning on an architectural level expresses the strengths, the conflicts and the equilibrium between social forces in the internal life of a society. Through these operations the external space transcends its geometrical and technical frames, constituting a material registration of the characteristics, of the restrictions and of the controversies of the social and of the cultural function, of the power games and of the hierarchy at a certain space and time. In other words, the material space is a subject of the human society that expresses the values and the social interactions along with the power relations.

This procedure grows in two parallel directions:

a) at the level of the production and the dispositions of the material environment which refers to the financial, social and cultural givens of a society, and

b) at the level of the way in which it is used both by individuals and groups which live in it. Here, socio-psychological factors, such as the networks of the social relations, the needs, the expectations, the value systems and the social models (mostly the ones of social power and administration which we will examine), obtain great significance. Yet of all the buildings and the elements of an urban environment, for certain socio-psychological reasons which we will examine, the places which centralize those ascriptions more than all the others, are the buildings that have been related either to religious worship, or with the administration of the social power, playing, this way, a major part in the formation of culture (Karasavvidou, 2001).

2. The ideological city map

The urban environment is a multidimensional level that expresses the complexion of the human activity in the post industrial world, and which creates an organised yet chaotic field of social interactions. But despite its chaos, in any kind of structured environment, the human activity has created some trademarks, well known in architecture as "flagships", aiming to denote the values and the expressions of a particular way of life, and, thus, of a certain social structure. The cognitive importance of flagships can be pointed by the fact that a specific characteristic of the knowledge of the field is the use of significant points of the environment as reference points (Sadalla, Burroughs and Staplin, 1980). In the urban environment the most significant irritations are related to central areas and are represented in buildings that symbolise religion and social administration. Planning critics of the 90's like Sennet (2003) and Klosterman (2003) questioned the logic of the neutral space as an ideological rationalisation that fails to recognise the material condition and the historical and political forces that formed it. Researchers like Ritzdorf (2003) and Fainstein (1990) pointed the sex differences in spatial use. And Harvey (1978), through critical analysis, argued that the most important social activity in space is the one which contributes to its own reproduction and thus to the reproduction of hierarchy.

In the previous years researchers accent the multidimensional character of the space at the level of intervention in the formation of identity. Chombart de Lauwe (1975), through a procedure of social ethnology and social psychology, distinguishes 3 kinds of space: a) The "space-object" (meaning the material reality), b) The "space-representation" which is determined by the symbols and the signs that permit the individual to represent cognitively the space object, and c) The "space action", which is referred into the "space object" yet approaches it as the field of the human action.

The basic instrument in this procedure is the mental representation that plays a significant role to the structure of the relationships between a person and the material space. The mental representation is the psychological mechanism that recomposes the reality with which the person comes in contact. At the same time representation is the result of the function of this mechanism. We can find certain examples of this procedure in
the school classes where the placing of the tutorial chair above God’s picture and at a higher level than the pupils’ desks submits the ideology of the teacher’s authority that, in its turn, - as a fixed role in the frame of the educational system - is an expression of social authority. Cassirer (1989) distinguishes an “organic space of action”, that is a psychological and symbolic space which underlies in the semantic handling of the language. Thereby the readings of the space are invested with psychological and social factors that form our self-image and our consciousness of the world.

3. Objectives, prerequisites and method of research

Having the study of the representations as an important field of the social and anthropologic research, Breadsley (1989) offers a model of comprehending the social operations and the relations of power. The literary production, that has to do with the reality and with the notion of inter-culturality, is filled with various social, cultural and psychological connotations. This is justified because within the nation-state and its literature, the “other” was charged with all the miscellaneous societal and metaphysical notions that contributed to “the manifestations of the other which so powerfully shape the narrative of the self”. Thus, the attitudes related to the “other” do not reflect only the objective reality, but also the ways the social subject perceives it, something that has obligatorily a lot of psychological parameters.

In the realm of fiction in Greece, the representation and elaboration of the different is directly related to the problems concerning the function and the engagement of such literary types by the reader, as well as by the general attitude, disposition and philosophy of the society as a whole. However, since the early 90s, evolving around the theme of individuals’ migration course and life is sharply and promptly developed, as the Greek society started being really interested in the immigrant and started changing its attitude and ideology; while, at the same time, in the field of Education, special implementation and education programs started being systematically applied.

The term literary city constitutes the second axis of the present study where the ways and the practices with which the real city is represented in the texts are actually examined (Tsirimokou 1988). These literary cities are not identified with historical cities. The textual city constitutes a notional place, which is in a deep conflict with time – the dominant convention of contemporary society (Lehan 1998, Mitterand 1980). This paper aims initially to investigate the connections between the socio-psychological dimensions of the actual city and the representations of the “other” in the literary city. In doing that we attempt to trace and compare the “routes” and actions that the minority and majority follow within the literary city, investigating whether and to what extent these express isolation or inclusion practices and feelings, as well as examining the ways in which all these elements are recorded in the texts. The term “routes” is not considered in a limited and univocal sense – in the exclusive interpretations of the literary trips around the streets of the city – but rather in a predicative way of his/ her participation in any social, political and cultural events held within the urban environment (Zoran 1984, Sansot 1984).

On a second level, we are to trace the writers’ “linguistic” choices, their peculiar punctuation and spelling, as well as their – either traditional or not – basic narrative techniques (descriptions and narrations, points of view, imagery, rhetoric and stylistic patterns, streams of consciousness), with which the routes that the different person follows within the textual city are represented (Kotopoulos, 2006). Finally, we shall also examine the gradual recording and symbolization of those heroes’ conscience of the deceptive promises made by the contemporary city – which, although promises an abundance of social goods and services to its citizens, in the end “provides” them only with inaccessibility and often with their physical exclusion from all these things because of their social class, descent, nationality, disability, etc. (Wirth – Nesher, 1996). In this paper we choose the
different that marks society proven to be in the front line of the symbolistic transformation of society. Karasavvidou in her developing PhD (KEDEK 2007) named them as the "main others" and she meant the Jews in the beginning of and the 20th century and the Albanians in the late 20th century in the city of Thessaloniki, and secondly in the Greek capital Athens.

Despite the fundamental differences regarding not only the way the two (ethnic) groups settled in, but also the way in which they were received by and co-existed with the natives in Greece, it is extremely interesting both to examine the common features which are recorded in the texts, and to analyze them as well in comparison with the stereotyped literary registration of the "foreigner". It is clearly seen that the field of comparison is both broad and open. With regards to the Jewish hero as the "other", we have focused mainly on the Thessalonikian writers as well as on the textual (literary) Thessaloniki because in cities characterized by similar historical as well as social conditions, the literary questionings are more strongly influenced by the multi-national construction than by the social stratification. In the city, which has even been called "mother of Israel", numerous Jewish communities have settled by the 14th century. Their arrival has contributed in a decisive way to the transformation of the city, into both an economical and cultural centre of the broader geographical area. Thessaloniki gradually became the home of the greatest European Jewish community. The Jewish community of Thessaloniki was actually dissolved with the Nazi genocide and the extermination of 50,000 members of the community in the concentration camps of Auschwitz and Birgenau. This period of time comprises the common historical frame of action of the Jewish heroes. With regards to the Albanian hero as "the foreigner", we focused on the way the Greek writer perceives the hero's route and life in the Greek society in general and not only in Thessaloniki, since the massive arrival of the Albanians as economic immigrants in Greece took place after the 1990s and it is rather early to form a body of works of literature concerning exclusively the creators of this city (the contribution of the Albanian immigrants to the economic progress of the state during this period is remarkable). The literary character of the Albanian immigrant constitutes the greatest part of the image of the "other" in the Greek literature of the last decade.

In the attempted comparison we have examined profiles of heroes and heroines coming from different national, cultural and religious environments, as well as the ways in which their relation to individuals and institutions of the reception environment is described, depending on the case. For the Jewish heroes we chose the following works (15) as the most representative ones: Mother Thessaloniki (1970) by N.G Pentzikis, Giving cause for (1976), As a rolling carpet (1998) by T. Alaveras, Victims of Peace (1956), Z (1965), Rebetes and other stories (1977), Memory comes back in rubber sandals (1999) by B. Vasilikos, Out of pride (1976), Sarcofagus (1976), Our Blood (1980), The capital of the refugees (1984) by G. Ioannou, Marches-Sleep Death (1973), Mythology (1974), The Great Square (1987) by N. Bakolas and Gioconda (1976) by N. Kokantzis.

In Greece, most of the works of fiction in which the protagonists are people from Albania, with the exception of the novel Let me hear your name clearly by S. Dimitriou and In Broken Greek by Thanasis Himonas, can be characterized mainly as juvenile-teenage novels. It seems that adolescent literature, as compared to the adult one, is more flexible in depicting and analyzing contemporary social issues such as Environmental Education novels of ecological content, Education for people with specific needs – novels with children with disabilities as protagonists, Intercultural Education – novels with immigrant protagonists (Jenks C., 1996).

A combination of context analysis and cultural imagery was used as the basic tool regarding the reading and methodological approach of the texts. The study of literary depictions comprises a field of content analysis application provided that it maintains but is not entrapmed in the typical philological reading which simply seeks the thematic significance and message. The Cultural Imagery, Imagologie, a branch of Comparative Literature, aims at examining "the image" of the "foreign" country, its people and culture as it is presented in the literary texts. It is actually a system of thought that views the literary text as a document, as evidence regarding the "other". It examines the images of the "foreigner" - usually constructed - and his culture based on the structure of the text at different levels: the level of words, that of prioritization of relations, that of the scenario and the thematic patterns (Pageaux 1988, Guyard 1988, and Abatzopoulou 1998).

4. In the case of Jews

The representation of the "other" in relation to the city is mirrored through two different strategies: either through flagships having to do with the public consciousness, icon and procedures, or through private spaces, elements, and functions.

In the case of the Jews, the Church is used as a major public symbol. Yet it is a symbol of separation and not of unification. This topic prevails in Marches-Sleep Death. The writer uses the weird love affair between the Christian Fotis and the Jewish girl Matoula to present overtly the religious hatred and the prejudices Christians had against their Jewish fellow-citizens "But I'm thinking of my mother, my sisters who go from one church to another in order to exorcise the evil and the pentalpha (star of David) [...] it is them that crucified our Christ, brothers [...] However, I have heard that only the Jews are killers that crucify holy people, fishermen and orphans" (11, 23-24). In the Great Square the topic allows for detailed descriptions of the problematic co-existence "and the story of the Jews and the Christians has started all over again" (43), while Fotis goes as far as to fight against the Jewish community in the ghetto (19). In the same novel there is a private sign that is used as a tool of separation as the public space is internalized and reproduced in it. The hero's Christian relatives are scared even to hold Foti and Matoula's son's plate, Matoula in the meantime had been christened Marika in an attempt to be culturally assimilated with them, "as if it was poisoned bate" (44).

In Gioconda by Kokantzis, two children, a Greek Christian and a Jewish girl, fall in love as they grow up together in Thessaloniki during the time of the German occupation under the tragic conditions of war and genocide "wherever we played, grew up, lived and experienced, where we mainly experienced". In this way the city becomes a substantial place of action (Cassirer) free from its directly materialistic dimensions since it comprises the background of various emotional and ideological investments. Thus, the point in question for the writer is not adulthood but whether the co-existence of Christians and Jews is feasible. Kokantzi's descriptions do not bring forward stereotyped features at the linguistic level while the "other's" space is turned into a symbol. The significance of the friendly relationship is prior to that of religious difference or national identity. The prohibition of endogamy is abolished with the penetration into the mystery of love but, at the same time, it functions in a magnifying way regarding the tragic aspect of the separation that follows.

In the cases of Bakolas and Kokantzis the city initially creates the conditions for the terms of "otherness" to be deconstructed and for the contradiction of "we" vs. "they" to be eased. The faces of the "other" are defined and are part of the wider social life of the city. The tragic dimension that goes beyond the limits of the human relation and expresses through the criminal absurdity of the genocide the universal and timeless pain, manages, nevertheless, to signal in both works not only the end of a great love affair but also the end
of the dream regarding the harmonious co-existence of Christians and Jews in Thessaloniki.

The economic and material segmentation of the city consists of one more parameter in this field of symbolic representation. In The capital of the refugees by Ioannou, the children of poor, hardworking families, hungry and toughened ones "were deeply jealous inside" of, in their opinion, the better situation of the Jews (61-62). In the texts we also see the typical meanness that the Christian populations of the city attributed to the Jews. In Out of pride a Jew prostitutes his daughter (80) while in Our Blood all Jews are collectively characterized as "very stingy, the poor things" (56). In Giving cause for by Alaveras the narrator stigmatizes the behaviour of the Jews of Thessaloniki during the strong earthquake that shook the city at the beginning of the century "the inhabitants of Kamara, Turks, Greeks and Armenians, were shaking, while the Jews were leaving their neighborhoods to go to the nearby ones to rob people of their money and jewellery in a hurry themselves before life itself, the ungrateful things" (13). The odds and ends of the private space provided by the urban net, the inlaid stones of life in the city, become expressions of behaviors and incriminated stereotyped dissimilarity indicating symbols of a psychological space (De Lauwe, 1975).

The symbols of private life, the houses, become "hand inner boundaries", a net of inaccessible places that runs through the city. According to the texts we have, very few are the individuals that sought refuge in the Christian homes of Thessaloniki, and were saved. In Our Blood it is mentioned that only ten families with 72 people in all were saved in a similar way (63). The narrator, in an attempt to release Thessalonians from the blame of indifference, reminds us that the city was of European importance and its safeguarding was strict, consequently "the people of Thessaloniki could not express themselves with similar actions, it was certain that they would suffer a great deal" (64). In the Great Square by Bakolas, Mirsini's greek family refuses to hide the Jewish neighborhood girl Betini although they have been on very friendly terms with Betini's family for years. Betini's mother begs the Greek mother to hide her child "you are a mother, you can feel the pain". Mirsini, however, despite the fact that she turns as white as marble out of distress and cries woefully, insists on saying that "I can't destroy my family" (336).

Many Christian Thessalonikians turned easily from being indifferent, as we mentioned before, into exploiting the Jews' pain for their own benefit. Such a violation of private space when the minority ghetto is deserted comprises also an attempt of symbolic invasion of the space of the others which may belong to us now not, however, not necessarily with feelings of arrogant and scary superiority. The looting and plundering of the Christians and gypsies is depicted by Ioannou in The capital of the refugees where besides the looting of the homes and personal belongings of the Jews, the plundering of their stores is also described "They had opened the Jewish stores from the back door and they were emptying them" (67-68). In Sarcofagus the bed of the young Jew Izo is the only material object that after a lot of hesitation the narrator's family will take although they, in no way, participate in the looting of the Jewish property. The bed is the symbol of their common childish wishes and dreams which refutes hatred and the differences of their peoples: "Something had been saved of Izo's blood and had been united with my own" (145).

In the Great Square of Bakolas, a literary work which presents even in its title the significance of the city and of the maximum of its space-time references, there is a scene in which the private inaccessible space meets in a heart-breaking way with the tragic event that takes place in public life. The family of the hero Christos cries behind the windows as they witness the scene of the concentration of the Jews because among them there are friends of theirs (331). The city makes up the substantial place where an act of both separation and unification takes place reaching its climax, for example, in the scene where the old man, Alberto Matalon, takes his hat off in the street in order to greet the hero
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Christos who helps him hold his old wife. When everything vanishes, the Jew, the man, recognizes, in the face of the Christian, his fellow-man, the unselfish friend who does not expect to profit from his destruction. Thus, Egnatia Street, being a main road of the city, becomes the field where all great events take place in relation to the different peoples of the city (Sadalla, Burroughs and Staplin, 1980). The scene of the separation of the hero Efthios from his very good Jew friend, Ino in the Victims of Peace of Vasilikos as the Jews were forced to abandon the city, is very touching “in the endless crowd of the Jews that were leaving along Egnatia street, Ino with his little brother on the carriage with the yellow stars on their sleeve were waving him goodbye without knowing whether they were going on an excursion or on a long journey” (116-118).

In the work of Vasilikos Memory comes back in rubber sandals the keys become symbols of respect or of the invasion of the inner world of a minority group (stores), thus, something like guardians of a multicultural city and of morality since they keep the hope of returning alive. The desperate Jews trust (just before the beginning of their torture) the honest lawyer, the narrator’s father, with the keys of their drapery stores on condition that he would return the keys to them when everything was over. The narrator’s father, despite the fact that he was offered the opportunity to become quickly rich, did not give in to the pressure and blackmailing he suffered by the Greek black marketeers who offered him money in order to give the keys of the Jewish stores “I remember him grab angrily the bunch of keys, twiddle it in his hand and then throw it out of the window breaking the window glass making a loud noise” (35, 42).

5. In the case of Albanians

Even though in terms of time, the historical frame of action of the Albanian heroes appears more than fifty years later than the respective frame of action of the Jews, we can see clearly the similarity in the behavior of the heroes which reveals the stiffness the contemporary Greek society shows regarding issues of incorporating or “familiarizing” “the other”. Their entrapment in the city net takes place through flagships, symbolic buildings of constitutionalized authority, such as the schools in which, as it is known, the teenage students spend a significant part of their life.

In the novel Gasmed, the fugitive with the flute we observe a teenager reaching manhood in the small society of the outskirts of Attiki, experiencing the procedure of national isolation mainly on his way from home to school and the vice versa. In a similar way, in the literary work Brown disgusting little ball the heroine Klara comes of age but we have no indication of a possible love affair although her Greek coach seems the right person for this role. In the radical novel Tiny diary of borderlines of Kaplani the area of Exarchia proves to be an advantageous, symbolic space of action, full of emotions as the lack of a companion (especially a love companion) tortures the immigrants. “Loneliness…Loneliness…In this city he suffers from extreme loneliness so much that he is even jealous of the stray dogs. He is young, he is turned on when he sees pretty things but especially pretty girls…At night when he goes to bed he caresses his body…” It is characteristic that regarding the engagement of the city space by the immigrants – not so much the space of reality but the place of action – seems to intervene more directly since the imagination of the immigrants has to do more with the places in which the proletarians can easily move and can be accepted as well as with the absence of places from which immigrants are excluded. Thus, “Late on Saturday he will go to the sex-cinema. He will go out feeling disgusted and his loneliness will grow wilder…” (93). In the same literary work the writer also touches upon the issue of the primitive conception of the Greek reality by the immigrant Jemal who simultaneously functions in an explanatory way regarding the degree of difficulty a love affair between an Albanian man and a Greek woman faces “Jemal stopped in front of the coffee-shop window and looks at the people who were inside “I have never seen such beautiful girls” he said in true innocence” (102). In fact the
weakness people have to form a healthy love affair leads the writer to ideological visions of the 60's embellished with a Balkan male chauvinism regarding the lover-immigrant coming from the countries of the Mediterranean "But Jemal found the opportunity to continue saying that the wives of the rich men long for black men and immigrants because actually in these countries there are no men. To be more specific, the men either lie in bed with one another or they never have home time..." (104). In the work A tree in the snow by Ziko Kapourani the same feeling of loneliness actually emerges through the concrete work turning the city into an impersonal place of nonexistence, with apparent lack in the means of communication "Here come Saturday and Thessaloniki/ runs to the villages to take a breath/ I am the ox in the sorrow/ I chew the concrete in silence" (Kapourani, "Here comes Saturday").

As far as the substantial field of action and its various inner investments are concerned, it is significant to note here that xenophobia is expressed through the symbols and institutions that characterize the field (police, customs offices, schools etc.) perhaps because it would be provocative to personify it. The symbols and these institutions, however, control in a certain way the world of depiction and reconstructions bringing to memory the limits/ symbols of the actual world in contrast to the plurisignation of fiction (Karasavidou, 1998). Most of the times the enemy, the negatively disposed towards the Albanian immigrant, is the impersonal society, the faceless average citizen whose negative disposition results from some rumors and peculiar uncontrollable situations. In other words, no specific characters contribute to that but a vague, hostile atmosphere which is spread around with the help of the Media as well as the expression of a constitutional conception deriving from the institutions mainly, as we have already mentioned before.

Regarding the Albanians, a group of people that has not yet been incorporated to the urban net (unlike the early urbanized Jews who use private places as places of reference) the other references to the city have to do mainly with places of action (public places). The scenes from the novel by Kaplani Gasmed, the fugitive with the flute are characteristic "Albanian? somebody asked him at the construction area. He nodded "yes" with his head... They approached him smiling... He told them that he was an illegal immigrant. They let him sleep at the construction area and work there" (60). Even mister Dimitris, the friendly driver that thinks of him and likes him as if he was his son and takes him from Giannena to Thessaloniki and then to Athens (72), is nothing else but a simple means to the transportation of the immigrant from one urban centre to another, as the city itself comprises a place of action for survival for the desperate immigrant because neither the seasonal occupations in the rural countryside are sufficient nor can he easily find a hide out.

In the novel It is a long way to Heaven the school is turned into a substantial, psychological place of both introduction and acceptance of the other under the condition, however, that the other proves to be superior to the natives. Thus, Veronica becomes the top student in her class and a flag-attendant at the school parade. The biblical reading theme of reaching the Promised Land after escaping from the desert transforms symbolically the city into a new Eden, since in the other literary works Klara becomes a world Champion, Maria finishes school, Ferit becomes a typical middle-class Greek and Gasmed becomes a little hero to whom society as a whole is ready to apologize and show appreciation. The issue, nevertheless, of the integration of the Albanian immigrants into the Greek society through impressive attainments is clearly related to the narcissistic attitude the Greeks have of themselves as being hospitable and understanding.

The same narcissistic reading exists in the image of the Greek as being the person "who knows about emigration and exploitation". Such is the case, for example, of Papajimis in Gasmed, the fugitive with the flute, who is a caricature of the Greek-American, of Mrs. Olga in A child two fatherlands who is a lonely lady who appreciates the
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humanity of Ferit’s Albanian family and Mrs. Ioannou in the novel It is a long way to Heaven. The workplace is a covert place of reproduction of the social hierarchy not only at the level of purchasing human labor but also at the level of human labor produces "The building contractor had many Albanians working in his crew since the wages they wanted were extremely low. In the beginning a lot of Greek workmen were extremely angry with this situation that left them unemployed but offered the chance to “the imported ones” to buy break. As the time went by, however, they were able to see that the cost of constructing a building was reduced and, consequently, the real estate purchasing became easier" (Gasmed, the fugitive with the flute). Generally speaking, labour exploitation is either partially touched upon or indicated mainly through contexts describing the living conditions of the Albanians, without, however, describing as ruthless and cruel the behavior of the Greek employers whenever they happen to exploit their immigrant employees. It is characteristic that regarding the workforce we notice an attempt to accept them, although, it is not based on the self-value of the human rights but on the basis of degradation of what those people offer "Greek people do not care to do such jobs at such low payment" (Brown disgusting little ball, 40).

A variation is registered in the work of Kaplani (an Albanian writer living in Greece), A tiny diary of borderlines. The scenes showing friendly disposed Greeks towards the Albanian immigrant are scarce and they are all scenes in non-structured places of the city. He registers the unknown man who offers hot tea to the immigrants (125), the polite policeman, Pavlos, who condemns bitterly his fellow-police officers and states that he is going to quit and start working at the airport and, finally, the film director Christos who practically kidnaps the protagonist of the novel and helps him escape to Athens. Moreover, "Some Greeks were standing at the doors of their homes and in their look one could see the pity mixed with immense surprise" (55). In all the other images we can see cynical Greeks parading either hostile or neutral, ready, at the first opportunity offered to show pity, fear, indifference or aggressiveness, emotions and reactions that do not leave room for any attempt regarding the formation of social relations "At some point one of the regulars at the place went and stood at the door. He was holding a box of biscuits in his hand which he started throwing at the crowd as if he was throwing seeds to pigeons or to be more precise, as if he was throwing corn to hens" (57). In fact, in some cases the superficial friendliness Greeks show is easily transformed into a cruel social exclusion "You changed your name. You were christened. You have learned the language.” Rare words and common expressions. You use the first ones to show that you are no different. Nevertheless, you feel you are a stronger, very alienated, extremely alienated, a complete intruder" (111).

At other times in the scene we see the fear, the surprise, the wonder being vividly imprinted on the part of the Greek citizen who is unable to interpret the new situation that has been created and his distance from the Albanian immigrant grows bigger "In the video club there was only the sales assistant, a brunette, a very beautiful girl. When she saw us enter in such a way, dressed almost in rugs, blackened by dirt and hardships, she got scared, stood up and made a step backwards... She did not even ask what we wanted, she simply stared at us as if she expected us to attack her or rip off the store" (108). The same feeling created by Kapourani’s way of writing "Cars running fast, crazy trucks, full of people the buses stop abruptly as the drivers step hand on the brakes/we feel choked by the people’s looks as they look down on us, and we drink the noise, the indifference" (Kapourani, "In a Foreign Land").
Conclusions

1. All the writers whose work is based on the periphery of history reveal the structure of the feeling of past ages and contribute, through narration, to the transmission of lived experience (Williams, 1994). Thus, we are offered the opportunity to approach and reconstruct social behavior, ideas and elements of the political life of a place at a definite time. At the level of historical analysis the structure of the sensation we get registers the thoughts, the emotions, the features of a social group that does not have at its disposal public and official means of expressing its experience.

2. The typical relation between private and public life is overturned. The house (inside), the prevailing chronotopos (time-space) in works regarding the Jews, gives way in the modern children's/juvenilie novel that depicts Albanian immigrants. Places of the city in which the private element mingles with the public one (outside) such as squares, museums, theatres, coffee-shops, restaurants, stores, etc. or elements of the natural environment: beaches, small forests and small public parks within the borders of the urban landscape where the heroes appear to act in teams take a leading role.

3. Through verbal procedures of symbolization, the urban landscape undertakes the responsibility to perform specific functions not only with regards to the textual organization of the literary work but also regarding the non literary reality upon which the work is registered. The minority groups experience strong feelings of alienation at various points of the urban landscape despite the fact that it is the modern metropolis itself that promises to her citizens abundance of services, goods and pleasures (Wirth-Nesher, 1996).

4. It has been found out that in those novels, regardless of the writer's origins or descent, in which the narrative mode has been chosen as the omniscient point of view (third-person narration), and in general the classical realism, the result is a typical stereotyped depiction of the other. In the works however where the text is the meeting point of the multifocal narration with the interior monologue and the application of modern techniques of narration and fiction, then the writer's look turns over what is typical and stereotyped and lightens with new ideas the social reality. The novels A tiny diary of borderlines, A child two fatherlands, It is a long way to Heaven, Gioconda, The Great Square, and the short stories collections Our blood and The capital of the refugees undermine the already pre-structured image of the "other" as well as the stereotyped hospitable and humane image of the average Greek.

5. The Greek writers easily and effortlessly attribute to "the other" generalized judgments of a stereotyped character regarding his psychological and mental world. This literary production or, if you like, the symbolic structure of the objective reality which each one of us experiences, based on the subjective dispositional characteristics one has as well as on the previous knowledge, has naturally penetrated all the participants of the Greek reality regardless of race or sex. The "other", whether it is the Jewish fellow – a citizen who has been walking along with the Christian Greek for centuries – or the Albanian, who may actually be developing and improving, takes up steadily, in the literary works, repeated characteristics, in other words, a stereotyped image. When different features appear, for example, the Jewish friend, the fellow – a fighter against the Germans or the Albanian immigrant with a very expensive mobile phone, or the Albanian immigrant who can speak three languages, then the general reaction of the Greek is cynicism and irony. The dominant national group does not have the disposition and the flexibility to perceive the individual differences among the members of a racial, cultural or national group despite the fact that narrations of this type have the ability to present more clearly the contradictions not only regarding the way in which the immigrant functions, but also regarding the attitude of the society which hosts him and recognizes in itself both democratic and multicultural features.
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Le commerce électronique comme problème de communication interculturelle

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Abstract: The present work is an analysis of the e-commerce as an exchange that supposes a cultural and a communication dimension.

We are trying to demonstrate that the proper economic transaction is doubled by the existence of certain strategies for the elaboration of the message and it is influenced both by the nature of the electronic support and by the inter-subjective relationship generated by the idea of exchange. E-commerce is an activity having many economic advantages representing a well-known progress within the society evolution. Commercial communication established on an electronic way does not necessarily mean an attempt to substitute human authentic relations at least in what interpersonal communication is regarded.

C'est un fait connu que la création des services publics en ligne a gagné un essor considérable lors de la création, en 2003, dans le cadre de l'Union européenne, du programme e-Europe. Le but en est de consolider des services tels e-Gouvernement, e-Learning, e-Health, e-Business (comme la terminologie anglaise les a consacrés). Dans notre article, la dimension économique proprement dite rejoindra la dimension linguistique et sémiotique, puisqu'on part de l'observation que toute forme de commerce suppose un certain type d'échange.

Cet échange devient d'autant plus complexe lorsqu'il s'agit d'un canal de communication particulier (celui électronique) qui suppose une diversification considérable des paramètres de communication – émetteurs (vendeurs) et récepteurs (acheteurs), but de la communication, (échange de biens), environnement du discours (psychologique, et concernant les loi du discours). Ainsi, les protagonistes du discours peuvent être des instances individuelles (particuliers) ou collectives (entreprises), alors que le canal électronique (qui n'offre pas la présence face à face) est censé requérir des solutions appropriées pour l'accomplissement des transactions en parfaite sûreté.
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Mais ce qui nous semble le plus intéressant dans ce marché à dimensions globalisantes sont les façons d’ajustement des moyens techniques employés, y compris des offres, afin de s’adapter aux exigences particulières de chaque culture. Ainsi le commerce électronique devient-il une tentative moderne de rapprochement et d’interaction entre les gens appartenant à des espaces différents, à condition que les habitudes commerciales, la langue de communication (en général la langue maternelle) et les réflexes nationaux soient ménagés. On tentera donc, dans notre propos, d’identifier les paramètres définitoires de cette forme d’interaction humaine, qui s’est frayé peu à peu chemin le dernier temps en Roumanie aussi, mais qui se heurte parfois à la conception un peu conservatrice du commerce traditionnel.

Le problème que nous nous proposons de discuter dans le présent travail, celui du commerce électronique comme type de communication reliant des espaces culturels, doit nécessairement commencer avec son encadrement dans un type discursif. Si l’on considère, a priori, le commerce en ligne (dans sa dénomination française) comme un genre discursif (qui apparaît seulement si certaines conditions socio-historiques sont réunies - on pourrait y ajouter l’épopée ou le talk-show), il faut établir, linguistiquement parlant, des classes et des sous-classes discursives censées établir une définition plus spécifique. Ainsi, on observe comme sous-type l’existence d’un discours sur Internet, englobant tous les genres de communication électronique existants à l’heure actuelle, qui font partie, à leur tour, d’un type discursif qui est celui du discours médiatique (qui comprend la communication dans la presse, la radio et la télévision). On pose comme prémisse de notre étude le fait que ce qui lie toutes ces manifestations discursives observées est l’existence d’une compétence communicative spécifique qui se manifester chez les sujets qui y participent.

D’une façon générale, on définira la compétence communicative comme « l’aptitude à produire et à interpréter des énoncés de manière approprié aux multiples situations de notre existence » § Sans doute, ce type de compétence s’accompagne de la maîtrise des lois du discours et de celle des genres de discours, mais aussi des compétences linguistiques et encyclopédiques (des connaissances sur le monde), de l’implicite et des contraintes de l’énonciation.

Dans notre analyse, on essayera de circonscrire la spécificité de ce type d’échange commercial en deux étapes : premièrement, on va se rapporter aux particularités spécifiques dus à la nature virtuelle du support (et qui mènent à l’expansion sans précédent de la communication interculturelle) et, deuxièmement, on tentera de mettre en parallèle le commerce traditionnel et le commerce électronique, pour mieux saisir les particularités du dernier.

Outre les aspects qui lui sont spécifiques (nature et construction du message, position des interlocuteurs, influence du contexte), le discours médiatique, comme le nom le suggère d’ailleurs, pose le problème de sa manifestation matérielle. La manifestation matérielle du discours devient parfois la plus importante. En effet, le support et le transport des contenus diffèrent si les énoncés sont oraux, sur papier, radiophoniques, sur écran informatique, etc. La révolution informatique, l’Internet en particulier, nous rendent conscients que le médium n’est pas un simple « moyen », un instrument pour transporter un message stable : une transformation importante du médium modifie l’ensemble d’un genre de discours. Si auparavant on parlait d’un discours commercial / interactions dans les petits commerces, dont la caractéristique la plus importante était l’interaction directe, face à face, on parle aujourd’hui de « commerce électronique », où l’écran de l’ordinateur remplace la présence humaine ou la substitue.

D. Maingueneau le montre lui aussi : l’avènement des médias audiovisuels et le développement de l’informatique sont la source du rôle crucial que le médium gagne dans notre société : « leur apparition a provoqué une rupture avec la civilisation du livre, qui était solidaire de toute une conception du sens. (...) On s’était habitué, en particulier dans
les études littéraires, à envisager les textes comme des suites de phrases douées de sens, indifférentes à leur médium ». La stabilité matérielle du texte est mise en cause par les nouvelles technologies. L’écran d’un ordinateur branché sur Internet offre un texte hétérogène, en perpétuelle reconfiguration. Son lecteur décide ce qu’il veut en faire, il peut naviguer librement dans une multitude d’énoncés qu’il convoque ou fait disparaître et qu’il peut aussi stabiliser en les imprimant : « L’écran lui-même n’est qu’une fenêtre ouverte de manière instable sur un ‘texte’ qui est parfaitement irreprésentable : c’est un ‘hypertexte’, un énorme réseau de relations virtuelles qui permet un nombre illimité de parcours distincts ». Ainsi parle-t-on d’une dématérialisation des supports physiques des énoncés, ce qui représente, nous le croyons, la spécificité de la communication sur Internet. Le grand hypertexte de la Toile (World Wide Web), si immatériel qu’il soit, révèle un paradoxe : il est partagé par tous les participants à la communication. On pourrait considérer que le contexte commun de la communication se matérialise de nouveau, mais autrement : quel que soit le message que nous abordons dans cet espace de documentation, ce message va être connecté à d’autres messages, à des commentaires, à des gloses, il va être connecté surtout, non seulement à d’autres messages, mais à des personnes vivantes qui sont peut-être les producteurs de ces messages, ou les autres lecteurs de ces messages, ou des personnes qui travaillent sur les mêmes sujets ou qui sont passionnées par le même thème. Et donc, non seulement tous les messages sont en interconnexions, mais tous les participants de la communication sont en connexion les uns avec les autres, notamment par l’intermédiaire de ce milieu médiatique qu’est le Cyberspace.

Comme forme de communication, l’hypertexte, représenté par l’ensemble des pages Web, exprime les idées, les désirs, les savoirs, les offres de transaction des personnes et des groupes humaines. Quels que soient la langue, le degré de culture ou la nationalité, ce réseau est disponible, théoriquement, à tous. Le Web articule une multitude de points de vue, chacun peut choisir et sélectionner les informations et devenir émetteur à son tour. Si la culture de l’écrit repose sur l’autorité du livre, de l’encyclopédie, de la bibliothèque, l’Internet, comme créateur du Cyberspace, marque un retour à l’oralité archaïque et la déterritorialisation de la bibliothèque, si l’on observe que le savoir y est porté par les collectivités vivantes, plutôt que par les supports traditionnels des savants.

Cette étonnante possibilité de l’interconnexion, due à l’apparition révolutionnaire de l’Internet (qu’on compare avec celle provoquée par la radio dans les années 20 et par la télévision dans les années 60) mène à une nouvelle transformation dans l’exercice du commerce et propose une autre façon de concevoir les interactions verbales, qui étaient spécifiques au commerce traditionnel.

Plusieurs définitions du commerce électronique peuvent être retenues. Il désigne soit l’échange des biens et de services entre deux entités sur les réseaux informatiques, notamment Internet, soit, selon d’autres sources, l’échange d’informations qui aboutira à un échange de monnaie, de biens ou de services par des voies électroniques. Les deux définitions utilisent le mot échange, mais la deuxième met l’accent sur le caractère potentiel de la transaction : c’est plutôt l’échange d’information qui mènera à un échange des biens. De toute façon, la récurrence du terme nous mène à penser au caractère intersubjectif du commerce électronique, en dépit de la dépersonnalisation de la relation communicative. Les consommateurs ou les clients réels deviennent des cyberconsommateurs, individus qui vivent dans un monde virtuel ouvert par l’Internet et qui engendrent un qui nomme la cyberculture. La Cyberculture c’est, selon P. Lévy, l’ensemble des techniques, des manières de faire, des manières d’être, des valeurs, des représentations qui sont liés à l’extension du Cyberspace. Si le Cyberspace va continuer à s’étendre, au point ou tous les ordinateurs de la planète vont être interconnectés, de nouveaux problèmes surgiront dans le domaine des sciences de la communication. Toute cette nouvelle terminologie (à laquelle s’ajoute encore d’autres
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termes comme village virtuel, *netziens* etc) suggère l’apparition d’un monde à part, un cyberespace indépendant, doué d’une culture auto-générée, une société distincte, hors de portée des règlements en vigueur. Comment est-il possible de communiquer pour arriver à une activité commune dans un tel espace hétéroclite, qu’est-ce qu’il reste de nos cultures et nos habitudes de vie ? Cela devient possible si on conçoit la cyberculture comme un espace métaphorique (comme le fait Pierre Lévy, entre autres), comme un espace de communication ouvert par l’interconnexion mondiale des ordinateurs. Si on se rapporte aux tentatives récentes de la création d’une existence virtuelle sur Internet, on peut trouver une confirmation. En échange, le commerce électronique ne s’y soumet que partiellement, vue qu’il remplit quand même un besoin millénaire de l’homme : celui de vendre et d’acheter des biens, opérations qui suppose un certain protocole, quel que soit le moyen employé.

En effet, comment fonctionnera la liaison commerciale, transactionnelle, entre les personnes, les groupes, les organisations réunies dans cet espace virtuel ? Remplacer la boutique avec l’ordinateur, cela représente, quoi qu’on dise, une mutation culturelle qui est, en fait, une mutation de civilisation, liée à un profond changement dans le système de communication. Pour saisir l’essence de cette mutation, examinons, dans la situation précise que nous nous sommes choisies, l’échange commercial, les ressemblances et les différences entre la manière traditionnelle d’interagir dans le commerce traditionnel et les nouveaux formes de communication électronique (commerce en ligne, e-commerce, cybermarché, et d’autres variantes terminologiques, selon l’espace culturel de référence). Le but est, premièrement, le même : l’échange entre celui qui vend et celui qui achète. La différence la plus importante est due, principalement, à la nature du support : l’interaction commerciale traditionnelle est un événement qui a lieu face à face, alors que le commerce électronique est réalisé par l’intermédiaire de l’ordinateur.

Dans la théorie conversationnelle, l’interaction est définie comme « l’action mutuelle des individus réunis » et leur « action conjointe ». Vu le caractère globalisant et interactif du cyberespace, nous pensons que cette action mutuelle devient possible : les individus agissent les uns sur les autres et, par leurs échanges, agissent ensemble sur la réalité. Pourtant, on ne tarde pas de saisir des particularités importantes de la communication directe, face à face. Premièrement, à la différence de la communication électronique, la présence des partenaires est physique, et les voix des personnes sont en contact direct. Dans une interaction directe, le message ne circule mécaniquement entre les deux « pôles » traditionnels de la communication, l’émetteur et le récepteur. L’approche interactionniste complexifie la représentation traditionnelle en observant ce qui se passe durant la prise de parole de l’un des partenaires. Le récepteur n’est plus passif, mais il contribue à la construction du message par des « signaux d’attention » qui constituent une réponse continue à ce que Cosnier appelle « les 4 questions du parleur : « Est-il entendu ? Est-il écouté ? Est-il compris ? Qu’en pense l’écouteur ? » Le locuteur exprime ces questions à travers des signaux non-verbaux, qui lui permettent de s’assurer à tout instant que tout va bien. Pendant qu’il émet son message, le locuteur est aussi récepteur, pendant qu’il écoute, le récepteur est aussi émetteur. Dans cette situation, tout message est co-construit. C’est vrai, on a affaire ici aux avantages de l’oralité, et les messages qui y apparaissent ont un caractère spontané et éphémère. Le texte écrit spécifique au commerce électronique est préconstruit, et n’offre pas les mêmes possibilités de réaction de la part des clients. En échange, il y a d’autres avantages qui apparaissent : l’absence de contact physique mène à l’ouverture illimitée du nombre de destinataires. L’énonciation électronique ne se passe plus entre deux ou plusieurs personnes regroupées dans un espace clos (la boutique) ; la transaction s’y effectue dans une asymétrie extraordinaire, entre des énonciateurs et auditeurs dont le nombre et l’identité sont difficiles à établir. Le commerce électronique n’offre pas d’instances homogènes de communication : la relation interpersonnelle acheteur – vendeur est
remplacé par la relation acheteurs virtuels / compagnie qui offre des services (Amazon, Quelle). Cette identité « métonymique » cache la dépersonnalisation des relations de vente / achat. C'est au nom d'un groupe (instance impersonnelle) qu'on offre des produits ; du côté de la réception, les destinataires sont eux aussi multiples. Théoriquement, tous les bénéficiaires d'un réseau Internet peuvent en devenir des clients.

La composition du message a des caractéristiques différentes dans les deux types d'interaction. Dans les interactions orales, le message est dirigé plutôt vers la construction d'une relation personnelle. Cela se réalise par le fonctionnement de la multicanalité de la communication. Par le canal auditif, sont reçues les informations verbales et vocales (montées intonatives, hésitations) ; sur le canal visuel, on remarque les postures, les regards, les gestes. Si le verbal correspond au « texte » de l'interaction, le vocal (le para-verbal) concerne les variations telles que les montées ou les chutes intonatives, les modifications de l'intensité de la voix, le débit, etc.). Sur Internet, cette multicanalité disparaît complètement, ce qui a évidemment des répercussions sur la construction du message et sur la conception plus profonde sur les relations commerciales traditionnelles.

En plus, dans le commerce traditionnel on a la possibilité de négocier, non seulement le prix (ce qui est d'ailleurs défendu dans le commerce européen du moins, sauf celui en plein air ou dans les foires), mais aussi les références, le vocabulaire, le script, le choix du produit, la couleur, le modèle, les règles conversationnels, les accords et les désaccords, etc. comme dans ce petit échange : Le client :- Je voudrais un pain bien cuit / Le vendeur :-Cette baguette est bien cuite / Le client (en fronçant les sourcils) - Vous trouvez ?

Les spécialistes qui s'occupent du design et de la conception des sites commerciaux doivent ainsi remplacer ces éléments qui tiennent au caractère spontané de l'interaction face à face. La difficulté est assez importante : comment pourrait-on récupérer des habitudes humaines anciennes, comme le plaisir de se promener dans les magasins pour faire des achats ? Le contact direct avec le vendeur et les produits est parfois irremplaçable, il suppose aussi faire la conversation, au-delà du besoin d'acheter des biens.

Plus qu'une relation interpersonnelle, le commerce électronique établit une relation fonctionnelle entre des participants virtuels. C'est une relation à distance, qui a ses avantages et ses désavantages, et le message doit en tenir compte. Sans entrer dans des considérations psychologique, il arrive, dans notre société que les gens n’aient plus le temps ou la disponibilité de faire personnellement des achats, et alors le commerce électronique s'avère une solution commode, qui évite les contacts interhumains. En plus, la possibilité du choix et de comparaison est vaste, les produits sont de plus en plus diversifiés, les prix sont, généralement accessibles, la livraison de plus en plus rapide.

Quand même, la construction de la relation commerciale électronique s'efforce de remplacer certaines caractéristiques de la relation traditionnelle, ce qui témoigne qu'elle est vue encore comme un substitut : le marché virtuel n’a pas remplacé complètement la boutique traditionnelle. Même si l’Internet ouvre un potentiel énorme pour le commerce électronique, il provoque encore une certaine crainte, qui peut facilement s'expliquer par le manque de confiance due à cette dissolution d'identité dont nous avons parlé. Il y a deux stratégies principales sur lesquelles la relation transactionnelle électronique se base afin d'établir une relation plus étroite, plus personnelle : gagner la confiance (développer l'authenticité, de crédibilité, en anglais believability) et, corrélativement, établir une relation amicale avec les clients potentiels.

Les études d'économie, de marketing, de sémiotique de l'image, de design web, de psychologie et sociologie se rejoignent afin de créer la meilleure image du site, des produits vendus et, implicitement, de l'équipe qui se trouve derrière. La diversité des produits qui peuvent être ainsi vendus demande des équipes interdisciplinaires. Voilà, à titre d'exemple, quelques-uns des services et des biens vendus par Internet aux
particuliers : (activité connue en anglais sous le nom de Business to consumer - B2C) : biens culturels (livres, CD et DVD) ; appareils technologiques (PC, électroniques, hi-fi) ; tourisme et voyages (billet de train, d’avion) ; produits de grande consommation, avec les supermarchés en ligne ; les produits d’imprimerie (cartes de visite, plaquettes) ; les produits d’habitat (vêtements, puériculture). De cette brève énumération, on s’aperçoit qu’on vend en général, dans le système électronique, des produits qui n’exigent pas la présence effective de l’acheteur à côté du vendeur et du produit. Dans ce cas, la multicanalité dont nous avons parlé dans la situation d’interaction directe est remplacée par un autre système de signes, celui des images, où le produit est minutieusement décrit, et encore celui du texte écrit, voué à substituer sa présence effective. Le même mécanisme ne va plus dans le cas des produits qu’il faut tester, comme les parfums et les autres produits de beauté, sauf dans les situation où la marque du produit représente une garantie suffisante pour faire la commande. Une autre stratégie sémiotique qui vise de gagner la confiance est l’appel à des images ou des photographies qui représentent des gens réels (les gens de l’équipe), ce qui a un effet de personnalisation de la relation et conduit à une augmentation de l’intérêt. La confiance se gagne aussi par l’indication de quelques dates de contact (adresse, téléphone, email, fax) dans le but d’offrir une identité plus précise au marchand virtuel, en indiquant, derrière le site, l’existence d’une organisation réelle. Les répliques des vendeurs en chair en os doivent être remplacées sur Internet par des réponses promptes, rapides, individuelles aux demandes des clients. Les nouvelles informations doivent être promptes et signalées par des indices spécifiques, pour attirer l’attention. Une belle image du site et une bonne organisation structurelle seront l’équivalent de la boutique propre et accueillante, qui suggère une bonne organisation structurelle. L’emploi des signes et des codes qui rendent le site facile à naviguer sera l’équivalent des rayons bien rangés. A la différence des fautes de langues, des hésitations qui apparaissent fréquemment dans les interactions concrètes, mai qui sont corrigées instantanément et n’endommagent pas sur les achats, les fautes sur Internet, même les fautes d’orthographe, ont des effets presque catastrophiques, suggérant la négligence et conduisant à une perte de crédibilité. Il y a aussi des stratégies visant la réduction de l’hétérogénéité et l’impersonnalité des émetteurs : l’emploi des citations ou des proverbes célèbres sur le site est parfois une bonne stratégie de marketing, visant à donner la parole à des autorités ; on recourt aussi à des interviews avec de différentes personnalités, des spécialistes reconnus dans le domaine, qui cautionnent la compagnie de leur propre expérience. Le service « live chat » où les clients peuvent exprimer des points de vue et suggestions est très utile pour enrichir la relation avec le public, ainsi qu’une page contenant des « questions fréquentes » qui peuvent apparaître. L’humour on-line n’est pas, lui-même, exclu, mais pour adopter un tel style « relâché », il faut bien connaître son public-cible et s’adresser d’une manière moins conventionnelle. Une relation amicale, bienveillante peut ainsi se créer, et il semble qu’il y ait de plus en plus de clients qui la préfèrent. La vitesse de la transmission du message (le courrier électronique est instantané), les coûts d’exploitations réduits séduisent les gens qui recourent de plus en plus à cette méthode.

Economiquement parlant, comme on l’a vu d’ailleurs jusqu’à présent, le commerce électronique offre des avantages immenses au développement des affaires. Si, le dernier temps, on assiste à l’internationalisation de l’économie et des finances, les promoteurs de ce « marché global » tentent de créer les meilleurs stratégies communicatives afin de dépasser les barrières géographiques, mais aussi les différences culturelles inévitables xvi. L’effort de l’accommodation aux habitudes, aux représentations culturelles du commerce, aux styles de vie spécifiques est inévitable, et doit être orienté, principalement, pour assurer deux types d’adaptation, linguistique et financière :

- l’adaptation linguistique. La langue est celle qui, on le sait depuis Searle, concoure le plus à la création des institutions. On a démontré que, même si
l'anglais est parlé par la plupart des utilisateurs web, la langue maternelle est celle qui l'emporte dans la communication commerciale (dans les boutiques et sur les sites). La création d'un site multi-linguistique soulève un problème intéressant : employer un variante unique qui soit traduite en plusieurs langues, ou créer des sections distinctes pour chaque langue ? La première variante est considérée plus simple et moins coûteuse, alors que la deuxième offre la possibilité de récupérer quelques-unes des particularités culturelles des destinataires.

L'adaptation financière. Plusieurs obstacles matériels peuvent intervenir : l'insuffisance du développement, dans de divers pays, des moyens de paiement par cartes de crédit (utilisés par la plupart des sites commerciaux), l'insuffisante pénétration de l'Internet (encore assez coûteux pour certains), l'existence des monnaies nationales (l'introduction de la monnaie unique européenne Euro ne représente que le début de la révolution financière). Les nouveaux méthodes de paiement apportent de nouvelles techniques cryptographiques, qui visent l'identification plus précise du commerçant : la signature électronique n'est qu'un exemple. Le but est d'éliminer les suspicions face à la légalité des transactions, et la possibilité des fraudes électroniques.

Malgré tout, il est évident pour nous que la nature de la communication commerciale qui s'établit par voie électronique ne fait que substituer provisoirement les relations interhumaines, dont la richesse et l'imprévisibilité sont irremplaçables. La « société Internet » nous offre parfois de fausses promesses, que certains on saisi le danger. Dominique Wolton, dans le livre Internet et après ? Une théorie critique des nouveaux médias conteste le fait que le « multibranchement » constituerait un vrai progrès. L'Internet peut constituer un marché d'informations, mais un marché qui diminue la liberté individuelle, d'une part, et ne représente aucune garantie pour l'honnêteté des gens et des transactions, de l'autre. Le support ne crée pas la vertu : « il suffit pourtant de regarder l'Internet rose, le rôle du réseau dans la spéculation financière internationale ou dans la criminalité. (...) La globalisation encourage la fragmentation en autant de communautés que de repères identitaires et de marchés potentiels. Demain, le problème principal ne sera plus l'expression, mais bien la capacité à sortir de la communication médiatisée pour éprouver une communication directe, humaine, sociale ».

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\(^{i}\) Cf. D. Maingueneau, Analyser les textes de communication, Paris, Armand Colin, 2005 p. 27.


\(^{iii}\) Ibid., p. 57.

\(^{iv}\) Ibid., p. 68.


\(^{viii}\) www.reseau-sadc.qc.ca.

\(^{ix}\) www.juriscom.net.


Managing Money and Language as Interrelated Sign Systems

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Abstract: In proposing an interpretation of money and language as overlapping sign systems, we have in view the metaphorical language of finance/commerce that permeates Dickens’s novels. The two novels that we consider as representative for the way in which metaphors from the financial system slip into other systems are Our Mutual Friend and Dombey and Son.

The method that we use consists of approaching the two novels from the perspectives of semiotics and stylistics, with particular reference to the economic isotopies represented in the semiotic square and the economic/financial metaphors in different types of discourses.

Introduction

We start our research from the hypothesis that money represents for Charles Dickens the main system that establishes the relationship between the individual and the society, whereas language itself is another important system that “becomes a commodity, a medium of exchange or an item of currency” (Connor, 1985:150).

In the interpretation of the complex structure of economic relations in Dombey and Son, we shall use an adapted model of Greimas’s semiotic square proposed by Connor (1985). This model of structural relationships brings to our attention the opposition of openness and closure. According to the positions on which the main characters may be placed in the square, the structure of family relationships corresponds to the four-term economic relations established among them. Thus, Connor’s model proves that “giving, exchange, investment and purchase come to provide a metaphorical language for the relationships of characters, and the giving, hoarding, purchase, dispossession and bankrupting of self.” (Connor, 1985:42).

One of the most interesting aspects of the metaphorical language of commerce and finance in Our Mutual Friend is the way in which human materiality (the material refuse of human lives under the form of dust, garbage, slime and excrement is continually being put back into productive circulation. The book satirizes the unfailing corruptive power of wealth, symbolized by the inheritance of these mysterious garbage heaps, called dust mounds (that were the source of the fortune made by John Harmon’s father) and by the changing fortunes of Boffin, the Golden Dustman. As the problem of inheriting these mounds is a major plot concern, we find a close association between money and language in the will
which represents a text in two systems (the linguistic and the financial) and carries out a transaction: the transfer of money from the deceased to its rightful recipient.

The outcome of our research project is the validation of idea that Charles Dickens shows keen awareness of the complicated and unstable systems of signification which determine the individuals in the Victorian age, leading to the destruction of the family lives of both rich and poor by an industrialized, materialistic society.

1. Economic relations in Dombey and Son

1.1. Models of structural relationships

Greimas argues in *Sémantique structurale* (1966) and *Du sens* (1970) that signs tend to gather in clusters rather than in rigid oppositions. The most common of these clusters is the four-term relationship represented in the semiotic square.

This narrative semiotic model is based on binary oppositions, more precisely, on privative oppositions (absence or presence of a feature) and qualitative oppositions (e.g. masculine vs. feminine). Thus, we shall consider the following types of relations set between the four positions: S1, S2, Non-S1, and Non-S2:

- Relations of contrariety (partial exclusion) – between S1 and S2 between Non-S1 and Non-S2;
- Relations of contradiction (total exclusion) between S1 and Non-S1; between S2 and Non-S2.
- Relations of implication (inclusion) set on the vertical axis between S1 and Non-S2 together with S2 and Non-S1.

Close attention to the language of Dombey and Son indicates that there are several oppositions established between the characters taken as terms of the semiotic square. Among the usable models of structural relationships, we can mention selfhood and otherness, paralleled by interiority and exteriority.

In analyzing the isotopy of family relationships, it becomes obvious that the most important relationship is that of father and son. Fatherhood is repeatedly formulated in terms of possession and interiority. Dombey has himself been a son and has been absorbed by the structure of family relationships just like Paul. This is why, although, in the isotopy of personal identity, Paul is the negation of Dombey, in this familial isotopy he is Dombey's contrary.

The text also produces a signifier which stands outside the sphere of the father and of the family: Florence is the negation of Dombey's interiority rather than its contrary. Florence therefore occupies the position of 'non-closure' in the square. We might expect this to be balanced eventually by a 'non-openness', the negation of little Paul, to balance Florence's negation of Dombey. It is tempting to consider Walter in this role. He is not a son, after all, but a nephew (of Sol Gills) and thus stands in a curiously unfixed family relationship. In the end he becomes another son to Dombey, of course, but one who enjoys a fuller, more permanent selfhood. In other words, he represents a negation of Paul and compensation for him at the same time.

![Diagram of semiotic square for Dombey, Paul, Walter, and Florence](image)

1.2. The isotopy of economy
Another highly visible isotopy which corresponds in some respects with the structure of familial relationships is that of economy. The complexity of the economic isotopy, together with the way in which the openness/closure opposition is transposed into different signifiers can be observed in the following representation (Connor, 1985: 43).

This diagram represents the main points of contrariety, negation and mediation in the economic isotopy. In its interpretation, Dombey represents the starting-point. As he is a financier, some of the imagery of hoarding attaches to him. There is a close relationship between this and his pride and emotional frigidity (even after his transformation, when speaking of Florence's daughter, Dickens tells us that Dombey 'hoards her in his heart').

The closure of economic possession is differentially related to a number of other signs. It is related by contrariety to the openness of spending or the circulation and exchange of money. If the contrary of possession or hoarding is to be found in exchange, then we can see the text generating examples of its negation in the non-possession or indeed dispossession of Paul and Florence. The relationship between contrariety and negation is pointed up in the passage describing Walter's application to Dombey for a loan. When Paul tells his father that if he had a lot of money he would 'give it' to Walter's old uncle, Dombey willfully mishears him:

'Lend it to his old uncle, eh?' retorted Mr. Dombey. 'Well! When you are old enough, you know, you will share my money, and we shall use it together.' (Ch.10, p. 134)

Paul has no money of his own, and his dispossession is the negation of Dombey's possession. A gift of money is merely the contrary of possession, for giving depends on the fact you have something to give. Lending is actually even closer to possession than giving, since it involves the reversion of the gift to the giver. Dombey is using the act of exchange to increase possession, since he will now possess not only the money but the person to whom the money is lent. Lending is therefore a form of exchange which annuls itself.

Florence, excluded from her father's economic interest, is even more decisively disposessed. As 'base coin' she is no good for investment purposes, though she does suffer divestment, when she gets lost in London and has her clothes stolen by Mrs. Brown. This episode involves an exchange, in that Florence's clothes are exchanged for the beggar's rags, but she is really the object of the exchange rather than a participant in it.

We have yet to identify in the text the last term of the semiotic square formed by the economic isotopy — the negation of exchange. The character who represents this final term is again surely Edith Dombey. Like Paul or Florence she is the object of a transaction,
but, unlike them, she is able to resist the act of exchange. Nevertheless, like Paul or Florence, she is also a non-possessor, for she asserts the importance of things which cannot be bought or exchanged, indeed, things that lie altogether outside the economic system:

‘There is no wealth,’ she went on, ‘that could buy these words of me, and the meaning that belongs to them. Once cast away as idle breath, no wealth or power can bring them back. I mean them; I have weighed them; and I will be true to what I undertake.’ (Ch.40, p. 545)

As proven in this section of our paper, the system of capital investment and return is one of the dominant ones in most Dickensian novels. Further on, we shall bring further evidence to support the idea that the language of finance and commerce invades and transforms more customary discourses: psychological, moralistic and comic.

2. The language of finance and commerce in Our Mutual Friend

2.1. The powers of money

The shiftings and overlappings of systems of signification in Our Mutual Friend act against the formation or maintenance of a stable sense of self. This is a novel in which the only way for consciousness or identity to survive is to attempt a withdrawal from systematic exchange.

The luring power of money, with its beneficent or destructive effects becomes a central theme of the novel. Gaffer Hexam starts by establishing its lack of importance to the world of the dead in order to justify his making a living in scavenging corpses:

‘Has a dead man any use for money? Is it possible for a dead man to have money? What world does a dead man belong to? ’Tother world. What world does money belong to? This world. How can money be a corpse’s? Can a corpse own it, want it, spend it, claim it, miss it? Don’t try to go confounding the rights and wrongs of things in that way. But it’s worthy of the sneaking spirit that robs a live man.’ (Book 1, Ch.1, p.47)

Bella Wilfer seems to impersonate the most hungry-for-money character who emphatically declares: "... I love money, and want money – want it dreadfully. I hate to be poor, and we are degradingly poor, offensively poor, miserably poor, beastly poor.” (Book 1, Ch.4, p.81).

Her discourse is characterized by foregrounding devices, intensifiers and a variety of means of expressing modality that underline her resolution to “have money”.

‘I have made up my mind that I must have money, Pa. I feel that I can’t beg it, borrow it, or steal it; and so I have resolved that I must marry it.’ (…) ‘Have resolved, I say, Pa, that to get money I must marry money. In consequence of which, I am always looking out for money to captivate.’ (Book 2, Ch.8, p.375)

Her ambition is nourished and encouraged by the Golden Dustman, who enhances the idea that he owns the means to make her rich as much as she does herself:

‘You are right. Go in for money, my love. Money’s the article. You’ll make money of your good looks, and of the money Mrs. Boffin and me will have the pleasure of settling upon you, and you’ll live and die rich. That’s the state to live and die in!’ said Mr Boffin, in an unctuous manner. ‘R-r-rich!’ (…) These good looks of yours are worth money, and you shall make money of ‘em. The money you will have, will be worth money, and you shall make money of that too. There’s a golden ball at your feet.’ (Book 3, Ch.5, p.526)

Bella’s concern with what Boffin appears to have become under the influence of money is firstly shared with her father while she is still under the spell of the corruptive power of money. It is exactly the idea of the degrading power of money that is enhanced in the Marxist ideology:

Money, then, appears as this distorting power both against the individual and against the bonds of society, etc., which claim to be entities in themselves. It transforms fidelity into infidelity, love into hate, hate into love, virtue into vice, vice
into virtue, servant into master, master into servant, idiocy into intelligence, and intelligence into idiocy. (*The Power of Money*, Marx, 1844)

The strong-willed money-lover and “mercenary plotter” ends up melodramatically pleading in favour of a reversal of her condition to the initial state of poverty and a return to the ever-lasting family values:

"O Mr. Rokesmith, before you go, if you could but make me poor again! O! Make me poor again, Somebody, I beg and pray, or my heart will break if this goes on! Pa, dear, make me poor again and take me home! I was bad enough there, but I have been so much worse here. Don't give me money, Mr. Boffin, I won't have money. Keep it away from me, and only let me speak to good little Pa, and lay my head upon his shoulder, and tell him all my griefs." (Book 3, Ch.15, p. 661)

The pervasive idea is that the omnipresent force of capitalism ruins and scatters human nature. Even the possession of shares is no guarantee of intrinsic being, for they give only a substitute or shadow identity to those with no identity in themselves (Connor, 1985:147):

Have no antecedents, no established character, no cultivation, no ideas, no manners; have Shares. Have Shares enough to be on Boards of Direction in capital letters, oscillate on mysterious business between London and Paris, and be great. Where does he come from? Shares. Where is he going to? Shares. What are his tastes? Shares. Has he any principles? Shares. What squeezes him into Parliament? Shares. Perhaps he never of himself achieved success in anything, never originated anything, never produced anything? Sufficient answer to all; Shares. O mighty Shares! To set those blaring images so high, and to cause us smaller vermin, as under the influence of henbane or opium, to cry out, night and day, 'Relieve us of our money, scatter it for us, buy us and sell us, ruin us, only we beseech ye take rank among the powers of the earth, and fatten on us'! (Book 1, Ch.10, pp.159-160)

The domination of human relationships by financial ones is to be found everywhere in *Our Mutual Friend*. The Lammles substitute a financial arrangement for their marriage and thereafter their relationship is one of commercial indirectness. At one point, this is dramatized by a metaphor: the exchange of looks, which has the indirectness of a financial transaction:

There was a mirror on the wall before them, and her eyes just caught him smirking in it. She gave the reflected image a look of the deepest disdain, and the image received it in the glass. Next moment they quietly eyed each other, as if they, the principals, had had no part in that expressive transaction. (Book 2, Ch. 4, P.312)

### 2.2. Economic metaphors

"The metaphor is probably the most fertile power possessed by man." (Jose Ortega y Gasset, *The Dehumanization of Art*, 1948)

Metaphors drawn from the language of commerce and capital invade the text. We can see it in the description of Sloppy's dress ("A considerable capital of knee and elbow and wrist and ankle had Sloppy, and he didn't know how to dispose of it to the best advantage, but was always investing it in wrong securities, and so getting himself into embarrassed circumstances" – Book 1, Ch. 16, 249) or the description of the exchange of diseases at Charlie Hexam's school: 'the whole hot-bed of flushed and exhausted infants exchanging measles, rashes, whooping-cough, fever, and stomach-disorders, as if they were assembled in High Market for the purpose' (Book 2, Ch.1, p.265).

The most frequently employed economic metaphors are market, investment, and capital accumulation. However, the most important metaphor of the novel is that of the dust Mounds correlated with money and the symbol of the river (the transfer of meaning being achieved through one common element: mud).
Surveying the economic literature on the nature and functions of money, we come across the best known denotative definitions:

- Money is a resource (finance).
- Money is "an accounting device" (economic models: Ingham, 1996).
- Money is a "measure of value (or unit of account); a medium of exchange; a standard of deferred payment; and a store of value". (Ingham, 1996)

In literary texts, there are also money-related motifs and figures (gifts, treasures, the miser, the gambler etc.):

"Your money has changed you to marble. You are a hard-hearted Miser. You are worse than Dancer, worse than Hopkins, worse than Blackberry Jones, worse than any of the wretches. And more!" proceeded Bella, breaking into tears again, 'you were wholly undeserving of the Gentleman you have lost.' (Book 3, Ch.15, p. 663)

To these, we may add some conventional metaphors in which money is represented contrastively, with either positive or negative features:

- "Money is a liquid" (= an elusive object that is sought)
- "Money is power" (businesses, politicians, and marketers) or "Money talks' because money is a metaphor, a transfer, and a bridge. Like words and language, money is a storehouse of communally achieved work, skill, and experience."
- Money is both a drug, a strong incentive and an efficient tool (Webley and Lea, 2006)

"Think how terrible the fascination of money is! I see this, and hate this, and dread this, and don't know but that money might make a much worse change in me. And yet I have money always in my thoughts and my desires; and the whole life I place before myself is money, money, money, and what money can make of life!' (Book 3, Ch. 4, p. 521)

- Money is an object of desire (the key element in the discourse of the fortune-hunter).

'I have made up my mind that I must have money, Pa. I feel that I can't beg it, borrow it, or steal it; and so I have resolved that I must marry it.' (…) 'Have resolved, I say, Pa, that to get money I must marry money. In consequence of which, I am always looking out for money to captivate.' (Book 2, Ch.8, p. 375)

- "Money is the real brain of all things." (The Power of Money, Marx, 1844)
- Money is the root of all evil.

"… every day he changes for the worse, and for the worse. Not to me – he is always much the same to me – but to others about him. Before my eyes he grows suspicious, capricious, hard, tyrannical, unjust. If ever a good man were ruined by good fortune, it is my benefactor." (Book 3, Ch. 4, p. 521)

Closely related with the idea that money is sought for personal profit is the conventional metaphor DEATH IS PROFIT in which death is represented through the acts of the scavengers of corpses down the river and those of the hordes of "peckers" of Harmon's fortune.

One of the most interesting things about the metaphorical language of Our Mutual Friend is the way that metaphors from one system slip continually into other systems. Among the most striking of these are the slippages between the economic system and what we might call the physical/material system, made up of signs having to do with the world of matter. Matter is represented very strongly, with dust, slime and excrement being only some of the forms it takes; far from being merely dead or inert, matter is continually being put back into productive circulation. The dust-heaps which stand at the centre of the novel are good examples of this. The heaps, though apparently just amorphous matter, represent potentially enormous wealth. They are in themselves a kind of capital which can easily be re-invested or put back into circulation; indeed, this is what happens at the end of the novel,

with the mysterious carting away of the rubbish to some unknown but highly profitable destination. This profit comes not from what the material is but from what it can be made to mean within some system of exchange.

The human body is not exempt from this play of exchange and valuation. Throughout the novel there is a repeated movement whereby the human body is first stripped of value, reduced to mere dust, and then restored to the system of purchase and exchange. Lady Tippins, for example, is relentlessly taken apart by the narrative but unlike, say, Mrs. Skewton in *Dombey and Son*, these fragments are not just dead, but capable of being bought, re-assembled and perhaps resold:

> Whereabout in the bonnet and drapery announced by her name, any fragment of the real woman may be concealed, is perhaps known to her maid; but you could easily buy all you see of her, in Bond Street; or you might scalp her, and peel her, and scrape her, and make two Lady Tippinses out of her, and yet not penetrate to the genuine article. (Book 1, ch.10, p.161)

In no other Dickens text is the association made more insistently between the body and systems of finance and commodity. Sometimes this may get a hilarious effect, as in the case of Mr. Venus who mistakenly uses a part of the body as money, when he gives a customer a tooth in his change:

> The boy gathers up his change and has pulled the door open by a leather strap nailed to it for the purpose, when Venus cries out:
> 'Stop him! Come back, you young villain! You've got a tooth among them halfpence.'
> 'How was I to know I'd got it? You giv it me. I don't want none of your teeth; I've got enough of my own.' So the boy pipes, as he selects it from his change, and throws it on the counter." (Book I, Ch.7, p. 125).

2.3. Names as commercialized forms of language

Language itself is also a very important determining system in *Our Mutual Friend* and slips into association with the commercial code. Language often becomes a commodity, a medium of exchange, a means of power, or an item of currency. Literary language is something to be bought up for Boffin and for Wegg, something to be bargained for by the hour and the volume:

> 'What do you think of the terms, Wegg?' Mr Boffin then demanded, with unconcealed anxiety.
> 'Mr Boffin, I never bargain."
> 'So I should have thought of you!' said Mr Boffin, admiringly. 'No, sir. I never did 'aggle and I never will 'aggle. Consequently I meet you at once, free and fair, with – Done, for double the money!'
> Mr. Boffin …assented, with the remark, 'You know better what it ought to be than I do, Wegg,' and again shook hands with him upon it.
> 'Could you begin to night, Wegg?' he then demanded.
> 'Yes, sir,' said Mr Wegg, careful to leave all the eagerness to him.
> 'I see no difficulty if you wish it. You are provided with the needful implement – a book, sir?'
> 'Bought him at a sale,' said Mr Boffin. 'Eight wollumes. Red and gold. Purple ribbon in every wollume, to keep the place where you leave off. (Book 1, Ch.5, p.331)

However, the most frequently commercialized form of language is the proper name, which is both that by which we know ourselves and that by which language and other people know us. Dickens is also fascinated with the commodity status of the name in other novels, especially *Dombey and Son* where he proves that names can be bought and sold and people accept to be “called out of their names” at a fair price.

The strangeness of names as such is hinted at in the novel, in another conversation between Boffin and Wegg, in which Boffin, abstracting his name from himself, asks the
Wegg is equally put out by being asked for his own name and anxiously replies: "Silas Wegg ... I don't know why Silas, and I don't know why Wegg" (I:V, 88).

The arbitrariness of names suggests worryingly that the people to whom they are attached may equally be arbitrary and without intrinsic being. Nevertheless, the possession or use of other people's names becomes a means of exercising power; when Headstone informs Riderhood that he knows his name but refuses to reveal his own, Riderhood is irritated that his name "seemed to be made public property on, now, and... every man seemed to think himself free to handle his name as if it was a Street Pump" (Book 3, Ch.11, p.611). Riderhood gains a kind of revenge on Headstone by in turn renaming him 'T'otherest Governor' and consummates his revenge in the scene in which he confronts Headstone in his class-room. There, he first of all forces on Headstone the painful awareness of the public nature of names by making him write his name on the blackboard and having the children shout it out, and then forces him to 'answer to the name' of 'T'otherest Governor' (Book 4, Ch.15, p.863). At the end of this scene, Headstone slowly wipes his name off the blackboard, perhaps to hint at his imminent suicide, death being the only way to withdraw definitively from the determining force of systems. Headstone has, of course, undergone earlier on the indignity of being deprived of his name by Eugene Wrayburn who, remarking that 'your name cannot concern me' reduces Headstone merely to his social function with the bullying designation 'Schoolmaster' (Book 2, Ch.6, p. 288).

What is interesting is that the central character has no stable name, but rather a succession of names, John Harmon, Julius Handford, John Rokesmith, Captain. For Harmon, the only way to escape the web of systematic relationship is to slip away from his name, which ties him into those systems. Given that initial alienation from himself, however, it is difficult to find any other name or identity. His name enters a system of gift and exchange which no longer concerns him, the name being given by the Boffins to an orphan who dies.

There is also a close association between names and money. Names tend to hide the real relationships of power and exploitation in the novel, as evidenced by Jenny Wren's perplexity about who really is Pubsey and Co. — "Can't make it out. Is Little Eyes Pubsey and the wolf Co? Can't make it out. Pubsey true to Co, and Co to Pubsey? Pubsey false to Co, and Co to Pubsey? Can't make it out" (Book 4, Ch. 8, p. 793). Names also offer the means of exercising power as well as hiding it. 'Giving his name' as a guarantor of someone else's debt puts Twemlow himself into a chronic state of debt, and his 'name' becomes a negotiable asset when Fledgeby buys it up along with a job lot of 'queer bonds'.

2.4. The empowering force of wills

Crucial to the plot of the book, the succession of wills which Harmon makes are also important elements in the systematic slippage of language into money and vice versa. A will is after all a text in two systems, the linguistic and the financial, both expressing a meaning and also effecting a transaction. It not only refers to the transfer of money, but also, in a sense, carries out or performs the transaction it refers to. The terms of Harmon's first will are accurately presented at the Veneerings’ meetings, where it is introduced as a conversational topic between interlocutors familiarized with the stipulations/bindings of legal contracts:

"His will is found" (...). 'It is dated very soon after the son's flight. It leaves the lowest of the range of dust-mountains, with some sort of a dwelling-house at its foot, to an old servant who is sole executor, and all the rest of the property – which is very considerable – to the son. He directs himself to be buried with certain
eccentric ceremonies and precautions against his coming to life, with which I need not bore you, and that's all – except' and this ends the story. (...) 'Except that the son's inheriting is made conditional on his marrying a girl, who at the date of the will, was a child of four or five years old, and who is now a marriageable young woman. Advertisement and inquiry discovered the son in the man from Somewhere, and at the present moment, he is on his way home from there – no doubt, in a state of great astonishment – to succeed to a very large fortune, and to take a wife.' (...) Mr. Podsnap inquires what would become of the very large fortune, in the event of the marriage condition not being fulfilled? Mortimer replies, that by special testamentary clause it would then go to the old servant above mentioned, passing over and excluding the son; also, that if the son had not been living, the same old servant would have been sole residuary legatee. (Book I, Ch.2, p.57)

As we can see wills are texts which operate within specific contexts, legal, financial and linguistic, and derive their meaning from those contexts. Because of this, it is possible for the intention behind a will, like the intention behind any text, to be deflected. This is in fact what happens to Harmon's intentions, or one of them, since the money is firstly diverted from the hands of his son, its intended recipient:

"But it was never to be; and the want of satisfactoriness is, that after all the money never gets to him." (Book I, Ch. 7, 136).

It's surprising that Boffin should feel anxiety about having to go through the detour of law to make his own will, and should be so concerned that it should be 'tight':

Make me as compact a little will as can be reconciled with tightness, leaving the whole of the property to "my beloved wife, Heneriety Boffin, sole executrix". Make it as short as you can, using those words; but make it tight.' (Book I, Ch. 7, 137).

Harmon's legally established will seems to produce a feverish multiplication of other texts, with the flood of begging letters which Boffin receives. Nearly a whole chapter (I:XVII) is given over to playful but appalled parody of the styles of these appeals for money, and it is clear that Dickens is as fascinated by the sheer proliferating 'textuality' of the letters, in their plurality of styles, as he is by the cupidity which they display.

What is also striking is John Harmon's ambiguous position at this point as regards the letters and the administration of the will.

It soon became apparent (from the knowledge with which he set out) that he must have been to the office where the Harmon will was registered, and must have read the will. He anticipated Mr Boffin's consideration whether he should be advised with on this or that topic, by showing that he already knew of it and understood it. He did this with no attempt at concealment, seeming to be satisfied that it was part of his duty to have prepared himself at all attainable points for its utmost discharge. (Book I, Ch. 16, 241)

As secretary to Boffin, the rightful heir has the job of coping with this nightmarish 'swamp' of letters, all of them making a claim on his fortune. As John Rokesmith, Harmon has moved into the position of secretary to his own affairs, which seem to have taken on a horrible life of their own. The letters are attempts to draw the tight will into transaction and exchange in an economy beyond itself ("Oh the varieties of dust for ocular use, offered in exchange for the gold dust of the Golden Dustman!") (Book I, Ch. 7, p. 259).

Naturally, wills are not only subject to dispute, claim and contention from outside, but can also be contradicted by other wills and codicils. In Harmon's case, the first leaves the fortune to his son, another one the crown and the last to Noddy Boffin. The "story of the Dutch bottle" told by one of the heirs in his confrontation to one of the contenders of the wills is in fact the struggle of coping with intricate legacy matters:

'That Dutch bottle, scoundrel, contained the latest will of the many wills made by my unhappy self-tormenting father. That will gives everything absolutely to my noble benefactor and yours, Mr Boffin, excluding and reviling me, and my sister (then already dead of a broken heart), by name. That Dutch bottle was found by my noble benefactor and yours, after he entered on possession of the estate. (...)That
Dutch bottle, he buried in the Mound belonging to him, and there it lay while you, you thankless wretch, were prodding and poking — often very near it, I dare say. His intention was, that it should never see the light; but he was afraid to destroy it, lest to destroy such a document, even with his great generous motive, might be an offence at law. After the discovery was made here who I was, Mr Boffin, still restless on the subject, told me, upon certain conditions impossible for such a hound as you to appreciate, the secret of that Dutch bottle. I urged upon him the necessity of its being dug up, and the paper being legally produced and established. The first thing you saw him do, and the second thing has been done without your knowledge. (Book 4, Ch. 14, p.859)

The legal relations between the three competing wills are less foggy, but there is nonetheless a sense of the drift and division of meaning, as Harmon’s anyway ambivalent intentions are deferred. Of course, in the end, the money does go to its rightful recipient, but only as a result of a further revision of a will, effected by Mr Boffin, to give Harmon his share of the wealth.

You supposed me just now, to be the possessor of my father’s property. So I am. But through any act of my father’s, or by any right I have? No. Through the munificence of Mr Boffin. The conditions that he made with me, before parting with the secret of the Dutch bottle, were, that I should take the fortune, and that he should take his Mound and no more. I owe everything I possess, solely to the disinterestedness, uprightness, tenderness, goodness (there are no words to satisfy me) of Mr and Mrs Boffin. (Book 4, Ch. 14, p.860)

CONCLUSIONS

The complexity of the structure of economic relations in Dombey and Son is due to the way in which the economic isotopy enters into association with the isotopy of identity. The dominating structural frame within which meaning is produced is the opposition between openness and closure. The energy and direction of the narrative derive from the attempts made to vary the signifying positions, and from the need to mediate or resolve the main oppositions.

In analysing these novels, we come to realize that they are characterized by the economic language and imagery at all levels of the narrative. Thus, we may observe not only the presence of the financial imagery, but also the commodity status of names. As the most frequently commercialized forms of language, the latter are treated by many characters as both a particular possession and a mark of their private individuality. Wills, in their turn, represent linguistic power, but that power is not concentrated in those who make the wills but rather determined in the play of competition and avarice in the market of social relations.

References


La praxis théâtrale – forme de communication par excellence

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Keywords: théatrical praxis, to communicate, to cooperate

Abstract: The theatrical praxis proposes us to teach French actively, to offer to the students the opportunity to develop harmoniously, to communicate easily, to cooperate naturally, either speaking or writing, with Romanian or foreigner people. By this formative-participative method, teaching French prepares to the permanent formation.

We are pleading for teaching French by playing theatre because of its great capacity to create a nice atmosphere, to transform the most heterogeneous group into a body acting depending on its heart born during the chorus work.

It’s a great opportunity to be listened in a “cacophonic” world when everybody shouts his truth in order to cover the other’s voice and not listen to it. As a counterpoint to this universal uproar, to higher communication, synonym of the global non communication, we propose to learn to listen and speak without rules, only by playing.

We have as a proof the success of the francophone theatre group of the Faculty of Letters from Bacau “De quoi s’agit-il?” and the francophone theatre group of Cantemir High School from Oneşti.

The most important thing in a theatre workshop is to find its heart. In a world where the family has been destroyed as well the other social, political, cultural institutions, the group, the tribe, and even the gang are those who replace them.

The home was replaced by the street, the subway station or the railway station was invaded by small groups. Inside the gang it’s the law of the strongest, the fear that rule and order the actions of its members.

History taught us that even the most intelligent persons may be dominated by the instinct at one moment and act aggressively, follow blindly the promises of the fanatic leaders and even find explanations for their actions subsequently rejected by the society.

Nowadays the child and especially the teenager leave their families because they do not find the spiritual guide, the confidence.

The theatrical praxis may be a good alternative even better than the gang, accomplishing the desire to be the member of a group and to be independent with regard to the family. This depends on the teacher’s ability increased by the art of directing. To this purpose, nothing is more efficient than the exercises of confidence, the mirror, the memories, the parody, the matching games. However, all these exercises prepare the performance and create the desire to play, to produce a play, even if it is a sketch. But if we refer to a theatre workshop, we can also write a play, a team work of the actors themselves and resulting from their personal experience, trips or training.

With this purpose in view, nothing is more useful than organizing some francophone theatre festivals, opportunities for teenagers to meet young people, cooperate with actors, directors, theatre companies.
La praxis théâtrale se propose d’enseigner le français de manière active, d’offrir aux apprenants la possibilité de se développer harmonieusement, de communiquer facilement, de coopérer naturellement, spontanément, soit oralement soit par écrit, avec des congénères roumains et étrangers. Par cette méthode formatrice-participative, l’apprentissage du français prépare également en vue de la formation continue et de l’autoformation.

Nous plaidons pour le jeu théâtral en raison de sa grande capacité à créer une atmosphère agréable, à transformer le groupe le plus hétérogène en un corps agissant en fonction de son cœur né au cours du travail de chœur.

Quelle chance de se faire écouter dans un monde de la cacophonie dans lequel chacun crie sa vérité non pour se faire entendre mais pour couvrir la voix de l’autre et ne pas l’entendre! Comme contrepoint à ce vacarme universel, forme de manifestation du trop de communication, synonyme finalement de la non communication globalisée, nous nous proposons d’apprendre à écouter et à parler non pas avec des règles et des principes mais en jouant. En témoignent les succès remportés par les troupes de théâtre francophone: De quoi s’agit-il? de la Faculté des Lettres de Bacău et Pourquoi pas? du lycée “D.Cantemir” d’Oneşti.

Ce qui compte dans un atelier de théâtre, c’est de trouver son cœur. Dans un monde où la famille s’est désintégrée pareillement à d’autres institutions sociales, politiques, culturelles, c’est le groupe, la tribu sinon la bande qui prennent la relève. L’espace de la maison est remplacé par la rue, la station de métro ou le quai de la gare, squattés par des groupuscules. À l’intérieur de la bande, c’est la loi du plus fort qui domine, c’est la peur qui règne et dicte les actions de ses membres. L’histoire nous a appris que même les plus raisonnables peuvent à un moment donné se laisser dominer par l’instinct et agir violemment, suivre aveuglément les promesses de leaders fanatiques et même trouver des justifications pour leurs actes réprouvés ultérieurement par la société. L’enfant et surtout l’adolescent d’aujourd’hui fuient la maison, le nid familial, n’y trouvant plus “le vieux sage” prêt à l’écouter, à le guider, à lui inspirer confiance, à l’épauler.

Alors, la praxis théâtrale peut constituer une alternative viable et de loin préférable à la bande, exauçant autant le désir d’appartenir à un groupe que celui d’indépendance par rapport à la famille. Cela dépend évidemment de la compétence de l’enseignant doublée par l’art du metteur en scène. À cet effet, rien de plus efficace que les exercices de confiance, le miroir, les témoignages, la marche caricaturée, le jeu des associations. Cependant, tous ces exercices ne servent qu’à nous préparer en vue d’une représentation et ne font que nous donner l’envie de jouer, de monter une pièce, ne fût-ce d’abord qu’un sketch. Mais s’il s’agit d’un atelier de théâtre, il n’y a pas de raison de ne pas écrire un texte, fruit du travail collectif des acteurs eux-mêmes et issu des expériences personnelles, d’un voyage ou d’un stage.

Dans ce sens, rien de plus utile que la mise en place, lors des festivals de théâtre francophone, d’échanges entre jeunes francophones ayant pour conséquences la diffusion de la langue, de la culture et de la civilisation françaises, la coopération avec des acteurs, des metteurs en scène, des compagnies théâtrales.

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Tout apprenant, quel que soit son âge, porte en lui un penchant pour le jeu, pour le déguisement, un certain goût pour l’imitation. Chez les adolescents et les étudiants, le jeu théâtral offre aussi l’occasion de s’exprimer, de se libérer de certaines angoisses, de certaines pulsions, de se socialiser. Pour les timides, c’est une vraie leçon d’apprentissage du courage à travers le personnage d’un timide ou au contraire à travers celui d’un héros, car le théâtre, tout en préservant l’individualité de chacun, lui permet de sortir de ses “gonds” pour s’ouvrir largement vers les autres, découvrir un partenaire, une équipe, une famille et s’épanouir. Quelle chance de se faire écouter dans un monde de la cacophonie
dans lequel chacun crie sa vérité non pas pour se faire entendre mais pour couvrir la voix de l’autre, pour ne pas l’entendre! Dans ce vacarme universel, nous nous proposons d’apprendre à écouter et à parler non pas avec des règles et des principes mais en jouant.

Et pour que le jeu se déroule sans entraves, débarrassons-nous d’abord des pupitres ou des tables afin de recréer l’espace à notre guise! L’idéal serait d’avoir une salle suffisamment spacieuse et à l’abri des facteurs perturbateurs tant visuels que sonores. En fonction du nombre des étudiants/acteurs, nous pourrions nous asseoir en cercle sur des chaises ou rester debout en formant toujours un cercle. L’avantage du cercle provient de la facilité du regard qu’on peut porter sur chacun des membres du groupe mais aussi de la chaleur créée à l’intérieur du cercle et l’effacement de la hiérarchie qui fonctionne habituellement dans une salle de classe en raison de la disposition des pupitres l’un derrière l’autre et parfois “surplombés” d’une chaire majestueuse. C’est la forme parfaite de l’harmonie, de l’interaction, à l’intérieur de laquelle l’enseignant n’est plus un dictateur mais un coéquipier puisqu’il joue avec nous.

On commence par les présentations et, comme méthode mnémotechnique, on peut ajouter à son prénom un adjectif qualificatif, un nom d’action, d’objet ou bien un verbe que son voisin reprend en prononçant ensuite son propre prénom accompagné d’un déterminant. Afin de détendre l’atmosphère, on peut faire accompagner la parole d’un geste qui sera lui aussi repris par chaque locuteur. Si l’on a une balle, le jeu commence au centre du cercle, celui qui a la balle se présente puis jette la balle à quelqu’un d’autre et ils changent de place ou bien on peut se servir d’une pelote de laine et on présente celui qui est au bout de son fil pour obtenir, à la fin, une sorte de toile d’araignée.

Afin de s’imprégner de l’espace, on se met en marche en changeant de vitesse, de direction, en se regardant puis on sealue d’abord en français langue étrangère ensuite en langage imaginaire, n’oubliant pas d’associer toujours le geste à une formule. À un signal de l’enseignant qui peut être un impératif, on salue et on transmet au suivant le salut de la personne saluée antérieurement: geste et formule y compris.

Ce qui compte dans un atelier de théâtre, mais non seulement, – pourquoi pas dans un groupe classe aussi? – c’est de trouver son cœur. Dans un monde où la famille s’est désintégrée pareillement à d’autres institutions sociales, politiques, culturelles, c’est le groupe, la tribu sinon la bande qui prennent la relève. L’espace de la maison est remplacé par la rue, la station de métro ou le quai de la gare, squattés par des groupuscules de plus en plus nombreux. À l’intérieur de la bande, c’est la loi du plus fort qui domine, c’est la peur qui règne et dicte les actions de ses membres.  L’histoire nous a appris que même les plus raisonnables peuvent à un moment donné se laisser dominer par l’instinct et agir violemment, suivre aveuglément les promesses de leaders fanatiques et même trouver des justifications pour leurs actes réprobés ultérieurement par la société. L’enfant et surtout l’adolescent d’aujourd’hui fuient la maison, le nid familial, n’y trouvant plus “le vieux sage” prêt à l’écouter, à le guider, à lui inspirer confiance, à l’épaüler. Mais sa fragilité juvénile ne lui permettant pas de se débrouiller en solitaire, il est vite racolé par une bande ou une autre. William Golding nous signalait déjà ces dangers lorsqu’il publiait en 1954 son roman Sa Majesté des Mouches. Alors, l’atelier de théâtre peut constituer une alternative viable et de loin préférable à la bande, enchaînant autant le désir d’appartenir à un groupe que celui d’indépendance par rapport à la famille et offrant en même temps la possibilité d’épanouissement de soi-même, d’expression de sa personnalité, de sublimation de ses pulsions. Le théâtre peut bien figurer parmi les activités destinées à éduquer des enfants provenant des milieux défavorisés de la société dans le but de ne pas sombrer dans la délinquance, dans la misère. Cela dépend évidemment de l’art du metteur en scène à transmuer le groupe en chœur pourvu d’un cœur. À cet effet, rien de plus efficace que les exercices de confiance, le miroir, les témoignages, la marche caricaturée, le jeu des associations.
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S'il s'agit d'un cours matinal, n'hésitons pas à démarrer par des exercices d'échauffement, – assumez-vous même le risque de confondre votre cours avec un cours de gymnastique –, nécessaires non seulement pour préparer le corps mais aussi en vue de l'harmonisation des énergies du groupe. N'oublions pas que la respiration est essentielle pour un acteur et que pour nous tous, des êtres plus ou moins sédentaires, réapprendre à respirer profondément s'avère un exercice fort nécessaire. Nous pourrions dire qu’aujourd’hui on a plutôt une respiration “végétale” (les plantes respirent par la feuille), superficielle, claviculaire, haletante, aussi nous faudrait-il exercer la respiration abdominale telle qu’on la pratique, par exemple, en cours d’éducation physique. Ensuite, à partir de la figure de base, le cercle, on se met à deux, l’un qui travaille et l'autre qui se laisse travailler. Le masseur peut annoncer ses “procédures” et demander à son patient de respecter les consignes: Je vais masser tes épaules (la nuque, les bras, les doigts, les jambes); Relaxe-toi, Ferme les yeux, Abandonne-toi, Fais-moi confiance, Décontracte-toi. Après quoi on change de rôle et on continue les exercices d’échauffement. L’un assis et l’autre debout, on s’applique à sentir l’énergie couler de l’un à l’autre: celui qui est debout écarte son corps mais s’appuie, les mains sur les épaules de son partenaire qui supporte tout le poids sans fléchir; il doit maintenir sa colonne droite, puis celui qui est debout passe chacune de ses jambes devant, de façon à s’appuyer sur les épaules et la nuque de son partenaire. Ils restent dans cette position, immobiles, pendant 30 secondes puis ils changent de rôles: l’un impose et l’autre supporte.

Quant à la confiance, on la pratique d’abord à deux: l’un qui, les yeux fermés, se laisse guider par les gestes ou par la parole (on touche l’épaule droite ou on ordonne: À droite!, on repose les mains sur les épaules de l’aveugle pour l’arrêter ou on lui commande: Stop! ou Ne bouge plus, etc.). En fonction des dimensions de l’espace de l’atelier, nous pouvons faire courir les aveugles, ce qui suppose avoir une confiance totale dans les guides qui conduisent de façon à ne pas faire des accidents de “circulation”.

Étant toujours dans le cercle, l’un se met en marche et l’autre l’imite ou bien le caricature. Un exercice intéressant, à fonction de gagner la confiance des apprenants, est celui qui permet d’imiter (pratique adorée par les élèves de tout âge) les gestes ou les grimaces de leur enseignant. Ce “miroir” est voué à affranchir les relations pédagogiques des contraintes paralysantes, à désinhiber, à débarrasser les uns et les autres de la peur du ridicule afin de pouvoir s’adonner ensuite à un jeu théâtral libre. Plusieurs exercices ont le rôle de créer la confiance nécessaire au travail de groupe: au milieu du petit cercle créé par le rapprochement de ses membres, quelqu’un ferme les yeux et se laisse porter par les bras des autres qui le font tourner sans le laisser tomber. Une autre variante consiste à faire monter un acteur sur une table où il se laisse tomber, le dos sur les bras entrelacés des coéquipiers. Si vous préférez, vous pouvez constituer des groupes de 4-5 apprenants dont un volontaire qui se laissera porter, les yeux fermés par ses camarades. Ceux-ci se consulent au sujet des arrêts avant de se mettre en route avec leur fardeau humain car pendant le trajet il est interdit de parler pour garder le secret du parcours. À la fin on demande au porté de désigner les endroits des haltes et de raconter ce qu’il a ressenti. Les discussions doivent se faire en langue cible, insistant sur le vocabulaire des sensations: Tu as eu peur?, J’ai aimé me laisser porter, J’avais l’impression de rêver, J’avais envie de dormir. Tous ces exercices costruisent pas à pas la confiance dans le groupe car on sait qu’à aucun moment de la représentation personne ne sera abandonné.

Ce qui contribue à souder le groupe, c’est aussi “l’épreuve” des témoignages, qui frise parfois la thérapie de groupe parce que chacun est invité à s’exprimer devant les autres, transformés en spectateurs assis sur les chaises devant une ligne imaginaire marquant la frontière entre la scène et la salle. L’intérêt de ce premier exercice de liberté d’expression, c’est de transmettre aux autres mon émotion, mon vécu, ma tension ou mon enthousiasme. Aussi va-t-on demander à chaque joueur de raconter un événement qui a marqué son existence, qui a produit un changement existentiel, un souvenir très fort qui...
s’est imprimé dans son esprit, une histoire très drôle qui lui est arrivée, etc. Nous pouvons donner à ce moment une suite a) orale: commenter les témoignages entendus, ou b) écrite: raconter par écrit le témoignage qui vous a plu ou qui vous a impressionné le plus, ou c) théâtrale: une équipe qui a choisi un témoignage crée un texte inspiré par le récit d’un des conteurs puis un metteur en scène distribue les rôles, fait jouer la saynète devant les autres.

À ce point de notre activité, pour donner une idée de ce que signifie “être sous les feux de la rampe”, rien de plus indiqué que de jouer le jeu des associations. Le cercle se resserre, au milieu il y a un joueur qui reçoit un mot de la part du meneur de jeu et la consigne d’associer le plus de termes possible ayant rapport direct ou indirect au mot reçu. À chaque bonne réponse, le chœur des autres l’encourage par des cris enthousiasmés: Oui! Oui! Oui! et incite le joueur à accélérer le rythme. La sensation ressentie par le joueur se trouvant au milieu de ses coéquipiers a le don de le préparer à affronter le baptême de la scène. Mais cet exercice est voué aussi à rendre le locuteur confiant dans la cohésion du groupe et à être toujours à son écoute.

Cet exercice accepte évidemment des enrichissements et des variations: on demande, par exemple, aux acteurs de se limiter au champ lexical du terme indiqué, de continuer une phrase dont on lui sert le début. Dans ce cas, on a affaire à un exercice de création collective parce que la phrase ou le récit peuvent être créés par la contribution de toute l’équipe: quelqu’un commence, le suivant reprend le bout de phrase et y ajoute un groupe nominal ou verbal, un adjectif, un modificateur, etc.

La “machine” est un jeu qui consiste à composer une sorte d’agrégat à raison d’adjonctions: il y a un initiateur qui fait un geste auquel il associe une phrase, un mot, une onomatopée réitérées à l’instar d’une machine; une deuxième pièce s’ajoute à la première qui continue le travail commencé et ainsi de suite. Ce qui caractérise cette composition, c’est le rythme qui donne la sensation de machine puisque chaque étudiant répète son mouvement et son syntagme se synchronisant avec les autres “pièces” de l’engin comme un perpetuum mobile. Car, selon l’affirmation de Fabrice Dubusset, metteur en scène de Zèbre Théâtre à Vichy, “l’essentiel, c’est d’être très à l’écoute de celui qui est autour de nous”. Très souvent, sinon la plupart du temps, nous passons l’un à côté de l’autre sans nous écouter, sans voir même ce qui se passe autour de nous. Le théâtre nous réapprend donc à être à l’écoute de l’autre, à le regarder comme si c’était la première fois, à s’imprégner de la musique de l’espace, à vibrer en même temps que l’autre aux mêmes stimuli, à réagir aux sons, à répondre à ce que nous entendons et voyons non à ce que l’intellect solitaire fabrique. Réveiller le corps endormi, oublié, lui faire exprimer la joie, la douleur, la peur, l’amour; regarder l’autre comme si c’était la dernière fois. Combien de fois a-t-on souffert parce qu’on ne se rappelait plus le visage de quelqu’un de cher dont on s’était séparé, qui nous avait quitté? Mais pour rendre au corps sa réceptivité, il faudrait l’amener en état d’épuisement comme au temps des anciens Grecs qui préparaient le corps du patient pendant 8 heures par des exercices de plus en plus rapides afin de le faire opérer sans anesthésie. Il y a des metteurs en scène contemporains qui font travailler le corps du comédien, sa respiration et l’écoute d’une certaine musique et de l’autre afin de lui faire ressentir des émotions et des sentiments et les exprimer librement dans des improvisations de groupe remarquables. Dans ce but, on commence progressivement par des exercices de marche normale, puis on hausse les épaules, on les fait baisser; on marche sur la pointe du pied puis on plie les genoux en continuant de marcher en alternant les deux positions avec la marche normale. Au fur et à mesure qu’on exécute ces exercices on se met en cercle et on accélère le rythme en regardant la nuque de celui qui est devant nous. Le metteur en scène demande aux élèves de se laisser guider tantôt par la tête tantôt par le ventre comme s’ils étaient tirés par un fil invisible dans cette direction. Contrairement au code des bonnes manières, l’élève est invité à faire des grimaces, à faire le clown en mettant en mouvement d’abord chaque partie du visage, puis
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le cou, le buste, les bras, la taille, le dos, les jambes sans perdre le rythme accéléré. On peut même restreindre la surface de jeu en obligeant les acteurs à éviter de heurter les autres. Au moment où ils ne résistent plus au rythme, ils peuvent s’étendre par terre et restent immobiles jusqu’à ce que tout le monde tombe. À ce moment et dans la position relaxée, les yeux fermés, on fait écouter une musique instrumentale ou vocale. En alternant la respiration normale, avec des moments d’inspiration intermittente, puis d’expiration intermittente, ensuite les rendant toutes les deux intermittentes on demande aux comédiens de se laisser aller pour exprimer librement leur sensation ou sentiment avec une partie du corps. D’autres fois on peut donner le thème à exprimer: la joie, la peur, la douleur, etc. Un autre exercice d’expression corporelle consiste à rester debout et à exécuter rapidement la commande du metteur en scène: recevoir un coup sur le bras, sur la joue, au pied, etc. Tout le corps réagit mais se concentre sur la partie agressée.

Mais comme le groupe n’est pas toujours au complet sur les planches, il faut apprendre à gérer les scènes à trois, à quatre ou même à deux. Le grand groupe sera scindé en petites “chenilles” (3-4 acteurs) ayant une tête et des membres qui imitent les mouvements, le gestes, les paroles du leader. Il n’est pas dépourvu d’intérêt de faire se croiser deux chenilles qui échangent des propos. L’effet est intéressant si les membres parviennent à imiter les paroles des leaders. Le ralenti permet au corps de la chenille d’anticiper la suite de la phrase commencée par sa tête. Nos chenilles ne se rendront même pas compte qu’elles sont en train de jouer un jeu de révision du passé composé: le leader, par exemple, amorce une phrase contenant un verbe pronomial et s’il leur donne le temps, les autres enchaînent correctement en même temps que lui; on peut également exercer l’ordre des mots dans la phrase française, l’emploi des pronoms relatifs, la forme négative, interrogative, l’article partitif, l’accord du participe passé ou encore l’emploi du subjonctif. Mais c'est surtout une bonne occasion d’exercer les formules de communication: saluer, demander, inviter, proposer, refuser, annoncer, etc.

La forme de grappe est une figure intéressante qui permet de créer la cohésion du groupe et, à chaque membre, de se montrer tout en faisant partie d’un corps. L’enseignant demande aux acteurs rangés en grappe de fermer les yeux et de se déplacer sans déformer la figure, ce qui suppose un travail d’écoute très attentif. Enfin, on arrive à composer des orchestres qui ont pour tâche de travailler le rythme et la concentration. Le chef-d’orchestre instaure un code gestuel: crescendo (il lève les bras), piano, sostenuto, lento que les deux compartiments de l’orchestre doivent respecter. Là aussi on a la possibilité de fixer le pluriel irrégulier de certains noms: journal/journaux, travail/travaux; jouer sur les oppositions lexicales: Ici-bas / là-haut, sur l’interrogation/la réponse: Pourquoi? / Parce que; ou tout simplement sur la phonétique, en proposant des mots à sonorité particulière: marabout – mirabelle, etc. Rien ne nous empêche d’encourager la création d’un rap simple, ou d’une petite chanson rock pour répondre à la diversité des goûts musicaux de nos acteurs. Nous pourrions saisir l’occasion pour intensifier le travail indépendant par l’utilisation du dictionnaire et le travail de groupe par la mise en commun des résultats de l’étude personnelle. La création d’une big band contribuerait aussi à la cohésion de la troupe mais cela exige de la part du chef d’orchestre un sens particulier du rythme et beaucoup d’inspiration: on commence par faire marquer le pas par tous les joueurs placés en cercle, ensuite on forme des compartiments de 2-3 joueurs de divers “instruments”: un groupe frappe des mains tout en continuant à marquer le pas, un autre dit OUI, un troisième répète ALLEZ, etc. Cet exercice pourrait également être mis au service de la fixation des sons français différents du roumain en faisant répéter par groupes d’étudiants des syntagmes ou des mots tels (chacun selon ses besoins langagiers): Mon cœur, L’an mille, André, Murmure, Pin, Dans, Beurre, Entrez, Atelier, J’invite, J’insiste. Le rythme et la répétition sont des moyens mnémotechniques très efficaces.
Voilà maintenant un exercice d’écoute extrêmement efficace et basé sur le renforcement de la capacité de concentration de chaque membre du groupe: tous les joueurs ferment les yeux; l’animateur émet un bruit pas très fort (frottement circulaire des paumes, par exemple,) après 10 ou 5 secondes son voisin l’imite, ainsi de suite, jusqu’à ce que tous les coéquipiers aient fait l’exercice et le premier change de bruit (claques des doigts ou se frotte les jambes, etc.).

Au théâtre, il arrive qu’on doive composer des tableaux ou des groupes statuaires, c’est pourquoi force nous est de pratiquer l’exercice des statues. La matière du sculpteur, ce sont les coéquipiers eux-mêmes qui prendront l’attitude, la pose dictée par le leader. On peut demander aux spectateurs de l’équipe B de commenter, de décrire, de raconter l’histoire figurée par l’équipe A et de donner un titre à l’œuvre créée par leurs camarades. Nous pouvons suggérer des critères d’appréciation tels l’originalité de la sculpture, la capacité des acteurs à figurer le personnage ou l’élément sculptural imaginé. En prenant cette scène pour un “arrêt sur image”, l’équipe B peut imaginer l’avant et l’après du tableau et les confronter avec le scénario créé par l’équipe A dans une séance de communication authentique.

Mais la créativité et la capacité de transformer les objets en leur donnant un autre emploi que celui d’origine sont indispensables sur scène, aussi peut-on prendre une bouteille, d’autres objets plus ou moins drôles (un peigne, des ciseaux, des objets inutiles dont on s’encombre la maison) dont chaque acteur sera invité à détourner le sens en accompagnant ses gestes d’un discours explicatif soit en français soit en langage imaginaire. Les autres devront dans ce dernier cas en deviner la nouvelle utilisation. Le théâtre a cette capacité de créer un univers différent de celui de tous les jours tout en donnant l’impression du familier. Néanmoins cette chaise, tout en ressemblant à ce qui me sert habituellement à m’y asseoir, m’est interdite à moi, spectateur, parce que, transplantée dans l’espace scénique, elle est devenue objet théâtral investi d’une nouvelle signification, d’une nouvelle fonction. Elle peut être la métaphore ou la métonymie d’un personnage, elle peut se transformer en guitare ou en estrade (pour Mario dans La cité sans sommeil de Tardieu), symboliser le public (Les chaises de Ionesco), devenir une sorte de partenaire de danse, chariot ou landau.

Mais le théâtre, ayant changé ou, si l’on ne craint pas les mots, ayant évolué, a entraîné le spectateur à changer lui aussi. On ne lui mâche plus le morceau, tant s’en faut, il doit faire appel à ses compétences culturelle et linguistique, à son imagination puisque le spectacle moderne l’invite à participer, à entrer parfois dans le jeu. L’exercice qu’on propose aux étudiants consiste à jouer la pub d’un objet absent ou imaginaire: un produit de beauté, un appareil électro-ménager, la présentation d’une découverte scientifique ou d’un livre (scolaire, de cuisine, un roman, etc.): le bonimenteur parlera en langage imaginaire qu’il accompagnera de la gestuelle adéquate, le rôle des spectateurs sera alors de deviner de quel objet on fait la publicité et de le décrire en français. Une variante de cet exercice consistera à recourir aux services d’un interprète qui essayera de traduire simultanément en français pour les spectateurs. Ce qu’il y a d’intéressant dans cette situation, c’est que chacun des deux doit être à l’écoute de l’autre car durant la scène le fil narratif initial du présentateur peut changer de direction en fonction de la traduction.

Les ambassadeurs est un jeu particulièrement intéressant exigeant un travail d’écoute et une forte concentration de la part des quatre acteurs, deux rois et deux ambassadeurs. Le roi R1 s’adresse au roi R2 en langage imaginaire, L.I.1, que son ambassadeur A1 traduit en français pour l’ambassadeur A2 qui à son tour le rend en langage imaginaire, L.I.2, pour son roi. Les rois doivent surveiller leur expression de façon à ne pas anticiper la suite du message, ils doivent se montrer patients et attendre la fin de la traduction pour pouvoir entamer ensuite la réponse.
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Un autre exercice de chœur invite à un travail à trois: deux joueurs font le rythme tandis que le troisième improvise un chant en langage imaginaire qui raconte une histoire. Les spectateurs vont décrire ensuite les moments de ce récit chanté.

Afin de rendre la tension qui se crée sur scène, on divise le groupe en deux camps qui sont séparés par un fossé imaginaire. Tous les membres de la première équipe lancent des jurons imaginaires et tentent de déconcerter, de troubler l’équipe adverse, impassible, immobile, en la moquant mais sans franchir la ligne de la tranchée. Ensuite on change de rôles.

On peut également exercer l’improvisation à deux à partir de quatre mots donnés par le metteur en scène. Chaque couple se retire pour travailler la scène. Il faut d’abord établir un cadre: la voiture, l’ascenseur, la salle d’attente, le restaurant, le bureau, en fonction duquel on construit le scénario. S’il s’agit d’un devoir écrit, les deux acteurs produiront un texte dans lequel ils introduiront les quatre mots de façon organique. Ensuite ils joueront la scène devant les autres équipes faisant attention à se positionner par rapport au public et à bien construire les personnages: le jeu de l’acteur doit rendre l’âge, s’il s’agit d’une mère et sa fille ou son fils, ou un caractère: le timide, le grincheux, l’agressif, etc. Voilà quelques listes de mots: les tortues Galapagos, voiture, régime, string; supermarché, Hamlet, pastèque, train; insomnie, peinture, ascenseur, andouille, etc. Une fois sur scène, nous devons rendre vivant le personnage sans pourtant le confondre avec un individu quelconque. L’acteur se doit de convaincre le spectateur qui vient avec un certain horizon d’attente. En l’occurrence, les autres doivent deviner les quatre mots d’après le jeu des deux acteurs.

Une possible variante serait celle du carré tracé avec de la craie sur le sol: une équipe prépare une liste de mots à l’aide desquels le comédien doit improviser une histoire respectant les moments du récit: situation initiale, élément perturbateur, action, dénouement. Il doit se déplacer sur les bords du carré en racontant son histoire et gérer son temps de sorte qu’il arrive à l’angle pour marquer chacun des quatre temps de la narration. Il peut jouer l’histoire simplement en mimant et dans ce cas, c’est au spectateur de traduire les gestes en signes linguistiques et reconstituer l’histoire. On profite ainsi de cette situation pour rafraîchir la mémoire et fixer l’algorithme du texte narratif. On pourrait également se servir d’un support visuel: de reproductions de toiles ou de photos pour demander aux étudiants d’écrire en 5 minutes la biographie du personnage représenté dans le tableau. Ensuite, à deux ou à trois, on peut jouer une interview ou la scène représentée en cherchant à trouver l’événement qui avait inspiré la pose, l’expression de joie, de tristesse, de mélancolie, ou bien l’étonnement qui accompagne cette situation. C’est une belle occasion de travailler le vocabulaire des sentiments, des sensations pour décrire l’état d’esprit ou physique du personnage. Mais on actualise en même temps les caractéristiques du texte descriptif, en l’occurrence du portrait.

Toutefois si la respiration et le travail de chœur avaient été tant soit peu passés en revue, il serait temps qu’on prête un brin d’attention à la voix et à la diction. Que diriez-vous si on s’inspirait de nos amis les chiens et imiter leur façon de respirer lorsqu’ils ont chaud en ouvrant la bouche, laissant la langue pendre et haletant pour humidifier les cordes vocales? Nous vous proposons également de prononcer les vocables HOUM, HAM, HEM, HIM dans cet ordre exact en prolongeant le m de manière à sentir vibrer l’air à l’intérieur de la bouche fermée. Après chaque vocable, on ouvre la bouche pour inspirer. Si l’exercice a été bien exécuté, vous devriez sentir une vibration au niveau des lèvres et votre voix portera assez loin. Attention à ne pas exagérer dans la durée ou dans l’intensité car les cordes vocales, comme nous qui travaillons beaucoup avec la voix le savons bien, sont fragiles. Aussi faudrait-il de temps en temps les masser doucement. Et surtout ne buvez pas d’eau, d’autant moins d’eau ou d’autres boissons gazeuses avant la représentation. Inspirés par nos petits voisins, nous pouvons imiter la sirène de l’ambulance et jouer au loup: Il y a un loup derrière toi! C’est pas vrai! Regarde! Cri
d’effroi. Nous disposons évidemment d’une variante: on raconte une histoire de fantômes qu’on prolonge à l’infini par force détails ennuyeux et lorsque nous nous sommes assurés que notre interlocuteur est fin prêt on crie à son oreille aussi fort que possible ce qui le fait crier lui aussi: Tu sais? Hier j’ai vu un fantôme! / -Et qu’est-ce qu’il t’a dit? / -Rien! / -Et qu’est-ce qu’il t’a fait? / -Comme ça! (on fait un geste amusant).

Il est temps de passer à la diction, n’est-ce pas? Voilà un exercice simple: on se met debout, en position d’équilibre, c’est-à-dire les pieds parallèles, un peu écartés, les bras relaxés le long du corps lui aussi décontracté, les yeux choisissent un point situé sur le mur à la hauteur du regard, là où il croise, suppose-t-on, le spectateur. Une fois bien ancré sur terre, l’acteur inspire profondément et prononce à haute voix, sans expirer, une phrase, un vers ou une réplique ne quittant pas des yeux le “spectateur” qu’il doit convaincre sans recourir à d’autres moyens (gestes, mouvements) à part sa voix et son regard. Cet exercice le prépare au face à face avec le spectateur, une épreuve comparable à l’examen oral quand on n’a pas révisé sa “leçon”. N’oublions jamais ce point imaginaire accroché au quatrième mur, qui est là pour sauver notre monologue. C’est à nous de le vêtir de tous les attributs souhaités: c’est l’ange gardien du comédien, que dis-je?, c’est le Dieu du Théâtre qui veille à ce que je ne foule pas ma langue ou ma cheville en virevoltant sur les planches que des milliers d’acteurs ont polies et continueront à polir au siècle des siècles.

Mais comme au théâtre rien n’est laissé au hasard, pour prévenir les accidents de “langue”, les balbutiements, les bégaiements et autres “ratés” linguistiques, ce sont toujours des exercices à rôle prophylaxique que nous vous proposons. Il suffit pour cela de chercher sur internet au chapitre: vire-langues ou vire-oreilles. Outre leur efficacité garantie avant l’entrée en scène, ces acrobaties verbales soulèvent l’enthousiasme des jeunes qui en raffolent. Servies à doses homéopathiques, elles permettent de tenir en éveil l’intérêt pour la francophonie. Quoi de plus époustouflant que d’entendre cette dodine Didon dina dit-on de dix dos dodus de dix dodus din dons, prononcée à grande vitesse sinon de la comprendre et de parvenir à la prononcer soi-même? Quant à l’intérêt didactique, il n’y a pas de meilleur exercice pour apprendre la prononciation et la grammaire françaises tout en jouant.

Mais si vous voulez faire d’une pierre deux coups, il vous faudrait choisir un texte simple, poétique si vous préférez, le polycopier et le distribuer aux apprenants. Ensuite vous donnerez à chacun la consigne de lire le même texte selon une certaine tonalité: agressive, mélancolique, langoureuse, sensuelle, moqueuse, ironique, enthousiaste, solennelle, orgueilleuse, précieuse, paysanne, injurieuse, sentimentale, etc. L’un des Exercices de style de Raymond Queneau pourrait très bien se prêter à nos exercices paraverbaux. De cette façon l’étude de la tonalité d’un texte sera facilité ayant auparavant été pratiquée.

Cependant, tous ces exercices ne servent qu’à nous préparer pour une représentation et ne font que nous donner l’envie de jouer, de monter une pièce, ne fût-ce d’abord qu’un sketch. Mais s’il s’agit d’un atelier de théâtre, il n’y a pas de raison de ne pas écrire un texte, fruit du travail collectif des acteurs eux-mêmes et issu des expériences personnelles.

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Logical and Aesthetical Experience with Ştefan Lupascu

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**Keywords:** Ştefan Lupascu, logical experience, aesthetics.

**Abstract:** Ştefan Lupascu (1900 – 1988) is a French thinker of Romanian origin who tried to find a solution for the crisis of epistemology through a new method of linking philosophy to science. This article aims at highlighting his original outlook. Starting from the belief that the sub-stratum of existence is energy, characterized by interacting antagonistic dynamism, Ştefan Lupascu suggests that the dynamic logic of contradiction – which enlarges the possibility of understanding, including artistic creation – should be accepted instead of classical logic. Consequently, according to Lupascu’s logic, crisis is the perfect background for art. Therefore, the message of art is tragic. Comic is degraded art and not a triumph of ethics over aesthetics. An artist’s ethics is that of the most intense contradiction, of the ontologic effectiveness towards suffering and joy. The aesthetic experience implies contemplation and, thus, a desire to avoid action. This is the starting point of the process of knowing the knowledge. As an example, Ştefan Lupascu says that drawing a reindeer means the perception of the conscience not of the reindeer, but of the conscience of a reindeer. This is the resulting idea that any artistic event is a perception of knowledge, a conscience of conscience. The idea is that the work of art must not be absolutely understood as being either objective or subjective. In other words, the work of art is considered to be more aesthetical.

It is necessary, then, to overpass the current opinions concerning the understanding of the “concept” and recognising it as an essential synthesis of the physical world. Because, according to Ştefan Lupascu, inside the concept, we must discover not only an abstract scheme, but a concentration of all the perceived achievings having as a final target the human brains. The core of the concept must not be neglected for the sake of the exterior. The aesthetic experience, in its turn, is defined as an escape from action and contemplation, which means putting an end to the development of one or the other of the two antagonistic dimensions, throughout a contrary becoming. This state means the starting point of the process of understanding knowledge. Even from this short presentation of the logical structure of art there may result some characteristics of the logic of the aesthetic fact. There results, first of all, the fact that art is “a desire towards liberty (of indifference), towards the unconditional”. Secondly, art has a characteristic emptied of any interest, meaning “an aimless finality” in Immanuel Kant’s opinion. Finally, a third consequence of the logic of aesthetics is that the history of art rests upon the becoming of knowledge. Anyway, Lupascu’s logically formalised philosophy does not lose sight of the human. And that is why, proposing an original concept, we think that this philosophy stays at the beginning of its life.

Ştefan Lupascu’s work (1900-1988), a French thinker of Romanian origin, is a complex philosophical system focused on the dynamic logic of contradiction. It is about a theoretical daresome creation meant to offer a solution to the epistemological contemporary crises, towards a new and original approach of philosophy as a science. Further on, Ştefan Lupascu aims even at an essential change of the human capacity to understand the reality. Having the new logic as a basis, without being classical, he places the whole explanation about the surrounding environment in other terms.
The philosopher is convinced that the basis of existence is the energy characterised by antagonistic dynamisms, mutually balanced ones, and so the actualisation of one implies the action of the other and the other-way-around. Through this dialectic, theorised under the name of antagonistic principle, the energy becomes systematised within the material. In other words, the material is perceived as “energetic systematiser”. The idea is that, depending on the stage of the balance of the two energetic dynamisms (between symmetric and asymmetric), three private directions of the energetic systematiser are identified, respectively: a) physical material, having a tendency towards homogeneity and identification; b) the biological material, directed to heterogeneity and diversity; and c) psychic material, affectivity within which the two dynamisms stay balanced (a state of an equal potentiality and actualisation between one and another).

To better understand the three materials, dominated by specific causes, we need, in Ştefan Lupaşcu’s opinion, three different logics, all of them based upon the science of contradiction. And thus, after mankind searched thousands of years for order and peace within a logic of non-contradiction, Ştefan Lupaşcu is disposing the change of this structure, offering contradiction in order to save eternity. It is true that Ştefan Lupaşcu does not reject the classical logic, but he includes it into the dynamic logic of the contradiction. For him, the classical logic “does not apply but with approximation to the macrophysical systems from which it is derived”\(^1\).

The three types of energy as material systematisations are characterised not only through causes, respectively specific logic, but through conclusions, respectively different cybernetics. The central idea is that in the case of the antagonistic cause, inherent to each event, the cause determines not only an actualisation, an efficiency, but also a potentiality, that is a finality; thus parallel to the causal chain of actualisations, there also exists a causal chain of potentialisations. And while the actualisations, or the efficient causes collapse in the unconscious, the potentialisations or the teleological causes make up the conscience. In the case of the human, because he is the centre of the three types of the material-energy, the antagonistic cause, viewed under the dimension of the three logics, creates three ethics or three energetic behaviours: the macrophysics ethics (of the mixed energy); the biological ethics (of the heterogenous energy), and the neuropsychic ethics (of the energy of equilibrium or of the “T” state).

This means that for the understanding of the logic of the aesthetic, as proposed by Ştefan Lupaşcu, we must take into consideration the affectivity state. The explanation comes from the fact that, apart from the three constituent phenomena of the three materials – that are sustaining each other in a good relationship by being reported to something – the affection states are to themselves sufficient. And so, without being relational, the affection does not become but it is an ontological existence, it is the extra-temporal and the extra-spatial embodiment, being both subject and object, but neither of them in fact. Affection invades all the psychic activity, under the condition that the psychic activity is understood as a constitutive part of any substance existing in the world, a contradictorial energy which gives proportion. In this way, Ştefan Lupaşcu writes that: “everything is a proportion, everything is a relationship of what existence means. In exchange, and this is extremely important and mysterious – everything that appears and disappears as affectivity states, a certain pleasure, a certain pain, these are not balanced but to themselves: they are not in relationship, they simply exist and they are enough to themselves”\(^2\).

In this direction, to a great extent, affectivity proves the existence of the three ethics. Moreover, starting from affectivity one may explain the pathology states of the neuropsychic activity, for example schizophrenia, neurotics or melancholia may be

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explained. And thus, the ethics, the one that must decide between “yes” or “no”, is a research of the contradiction. That is why, while becoming a science, ethics may be created without having its basis on affection.

It is not the same with the aesthetics, where the affectivity is indispensable. Because affectivity is the engine, it is the springs for any crisis state, being just necessary there for the artistic experience. That is why Ştefan Lupăşcu thinks that: “the logic of aesthetics must develop, must be turned around towards a contrary direction of the logic of ethics; contrary to rational or irrational, in other words, opposed to a process of contradiction”\(^3\).

The esthetical experience implies contemplation and so, a desire to avoid action. This is the starting point of the process of knowing the knowledge. As an example, Ştefan Lupăşcu says that drawing a reindeer means the perception of the conscience not of the reindeer, but of the conscience of a reindeer. This is the resulting idea that any artistically event is a perception of knowledge, a conscience of the conscience. The idea is that the working of art must not be absolutely understood as being neither objective nor subjective. In other words the working of art is considered to be more esthetical “being lesser subjective and lesser objective at the same time, or, more precisely, simultaneously half-subjective and half-objective, meaning less unreal and less real or, further on, half real and, at the same time, half unreal. And this is in fact fiction”\(^4\).

It is necessary, then, to overpass the existing opinions concerning the understanding of “the concept” and recognising it as an essential synthesis of the psychic world. Because, in Ştefan Lupăşcu’s opinion, inside the concept, we must discover not only an abstract scheme, but a concentration of all the perceived achievings having as final target the human brains. The core of the concept must not be neglected for the sake of the exterior. Because Ştefan Lupăşcu says that the concept “is the essence, and it might be said, even the whole essence of the psychic world at the highest rate of its energetical existence”\(^5\).

Such an aspect is the one of the artist, who is the house of “the conscience” and of the unconscious, respectively of “the understanding of knowledge and of the unknown”. In other words, the artist expresses a maximum state of tension, emerging from the co-existence of the half-potentialising and half-actualising state, together with their effects, too. Because the artist is a creator, “he must go down within the depths of the soul, unless he wants to get, against his will, to the reproducer spying him all the time, temping him from all sides of the art phenomenon”\(^6\). The great pressure undertaken by the psyches upon man has its place within the idea, within the creative force of the concept. From images, the basic information and the extensive ones continue their way upwards towards the concept, in which they find themselves dialectically re-united, the homogeneity and the heterogeneity, and thus making a thing being identical and non-identical at the same time. The resulting idea is that the springs of the perception of the world, and of human conscience also, represent the interaction between the practical effort of an individual and reality. The fruit of this interaction is the creative imagination, specific to the psychic world. But Ştefan Lupăşcu makes us aware of the fact that “there is no stronger phenomenon, more fertile and at the same time more dangerous, than that of the creative imagination specific to the psychic”\(^7\).

It is true that, being in a continuous transformation, new dynamic phenomena appear constantly inside the physical material and inside the biological material. Different from the physical and biological material, inside the physic material “the actualisations and potentialisations are stopped half-way their path inside an equal antagonism and a contradiction that creates – once with the controlled field – a kind of liberty of what we


\(^{4}\) Idem., p. 363.

\(^{5}\) Idem., p. 310.

\(^{6}\) Lupăşcu, Ştefan, op.cit., p. 57.

\(^{7}\) Lupăşcu, Ştefan, op.cit., p. 327.
might call the contradictorial determination”⁸. We find out, thus, that creative imagination is “a world inhabited by dreams, but that they are different in many ways from the dreams of a simple sleep, a world of things and beings extremely light and changeable from a spatial and temporal point of view, within which the subject and the object relax, making the unconscious and the conscience weaker within a mixture of subjectivity and objectivity of a thin texture, being fluid and gauzy, large and untouchable in present, past and future, promoting new horizons emerging within by themselves but which require mental efforts, a sustained attention being sufficient to themselves within an unstable and false polymorphism at the same time, as opposed to the classical logic⁹. The liberty of the spirit is the effect of the mutual restraining of the systematical dynamism, waiting for the possibilities to be actualised and potentialised. Thus we may explain that the psychos is fragile and has the vocation to be responsible for the whole human activity.

This is the basis on which the logic of aesthetics rests, which “steps from non-contradictory to contradictory”. The aesthetic experience is defined by an escape from action and contemplation, meaning putting an end to the development of one or the other of the two antagonistical dimensions, throughout a contrary becoming. This state means the starting point of the process of understanding knowledge.

Even from this short presentation of the logical structure of art some characteristics of the logic of the aesthetic fact may result. It results, first of all, the fact that art is “a desire towards liberty (of indifference), towards the unconditional”. It results, secondly, that art has “a characteristic emptied of any interest”, meaning “an aimless finality”, in Immanuel Kant’s opinion. Thirdly, it is about the characteristic of the aesthetic fact of being “a knot of possible ones”. Finally, a fourth consequence of the logic of aesthetics is that the history of art rests upon the becoming of knowledge. Being the source of understanding the knowledge, “art is less possible, the more the understanding is more developed”. Because, as it is known, in Ştefan Lupașcu’s concept, the understanding fights against the understanding of knowledge.

Consequently, according to Ştefan Lupașcu’s logic, the state of crisis is the most adequate atmosphere for art. That is why the message of art is tragic, and the comic is deteriorated art, a triumph of the ethic upon the aesthetic. The artist is expected to wake up one’s affection. This is a proof that the extremely logically formalised Ştefan Lupașcu’s philosophy does not lose sight of the human being. And that is why, proposing an original concept, we think that this philosophy hardly starts its life.

References


⁸ Lupașcu, Ştefan, op.cit., p. 331.
⁹ Lupașcu, Ştefan, op.cit., pp. 331-332.
Quantity indicators to build a local community’s profile

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**Keywords:** community profile, social indicators, primary indicators, secondary indicators, social inclusion, social cohesion

**Abstract:** During the last years, the local communities’ maps of resources and social issues, promoted by the national and local decision makers, started to play a very important role within the calibration of economic and social development politics. The community maps show a geographical, demographical and sociological profile of wealth and its growth potential, indicating the areas/locations where are concentrated the resources as well as the modalities to use them. Such an instrument is even more useful when it is build with a general territorial inclusive character.

Începând cu 1999, în Romania au existat demersuri semnificative în direcția elaborării de hărți referitoare la dezvoltarea comunitară, initial în special pentru mediul rural, pe baza unor indicatori demografici, economici și sociali agregati la nivel de localitate. Apoi aceste cercetări s-au extins și la mediile mai heterogene, la areale mai ample și cu obiective mai complexe. Dar toate aceste demersuri au fost în mare masura afectate de lipsa unui indicator valid al dezvoltării comunitare și al bunăstării populației. Obstacolul principal întampinat în construirea la nivel local a unui indicator relevant pentru dinamica comunității îl constituie faptul că datele privind dinamica grupurilor și/sau instituțiilor sunt accesibile numai la nivel de ancheta pe baza de esantion. Informația pe care Institutul National de Statistica (INS) o pune la dispoziție prin diversele sale servicii este reprezentativă doar la nivel național sau de regiuni de dezvoltare (unele dintre acestea având componente extrem de heterogene din punct de vedere economic și social). Pe de altă parte, datele de recensământ contin informație limitată despre resursele gospodăriei. În scopul construirii unei hărți a resurselor la nivel de localitate, care să se bazeze pe o masura „directă” a actorilor, un studiu adecvat trebuie sa combine mai multe tipuri de date – recensăminte, (de referinta fiind cel al populației, ultimul fiind din 2002), anchete oficiale (spre ex., Ancheta Bugetelor de Familie din 2003), precum si investigații directe, derulate în conformitate cu metodologia investigației sociologice, prin esantioane reprezentative.

Dar și asa se pot investiga doar fatete ale unor comunități. Pentru o analiză validă, se pot combina două abordări: pe de o parte construirea unui indicator agregat al dezvoltării...
comunitare, iar pe de alta parte modelarea dinamicii socio-economice la nivel comunitar pe cateva dimensiuni specifice: ocupare, educatie, locuire, acces la servicii.

1. Cadrul general

Indicatorii sociali reprezintă un instrument important folosit la fundamentarea strategiilor de dezvoltare economică și a politiciilor sociale, permitând descrierea în termeni statistici a nivelului de dezvoltare generală atins în societate, a oportunităților de scurtă sau lungă durată, dar și a problemelor curente existente. Aceștia oferă o fundamentare și conferă încredere în acțiunile politice din domeniul social. Analiza indicatorilor în timp face posibilă monitorizarea progresului realizat în rezolvarea problemelor de interes general.

Importanța indicatorilor sociali în Uniunea Europeană a crescut în contextul atenției sporite acordate dezvoltării durabile și omogene în ultima perioadă. Pentru acest deceniu, problematica a fost analizată la sa Summit-ul Consiliului European ce a avut loc la Lisabona, în martie 2000, unde a fost adoptat obiectivul strategic pentru următoarea decadă și anume realizarea unor economii competitive și dinamice, cu mai multe locuri de muncă și cu o mai mare coeziune socială. Totodată a fost acceptată ideea ca promovarea incluziunii sociale, obiectiv strategic european, să fie realizată printr-o metoda de coordonare deschisă, comună. Acest fapt va ajuta țările să-și dezvolte politicile naționale, să-și împărtășească din propria experiență într-un mod transparent și comparabil. Armonizarea politicilor sociale se sprijină, între altele, și pe stabilirea unor indicatori structurai ce vor fi calculați periodic de toate statele membre și care vor sta la baza unei monitorizări permanente a stadiului de realizare a obiectivelor respective.

La stabilirea listei de indicatori structurai, Comisia Europeană a urmărit în principal asigurarea unui anumit grad de stabilitate a acestora în timp, deosebit de importantă pentru urmărirea progreselor realizate în atingerea obiectivelor. În același timp, s-a conferit anumită flexibilitate listei, astfel încât să poată fi încorporați și indicatori noi care să reflecte priorități politice ale momentului.


Indicatorii structurai ce acoperă domenii social se regăsesc în două grupe:

I. Ocupare:
   1. Rata ocupării;
   2. Rata ocupării muncitorilor vârstnici;
   3. Raportul dintre câștigul salarial al femeilor și cel al bărbăților;
   4. Rata de impozițare a câștigurilor salariale mici;
   5. Rata de participare la educația permanentă;
   6. Număr de accidente de muncă la 100000 persoane ocupate;
   7. Rata șomajului.

II. Coeziune socială:
   1. Raportul dintre quintila superioară și cea inferioară a distribuției populației după nivelul veniturilor;
   2. Rata sărăciei;
   3. Rata sărăciei persistente;
   4. Coeficientul de variație al ratei șomajului pe regiuni;
   5. Proporția tinerilor de 18-24 ani care au păratat de timpuriu sistemul educațional;
   6. Rata șomajului de lungă durată;
   7. Proporția gospodăriilor fără persoane ocupate.

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În cadrul raportului, autorii au propus construirea unui set de indicatori pe trei nivele. Primul nivel este format dintr-un număr restrâns de indicatori (7) de maxim relevantă:

- Rata săraciei calculată la pragul de 50% și 60% din venitul median, utilizându-se scala de echivalentă OECD modificată;
- Raportul dintre quintila de venit superioară și cea inferioară;
- Proporția persoanelor în vârstă de 18-24 ani care au absolvit învățământul secundar și care nu mai urmează nici o formă de învățământ sau pregătire profesională;
- Rata șomajului și rata șomajului de lungă durată (definiția Biroului Internațional al Muncii);
- Proporția populației din gospodăriile fără persoane ocupate;
- Ponderea persoanelor care decedeză înainte de împlinirea vârstei de 65 ani sau raportul dintre numărul persoanelor din prima și ultima quintilă, care își apreciază starea de sănătate ca fiind rea sau foarte rea;
- Proporția persoanelor din gospodării lipsite de anumite dotări ale locuinței sau care se confruntă cu anumite probleme legate de locuință;

Pentru cel de-al doilea nivel au fost propuși 14 indicatori, meniți să susțină indicatorii din primul nivel și să evidențieze alte dimensiuni ale fenomenului. Aceștia sunt:

- Rata săraciei la pragurile de 40% și 70% din mediană și rata calculată la pragul de 60% din mediana fixată în termeni reali la o anumită dată;
- Nivelul pragului de sărace (60% din mediana venitului), exprimat la paritatea standard a puterii de cumpărare (in PPS), pentru gospodăriile de o persoană și de patru persoane;
- Proporția persoanelor persistent sărace;
- Distanța mediană și medie relativă față de pragul săracei;
- Raportul dintre decila superioară și cea inferioară a distribuției populației după nivelul veniturilor și coeficientul Gini;
- Proporția persoanelor în vârstă de 18-59 (64) ani cu nivel de instruire gimnazial sau mai scăzut;
- Proporția muncitorilor descurajați și proporția persoanelor neocupate în totalul populației în vârstă de 18-59 (64) ani (exclusiv cei care urmează o formă de învățământ);
- Proporția persoanelor din gospodăriile fără persoane ocupate și al căror venit se situează sub 60% din venitul median;
- Proporția persoanelor ocupate din gospodăriile sărace;
- Proporția persoanelor ocupate cu nivel scăzut de retribuire;
- Proporția persoanelor care nu pot beneficia de tratament medical din motive financiare;
- Proporția persoanelor care trăiesc în locuințe supraaglomerate;
- Proporția persoanelor din gospodăriile care sunt în întârziere cu plata chiriei sau a ipotecii;
- Ponderea persoanelor din gospodării care nu pot obține o anumită sumă în caz de urgență.
Al treilea nivel este rezervat unor indicatori utilizați de fiecare țară, în scopul reflectării specificului național, precum și pentru a facilita interpretarea celor din primul și al doilea nivel.

Propunerile cuprinse în raportul prezentat la conferință au stat la baza stabilirii listei indicatorilor structurali privind săracia și excluirea socială, adoptați la Consiliul European de la Laeken, în decembrie 2001.

Indicatorii structurali privind săracia și excluirea socială adoptați sunt cunoscuți sub denumirea de indicatori Laeken. Sacrina de constituire a listei indicatorilor de coeziune socială și de stabilire a metodologiei de calcul a revenit unui „Subgrup al indicatorilor” creat în cadrul Comitetului pentru Protecție Socială. La selectarea indicatorilor s-au avut în vedere următoarele principii metodologice:

- un indicator trebuie să surprindă esența problemei și să aibă o interpretare clară și normativă;
- un indicator trebuie să fie robust și validat statistic;
- un indicator trebuie să fie sensibil la măsurile de politică, dar nu trebuie să fie subiect de manipulare;
- un indicator trebuie să fie măsurat într-un mod comparabil în toate statele membre, dar și cu standardele aplicate internațional;
- un indicator trebuie să fie de actualitate și să poată fi revizuit la nevoie;
- măsurarea unui indicator nu trebuie să impliche dificultăți prea mari pentru statele membre, pentru întreprinderi sau cetățeni;
- portofoliul de indicatori trebuie să fie echilibrat între diferite dimensiuni;
- indicatorii trebuie să fie reciproc consistenți, iar importanța indicatorilor în portofoliu trebuie să fie aproximativ egal;
- portofoliul de indicatori trebuie să fie cât se poate de transparent și de accesibil cetățenilor.

Pentru a putea stabili natura multidimensională a excluziunii sociale este nevoie de un număr mare de indicatori sociali. De aceea, Comitetul pentru Protecție Socială a sugerat stabilirea unor priorități prin plasarea acestora pe trei nivele.

**Nivelul 1: Indicatorii primari**, format dintr-un număr restrâns de indicatori de bază, care acoperă toate domeniile importante în dimensionarea excluziunii sociale;

**Nivelul 2: Indicatorii secundari**, menit să completeze imaginea descrisă de indicatorii primari cu alte dimensiuni ale problemei;

În ceea ce privește aceste două grupe de indicatori, s-a convenit ca:

- la construirea lor să se folosească o metodologie comună la nivel european;
- să fie incluși în Planurile Naționale privind Incluziunea Socială elaborate de fiecare stat membru și în Rapoartele Comune privind Incluziunea socială realizate de către Comisia Europeană și statele membre;
- să fie dezagregați după diferite caracteristici: regiuni, sexe sau pe alte variabile relevante pentru fenomenul măsurat.

**Nivelul 3: Indicatori terțiari** trebuie să cuprindă indicatori specifi la nivel național care să ajute la interpretarea indicatorilor primari și secundari, a căror selecție este lăsată la latitudinea statelor membre. Și aceștia vor fi incluși în Planul Național privind Incluziunea Socială.

Având în vedere principiile enunțate mai sus, Comitetul pentru Protecție Socială a stabilit o listă de 18 indicatori de incluziune socială (10 primari și 8 secundari):

**Indicatorii primari:**

1. Rata sărăciei (la pragul de 60% din mediana veniturilor), pe sexe, pe grupe de vârstă, pe categorii de gospodării, pe tipuri de gospodării, pe medi de rezidență;
2. Raportul dintre quintila superioară și cea inferioară a distribuției populației după nivelul veniturilor;
3. Rata sărăciei persistentă;
4. Distanța mediană relativă;
5. Coeficientul de variație al ratei somajului pe regiuni;
6. Rata şomajului de lungă durată;
7. Proporția populației din gospodăriile fără persoane ocupate;
8. Proporția tinerilor de 18-24 ani care au păruit de timpuriu sistemul educațional;
9. Speranța de viață la naștere;
10. Raportul dintre numărul persoanelor din quintila inferioară și cea superioară care își apreciază starea de sănătate ca rea sau foarte rea.

Indicatorii secundari:
1. Rata sărăciei la pragurile de 40%, 50% și 70% din venitul median;
2. Rata sărăciei la un prag ancrat în timp (3 ani);
3. Rata sărăciei înainte de transferurile sociale;
4. Coeficientul Gini;
5. Persistența sărăciei (calculată în raport cu pragul de 50% din mediana venitului);
6. Ponderea șomerilor de lungă durată în total șomeri;
7. Rata șomajului de foarte lungă durată;
8. Proporția persoanelor de 16 ani și peste cu nivel de instruire primar în total persoane de 16 ani și peste;

2. Selecția indicatorilor

Proiectul propune un set de indicatori - care să vizeze încluziunea socială - , meniți să evidențieze progresele realizate în dezvoltarea societății în direcția transformării ei într-o societate coeziivă, de tip european.

Lista indicatorilor de încluziune socială propuși a fi inclusi în programele naționale de monitorizare a incluziunii sociale este formată din 9 indicatorii primari și 7 secundari cuprinși în lista de indicatori structurali stabilită de Comisia Europeană, precum și din 12 indicatori terțiali. Un indicator primar și unul secundar din lista de indicatori structurali, și anume cei referitori la persistența sărăciei (rata sărăciei persistentă la pragurile de 60% și 50% din mediana veniturilor), nu sunt estimați în prezent în România.

În vederea constituirii listei de indicatori terțiali a fost inventariat un număr de 40 de indicatori care au relevanță specială pentru evaluarea excluziunii/incluziunii sociale și a evoluției nivelului de bunăstare în România.

Aceștia se referă la:

a. dimensiunile sărăciei, estimate pe baza metodologiei naționale și în raport cu pragurile absolute utilizațe în comparații internaționale:
1. ratele sărăciei, calculate în raport cu pragul de sărăcie, cu pragul de sărăcie severă și cu costul coșului minim de consum alimentar, stabilite prin metoda absolută, conform metodologiei propuse și aplicate de experții de statistică socială;
2. deficitul mediu relativ față de pragul de sărăcie, de pragul de sărăcie severă și costul coșului minim de consum alimentar;
3. rata sărăciei la pragurile de 2 și de 4 doliari PPC / zi / persoană;

b. privații în domeniul condițiilor de locuit și de mediu:
1. ponderea persoanelor din gospodăriile care nu au acces la rețeaua publică de alimentare cu apă;
2. ponderea persoanelor din gospodăriile care nu sunt dotate cu baie sau duș;
3. ponderea persoanelor din gospodăriile care nu au grupul sanitar în interiorul locuinței;
4. ponderea persoanelor din locuințe aglomerate și supraaglomerate (mai mult de o persoană și mai mult de două persoane pe cameră);
5. suprafața medie locuibilă pe o persoană;
6. ponderea persoanelor din gospodăriile care se confruntă cu probleme legate de locuință: fără lumină suficientă; lipsa unei încălziiri adecvat; scurgeri prin acoperiș sau pereti; igrasie; tocuri de ferestre, pereti sau podele deteriorate;
7. ponderea persoanelor din gospodăriile fără acces la surse de apă potabilă de bună calitate;
8. ponderea persoanelor afectate de zgomotul străzii (trafic, întreprinderi industriale, alte surse);
9. ponderea persoanelor afectate de poluarea mediului înconjurător;
10. ponderea persoanelor din gospodăriile care locuiesc în zone afectate de probleme de tipul: crimă, violență, vandalism;

c. structura consumului populației:
1. ponderea consumului alimentar în cheltuielile de consum ale gospodăriilor;
2. ponderea serviciilor în cheltuielile de consum ale gospodăriilor;
3. ponderea cheltuielilor cu locuință în cheltuielile de consum ale gospodăriilor;

d. dotarea cu bunuri durabile:
1. ponderea persoanelor din gospodăriile dotate cu televizoare;
2. ponderea persoanelor din gospodăriile dotate cu frigidere;
3. ponderea persoanelor din gospodăriile dotate cu masini de spălat;
4. ponderea persoanelor din gospodăriile dotate cu telefoane (fixe sau mobile);
5. ponderea persoanelor din gospodăriile dotate cu calculatoare personale (PC);

e. sănătate
1. numărul cazurilor noi de îmbolnăvire cu tuberculoză la 100.000 locuitori;
2. numărul cazurilor înregistrate de SIDA la 100.000 locuitori (din care: copii de până la 14 ani);
3. rata mortalității infantile;
4. rata mortalității copiilor cu vârsta sub 5 ani;
5. rata mortalității materne;
6. proporția nașterilor asistate de personal calificat;
7. speranța de viață la 60 ani;

f. educație
1. rata netă de înrolare în învățământul de toate gradele;
2. ponderea persoanelor de 18-65 ani care au cel mult pregătire gimnazială;
3. ponderea copiilor de 7-14 ani necuprinși în învățământ;


g. ocupare:
1. rata ocupare a populației de 15-65 ani;
2. ponderea populației ocupate în agricultură, din care: lucrători pe cont propriu și lucrători familiali; lucrători în agricultură;
3. ponderea femeilor salariate în sectorul neagricol;
4. ponderea femeilor ocupate în agricultură;
5. nivelul salariului mediu și minim, în dolari PPC sau în PPS;
6. ponderea veniturilor din salarii în total veniturii;

h. zone defavorizate:
1. ponderea populației din zonele defavorizate;

i. persoane instituționalizate:
1. numărul și ponderea copiilor instituționalizați;
Cei 12 indicatori selectați pentru lista de indicatori terțiai sunt:
1. ratele sărăciei, calcule în raport cu pragul de sărăcie, cu pragul de sărăcie severă și cu costul coșului minim de consum alimentar, stabilite prin metoda absolută, conform metodologiei propuse și aplicate de experții CASPIS;
2. rata sărăciei la pragurile de 2 și de 4 doliari PPC / zi / persoană;
3. ponderea persoanelor din gospodăriile care nu au acces la rețeaua publică de alimentare cu apă;
4. ponderea persoanelor din gospodăriile care nu sunt dotate cu baie sau duș;
5. ponderea consumului alimentar în cheltuielile de consum ale gospodăriilor;
6. ponderea persoanelor din gospodăriile care nu sunt dotate cu televizoare;
7. ponderea persoanelor din gospodăriile care nu sunt dotate cu frigidere;
8. rata mortalității infantile;
9. numărul cazurilor noi de îmbolnăvire cu tuberculoză la 100000 locuitori;
10. rata netă de învățământul de toate gradele;
11. rata de ocupare a populației de 15-65 ani;
12. ponderea populației ocupate în agricultură, din care: lucrători pe cont propriu și lucrători familiați neremunerăți;

De asemenea, se pot grupa și pe alte coordonate. Prezentăm mai jos o posibilă formulare a acestor indicatori în cadrul unui instrument aplicativ.

Formular de colectare a datelor pentru profilul comunității

Profilul comunității
A. Indicatori

<table>
<thead>
<tr>
<th>Nr. Crt.</th>
<th>DENUMIRE INDICATORI</th>
<th>Detalieri si descrierea indicilor</th>
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<tbody>
<tr>
<td></td>
<td>Elemente de istoric al localității</td>
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<td></td>
<td>Date și tendințe demografice</td>
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<tr>
<td></td>
<td>Resurse umane, forța de muncă</td>
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<tr>
<td></td>
<td>Educație și formare profesională</td>
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<tr>
<td></td>
<td>Profesioni și ocupații, inclusiv tradiționale și locale</td>
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<tr>
<td></td>
<td>Elemente de mediu, caracteristici geografice, climatice</td>
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<tr>
<td></td>
<td>Mediul de muncă și activități economice</td>
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<td></td>
<td>Infrastructură tehnică și capital material</td>
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<td>Mediul de afaceri</td>
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<td></td>
<td>Infrastructură turistică</td>
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<tr>
<td></td>
<td>Standarde și calitatea vieții</td>
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<td></td>
<td>Strategii locale de dezvoltare</td>
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<tr>
<td></td>
<td>Investitori strategici</td>
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<td>Administrație și bugete locale</td>
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<td>Sectorul non-guvernamental</td>
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<td></td>
<td>Protecție și securitate comunitară</td>
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<td>Legislație și reglementări locale</td>
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<td>Servicii bancare</td>
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<tr>
<td></td>
<td>Comunicații și mass media</td>
<td></td>
</tr>
</tbody>
</table>
**B. Sursele de informare**

**C. Modalități de actualizare**

A. Descrierea Indicatorilor

1. **Elemente de istoric al localității**

2. **Date și tendințe demografice**

<table>
<thead>
<tr>
<th></th>
<th>2000</th>
<th>2005</th>
<th>2007</th>
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<tbody>
<tr>
<td>Populația localității</td>
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<tr>
<td>Masc</td>
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<td>Fem</td>
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<tr>
<td>Nr de nașteri</td>
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<td>Nr de decese</td>
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<tr>
<td>Mortalitate infantilă (nr decese copii 0-1 an la 1000 locuitori/ pe an)</td>
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<tr>
<td>Populație 0-18 ani</td>
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<td>Populație 19-59 ani</td>
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<td>Populație peste 60 ani</td>
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<tr>
<td>Nr de casatorii</td>
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<tr>
<td>Nr de gospodării</td>
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3. **Resurse umane, forță de muncă**

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<tbody>
<tr>
<td>Nr total de angajați</td>
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<tr>
<td>Nr. angajați în agricultură.</td>
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<tr>
<td>Nr. angajați în servicii</td>
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<tr>
<td>Nr. șomeri sub 1 ani</td>
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<tr>
<td>Nr. șomeri 1-3 ani</td>
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<tr>
<td>Nr. persoane fără nicio o calificare</td>
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<td>Nr. studenți</td>
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<tr>
<td>Nr. emigranți temporar</td>
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<tr>
<td>Nr emigranți definitiv</td>
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4. **Educație și formare profesională**

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<tr>
<td>Nr elevi 7-10 ani</td>
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<tr>
<td>Nr elevi 11 – 14 ani</td>
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<tr>
<td>Nr elevi 15-18 ani</td>
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<tr>
<td>Nr școli învățământ obligatoriu</td>
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<tr>
<td>Nr. școli de pregătire profesională</td>
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<tr>
<td>Nr. licee și școli postliceale</td>
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<tr>
<td>Nr. universități (se numără și filialele)</td>
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</tbody>
</table>

5. **Profesiuni și ocupații**

A. Meserii din clasamentul national al ocupațiilor

<table>
<thead>
<tr>
<th>Denumire și descriere succintă</th>
<th>Nr. de angajați în localitate (estimativ)</th>
<th>Personal cu pregătire adecvată (procentual, cu aproximație)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
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<td>3</td>
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B. Meserii rare sau de tip local
6. Elemente de mediu, caracteristici geografice, climatice

EXEMPLE
Suprafata totala
Suparafta constructii
Supr. teren agricol, fond forestier, pasuni
Minim de temperatura, maxima, mediea anuala.
Media anuala de precipitații
Forme de relief
Surse de apa

7. Mediul de muncă și activități economice
- legislația muncii, condițiile genrale de muncă, zile de odihnă
- inventarierea de societăți comerciale, firme, companii de tip industrial –tip tabel, cu contacte
- descrierea activităților principale din agricolură, industrie, servcii, IT

8. Infrastructură tehnică și capital material
- terenuri și resurse agricole, regim și exploatare
- infrastructură industrială – active, passive
- cladirii si constructii
- șosele extra vuilan, străzi intravilan – descrierea tehnică
- căi ferate
- aeroporturi

9. Mediul de afaceri
- condiții generale (monedă, regimul de proprietate,
  - infrastructură de afaceri (centre, dotari)
  - organizații, organisme, autorități
  - reglementari locale

10 Infrastructură turistică
- obiective turistice – muzee, mănăstiri,
- hoteluri, restaurante
- zone de agreement, parcuri.

12. Strategii locale de dezvoltare
 (descrierea proiectelor )

13. Investitori strategici
- enumerare si descrierea succinta a acestora

14. Administratie si bugete locale
- autorități locale, instituții, competențe,
- taxe si impozite locale
- reglementări locale în afaceri, construcții

15. Organizatii non-guvernamentale
15. Sectorul non-guvernamental

<table>
<thead>
<tr>
<th>Denumire, scop, obiective</th>
<th>Adresa, conctact</th>
<th>Specialişti</th>
<th>Descrierea unui proiect recent</th>
</tr>
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</table>

16. Protecție socială și securitate comunitară
- reglementări naționale, locale,
- programe naționale, inițiative locale
- rețeaua locală de organizații și servicii

17. Legislație
- legi de interes în domeniul afacerilor, muncii, proprietății
- regulamentări în domeniul circulației internaționale

18. Servicii bancare
- inventarierea băncilor(sucursalelor), adrese, bancomate ....

19. Comunicații și mass media
- descrierea accesului spre localitate: rutier, feroviar, aerian
- hărți locale
- descrierea mass media locale: publicații scrise, TV, radio (eventual, cu o clasificare de audiență, tiraje, încredere)

References
Keywords: commemoration/anniversary, (Romanian) visionaries/innovators, comparison, abstractization, redefining art, the new Humanism

Abstract: This year commemorates two important anniversaries: Fifty years since the death of Constantin Brancusi (1876-1957) and One Hundred years from the birth of Mircea Eliade (1907-1986). This paper presents these two great Romanians, and discusses the main contributions of these visionary creators in their own fields and their impact on the development of art and culture.

1. Introduction

The twentieth century, with all the wars, revolutions and horrid crimes, which have shaken the world, was also the century of renewals and progress in all fields. The progress realized was due to the contribution of many people and numerous nations, transcending national, political or ideological frontiers and barriers, in order to outline what remains a human and humanist permanence.

Brancusi and Eliade belong to the genial creators group, the first one in the Arts, the second one in the explanation of the essence of religious phenomena, the nature of the sacred and profane, myth and magic. Both left their native Romania, were successful and became recognized in foreign lands as pioneers of the universal culture of our times, but not in their native Romania.

2. The purpose of the paper

In this paper, we present a parallel between Brancusi’s vision of art, as a new, modern sculptor of pure forms and Eliade, the scholar and interpreter of religious phenomena and myths, who also had a vision for a new humanism. Eliade was impressed
by the works of Brancusi and although he never met the artist, during his discussion with Rocquet and in the appendix of the book *Ordeal by Labyrinth - Conversations with Claude Henri Rocquet*, he offers us a valuable and original interpretation of the creation of the great Romanian sculptor.

Brancusi’s works suggest and urge us to look for the absolute and eternal forms and elements in the real world, in which the passing of time and permanent change and evolution cannot be stopped. The forms created by Brancusi are the result of his continuous search for a new expression in Art. Starting with the real form of objects and figures, he worked constantly to eliminate one after the other, the secondary aspects of the image that represented the object. In the sculptures he was creating, his artwork evolves by purifying the image and retaining only the essential and absolute features, which characterize the object or the figure. This process of simplification produced sculpture which for an uneducated eye, lost the resemblance with the original object, yet through the simplification of the forms succeeded in representing a kind of essence of that object. Brancusi created numerous artworks whose initial inspiration came from a study of birds and flight and which began by distilling the outward appearance of the bird and ultimately arrived at the “Bird in Space”, which takes on the appearance of a rocket rather than a bird. The final form is attractive and incorporates all the main elements of art – a harmonious design, a balanced composition, beauty and simplicity of form, and the highly polished surface which enhances the impression of flight. Yet, when the work was sent to be displayed at an exhibit in America in 1926, it was considered a mere mechanical object possibly part of some type of machinery and the customs officials charged the sculptor with a tax for “importing metals”. It was necessary to settle the problem through the judicial process which also at the end of the trial changed the standard definition of the artwork to include the changes that occurred in art at the beginning of the twentieth century. This famous controversy and the trial which followed, forced a new understanding of the meaning and appearance of art works and ushered in the modern conception of art in America.

Following his own unique vision, Brancusi created an Art of indivisible forms, simple and pure, which often approaches abstract, mathematical forms. During the process of producing a sculpture Brancusi carved numerous variants until he arrived at representing what for him was “the ideal form or the acceptable form”. Following this process, the bird is reduced to the idea of flight, an ideal way with minimal resistance from the air and the vanquishing of any obstacle in his way, including the pull of gravity. Similarly, the sculpture representing a fish is reduced to a sharp form that penetrates the water with maximum efficiency and minimum effort. The same continuous evolution can be seen in the study and creations of Brancusi’s Mademoiselle Pogany’s portraits. In this series, Brancusi, in a number of successive portraits eliminated the superficial details, to reach the essential form of the oval, the egg – one of the absolute elements and primordial forms of the world. In his process of creating a sculpture of an object the final art object represented an essence of the original object which suggested the action connected to the original or a geometrical form characteristic of the original. Radu Varia in his book about Brancusi published in 1986, reproduced the explanation and the meaning given by Brancusi himself about his art: “For what my work is aiming at is above all realism: I pursue the inner, hidden reality, the very essence of objects in their own intrinsic fundamental nature; this is my only deep preoccupation.”

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During this process of searching for essences, Brancusi tried to show that all living creatures are unified through some essential forms; a brilliant intuition of a genius, which precedes the conclusions of scientific research and yet, confirms these same conclusions on a different basis, as for example by considering the use of minimal energy together with maximum efficiency of information transfer. The streamlined forms of Brancusi bespeak of a primordial time while remaining firmly grounded in the modern world. His creations initiated the universe of modern sculpture and liberated the sculptural object from the chains of the Western tradition of figurative forms and subservience to the human dimension.

3. The Universe of Eliade

Eliade grew up during a time when Romania had accomplished all its national aspirations. All Romanian provinces were successfully united to the motherland through their own will on the basis of the self-determination principle included in the 14 points presented by President Wilson in 1918 to the American Congress and then at the Paris Peace Conference in 1919, following the conclusion of WWI. This union had been the aspiration of the peoples of Romania, who for centuries had been forced to live under foreign occupation and domination. The economy and culture in Romania were in full progress after the war. And for the first time in the history of their country the young generation did not have to accomplish any political task. It is important to mention that Eliade was among the first who stepped forward in 1927, at only 20 years and in an essay published as a feuilleton in the journal “Cuvantul”, he presented the goals and the possible objectives of his young generation. Considering that the older generation of Romanians, through their struggle and fighting in the war had succeed to unite all the provinces inhabited by Romanians, Eliade proposed that the new, younger generation, should concentrate its efforts on the development of culture and spirituality, in order to reduce the gap that existed between Romania and other European countries.

Eliade, worked hard and his interest in the study of myth and the history of religions enabled him to succeed in obtaining a stipendium from an Indian maharajah to study Indian philosophy and Indian culture, with the renowned Indian professor Dasgupta from the University of Calcutta. After three years of study in India, Eliade returned home and by using his research in India he concluded writing his doctoral thesis, obtaining in 1933 the doctoral degree with *magna cum laudae* from the University of Bucharest. Shortly after that, he was appointed assistant professor to Nae Ionescu, his mentor and professor at the University of Bucharest. He started teaching immediately and in 1940, Eliade was appointed as cultural attaché to the Romanian Royal delegation in London between April and September, while from 1941 to 1945, as cultural adviser at the Romanian Legation in Lisbon. During all these years of travel Eliade continued to research and study, benefiting from the various academic libraries of the countries he has visited.

The war years found him abroad, from where he would not be able to return to his native country, similar to Brancusi. At the end of WWII, Romania was occupied by the Red Army of the Soviet Union, who imposed a communist regime in the country following the order of Stalin. The taking over of the power by communists, condemned Romania to an immense loss and suffering, destroying many generations of intellectuals, plundering the wealth of the country and banishing all democratic rights warranted by the constitution, like the right to manifest and express ones view, the right to form associations, the freedom to travel, etc. The country was overtaken by uneducated and uncultured men, who were nominated by the communist party to lead, even though lacking the necessary qualifications. These mostly illiterate or semi-illiterate people who led Romania, were the faithful executants of Moscow’s orders, unthinkingly looting and destroying the country.

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In 1945 after the war, Eliade established himself in Paris where he continued to complete his research writing and publishing his scientific studies. In order to obtain some money to support himself, he gave lectures in Paris at the Sorbonne and Musee Guimet. Between 1948 and 1956, seven of his important books representing his studies of myths and different religious phenomena were published one by one: *Techniques du Yoga, Traite d’histoire des Religions, Le Mythe de L’éternel retour, Chamanisme et les Techiques Archaiques de l’Extase, Images et Symboles, Le Yoga: Immortalité et Liberte* and *Forgerons et Alchimistes*. These publications established Eliade as a recognized scholar and a specialist in the field of the History of Religions, his books being used for teaching at various universities. One of the professors who used Eliade’s books for teaching his students, was professor Joachim Wach from the University of Chicago, in the USA. Wach invited Eliade to deliver a series of lectures at the University of Chicago and after that, for thirty years until his death, Eliade remained the distinguished and venerated professor in the Divinity School of the University of Chicago. Parallel with his scholarly publications, his literary activity continued successfully. His books were published in different languages, being awarded literary prizes and appreciated by both the public and the critics.

In spite of all these successes, Eliade remained and felt himself a Romanian, though forced to live in a foreign land. All his literary works are written in Romanian and whenever an opportunity occurred, he kept contacts with many Romanians, but refused to visit Romania dominated by the communists.

At the University of Chicago he had many students and collaborators and in order to encourage the publication of research and the exchange of ideas he founded, with the support of his colleagues, the publication of a new journal “History of Religions”. In the very first number of this journal, Eliade presented his vision about the goals for the history of religions to become a basis for a *New Humanism*, destined to ensure a better understanding between various cultures and at the same time to open a new horizon for the understanding of human nature ⁵.

In the discussions between Eliade and Claude Henri Rocquet, published under the title *“L’Epreuve du Labyrinthe”* ⁶, Eliade spoke with pride about his affiliation with the Romanian culture and traditions. He considered the Romanian culture as a connection, a bridge between West and East, a place in which the two worlds coexist, in which there are confrontations – as for example between traditionalism and modernism, mysticism and religion, contemplation and action.

Eliade, who declared himself a Historian of Religion and an Orientalist, in the preface to one of his Journal volumes, published under the name “No souvenirs” ⁷, confesses that he follows the old tradition of Romanian culture, in which many of the Romanian scholars and scientists were at the same time writers and creators of valuable literary works. For him, writing literature proved to be a fascinating experience, as well as an organic necessity to express himself and uncover his life experiences of living in the world and be influenced by it. His literary works often show that the action presented in the novel is developed in a dual universe: one mythical, fantastic and sometimes dreamlike, while the other representing the real universe of every day experience.

Brancusi, the other important Romanian was also proud of his origin, preserving his Romanian and traditional way of living in the heart of Paris, in spite of his participation in the artistically innovating vanguard of the twentieth century.

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Eliade, who was preoccupied with Brancusi’s creations and universe, uncovered, in his small study dedicated to the sculptor, his secrets and method of investigation. Eliade discovered in Brancusi’s creations an interiorization process and a search for the essences of life forms, grounded in the sculptor’s own life experience, but revealing the creative process of archaic times. Brancusi saw the world in the same way that the prehistoric creators of the remote past envisioned their world, a discovery close to Eliade’s own investigations into the essential elements of myth and religion. Through the process of interiorization, the artist discovered what Eliade called “his presence in the world”.

In his discussions about Brancusi, Eliade ascertained that the Romanian sculptor expressed his artistic ideas in the same manner in which we find them expressed in the Romanian folklore, except that Brancusi didn’t create folkloric art, nor did he imitate the models of popular creation. Instead, he created and discovered new forms, which in fact were a re-discovery of archetypical forms, with their roots in the Neolithic tradition. In his searches, Brancusi discovered not only the forms, but also the forces which gave vitality to these primordial forms.

Eliade confessed that he regretted not having met Brancusi, to whom he dedicated a small study, entitled “Brancusi et les mythologies”. In this study, Eliade discovered in Brancusi’s creation a process of interiorizing and a search for the essences of life, which started with his own life experience. This way, Brancusi discovered what Eliade defined as “the presence in the world”, so typical and specific to the archaic man of Paleolithic and the Neolithic periods.

“Brancusi - says Eliade – succeeds to see the world in the same way as the prehistoric creators and as the folk art creators, through which these anonymous artists realize their artistic universe. Only through the interiorizing process, can we understand the extraordinary and wonderful originality of Brancusi.”

4. The universe of Brancusi

Brancusi, the brilliant Romanian sculptor of genius is internationally recognized as one of the fathers of the modern art of the twentieth century, without whom the evolution of modern and contemporary art would not have been possible.

Born in 1876, in Hobita, a hamlet in Oltenia, at the foot of the Carpathian Mountains, Brancuși manifested already in early childhood the desire to be independent. He looked only for his way of life, running away from home at the age of 11 and working whatever he found to provide for himself. Later he became an apprentice to a carpenter, learning to work the wood and being appreciated by his master. Gifted with wit and intelligence, cleverness and with a remarkable willpower along with an abundance of intellectual curiosity he studied for three years at the School of Arts and Crafts in Craiova, where he stood out from start, and gained a fellowship for the Fine Arts Faculty in Bucharest. In Bucharest he also became recognized from the beginning, obtaining many prizes and awards for his works.

After finishing his studies in Romania, he left for Paris on foot, a journey that took over one year of travels throughout Europe. In Paris he enrolled at the “Ecole des Beaux

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Arts". Being noticed by Rodin, who saw his sculptures at the “Salon d’Automne” in 1906, Brancusi worked for a while in the studio of the great French sculptor, but soon he quit, saying that “nothing can grow in the shadow of a big tree!”

From that moment, he studied by himself, searching his way and unveiling his own unique artistic vision. Although he lived in the heart of Paris and took an active interest in the artistic vanguard of the time, the sculptor carries on an isolated and modest life, his living resembling that of his grandparents, forefathers and ancestors, peasants from Oltenia, working with earnestness and diligence. He exhibited continuously and began to gain the admiration of collectors and art dealers. In his studio – which was also his home – he often welcomed many artists, writers and other avant-garde thinkers, with whom he often had interesting exchanges of ideas. He read much and kept abreast of all artistic and cultural events in France’s capital.

However, Brancusi, though interested and curious of the new currents and trends, did not affiliate with any of the schools or artistic developments of the time.

Although the sculptor lived in the middle of the artistic vanguard of the twentieth century, which influenced him and was influenced by him, he didn’t belong to any school group, trend or artistic style. He remained a genius, a brilliant and independent creator, always working endlessly in the incessant search for essences and pure and absolute forms, discovering new horizons in the artistic creation process and offering a new art, profoundly original and innovative.

His works remain totally original, although one can guess an influence of the cubism, assimilated with much subtlety and fineness. The Romanian sculptor often treated and gained his inspiration from familiar subjects: a head, a bust, a bird, etc. He began with the real image of the subject, and then proceeded to eliminate one by one the unessential elements, through an abstraction process, which purified the image, reducing it to a simplified form that best expressed the essence of the respective subject.

It is interesting to note that his intuition often lead him to discover those forms and surfaces which approach mathematical forms and best express specific functions with elegant simplicity. In this respect, “Bird in Space” is remarkable in its form resembling the aerodynamic shape of a rocket for the optimal realization of flight. A similar evolution can be found in the portrait of “Mademoiselle Pogany” and many other Brancusi’s works: "Head of a sleeping child", “Prometheus”, “Sleeping muse”, “Sculpture for the blind”.

Eliminating the superficial details of the human figure, Brancusi discovered the essential form of the oval: the egg – represented in his sculpture “Beginning of the world” - the absolute and original element of life, showing us the organic, profound connection, which binds all the creatures together, carrying the same origin that characterizes all life.

Brancusi had few students, but many generations of artists have been and continue to be influenced by him. From Modigliani to Arp, Isamu Noguchi, Henri Moore, Alberto Giacometti and so many others, Brancusi’s vision and his methods of search and expression of essences have made possible new artistic horizons and the birth of modern sculpture.

Examining and exploring the works of these two great Romanians, we discover new values and new dimensions of the Romanian cultural horizon, which must be recovered and honored after their long absence, imposed by the unhappy and destructive communist experience. Nevertheless, in spite of the official attitude of the communist ideologues, who criticized the art of Brancusi and rejected his offers to install his atelier as a museum in Romania, there were numerous artists, art critics and writers, who deeply appreciated the works of the great sculptor. There were many studies and writings about him, but his atelier was donated to France, being included in the Musee Pompidou, after Brancusi’s offer was rejected by the communist government of Romania some years before his death in 1957.
References


The Use of Tropes in Economic Texts

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Keywords: tropes, metaphor, metonymy, synecdoche, irony, economics

Abstract: As in many other fields, English is increasingly the universal language of economic field, which means that professional and academic economists are obliged to publish in English in order to expand their careers.

The demand for English (ESP) for economics and business is inherent in the nature of economic management and business running; moreover some undergraduate and graduate economics students seeking to continue their education or, to be employed in British, American or Canadian institutions have increased this demand for ESP courses. Therefore, the present study of tropes in economic texts is useful and takes advantage of rhetoric thinking as a didactic tool to simplify what would otherwise be too complex for students to understand.

The ESP teacher himself needs to be aware of the different rhetorical strategies and models used in economics and (s)he can adopt them to his/her students’ needs or (s)he can adopt them to his/her students’ cultural background. English has clearly become the world’s predominant language of research and scholarship.

This study of tropes in economic texts, with an emphasis on metaphor, will be useful in determining the relevant aspects in which a consideration of tropes might help students get into texts besides contributing to the building of a theory of text-types different from the traditional taxonomy of literary versus non-literary texts.

Introduction

Although there has been a long debate on the existence of tropes in economic texts, their presence cannot be denied. The pervasiveness of tropes in economic discourse makes the language of economics less abstract and more manageable in concretizing, objectivising or even humanizing economics concepts. Economics tropes are basic models for economic processes in human society.

McCloskey explains how, in the eighties, few economists realized that such facts as “the character of the audience”, “the style of the customary medium”, “the practical purpose to be achieved from the communication” do influence scientific communication while not necessarily distorting it; he suggests that, in order to account for such factors, economists need rhetoric, which is not an ornament, “or what is left after logic and evidence have done their work”.¹ Rhetoric in its broad definition is the art of argument, including what is called logic, one corner of the rhetoric tetrad (which also includes, for

McCloskey, metaphor, story and fact). Scientific tropes are not merely linguistic ornaments, on the contrary, they are essential to the conception, development and maintenance of scientific theories in a variety of ways: they provide the linguistic context in which the models that constitute the basis for scientific explanation are suggested and described; they supply new terms for the theoretical vocabulary, especially when there is a gap in the lexicon; and they direct scientists towards new paths of inquiry, by suggesting new hypothetical entities and mechanism.

Through tropes, scientists draw upon existing cognitive resources to provide both the model and the vocabulary in terms of which the unknown mechanisms can be conceived and so investigated. Tropes thereby perform a cognitive role in scientific theorizing.

**Tropes used in economic texts**

Giambattista Vico (1668-1744) is usually credited with being the first to identify metaphor, metonymy, synecdoche and irony as the four basic tropes (to which all others are reducible), although this distinction can be seen as having its roots in the *Rhetorica* of Peter Ramus. This reduction was popularized in the twentieth century by the American rhetorician Kenneth Burke (1897-1993), who referred to the four “master tropes”. Each of these four tropes represents a different relationship between the signifier and the signified; Hayden White suggests that these relationships consist of: resemblance (metaphor), adjacency (metonymy), essentiality (synecdoche) and ‘doubling’ (irony).

Jakobson argued that metaphor and metonymy, or selection and combination, are the two basic axes of language and communication. Metaphor is a paradigmatic dimension (vertical, based on selection, substitution and similarity) and metonymy a syntagmatic dimension (horizontal, based on combination, contexture and contiguity).

According to Roman Jakobson, metaphor and metonymy are the two fundamental modes of communicating meaning, and - according to George Lakoff and Mark Johnson - the basis for much of our understanding in everyday life.

Metaphor is so widespread that it is often used as an ‘umbrella’ term to include other figures of speech (such as metonyms) which can be technically distinguished from it in its narrower usage. Lakoff and Johnson argue that “the essence of metaphor is understanding and experiencing one kind of thing in terms of another”. In semiotic terms, a metaphor involves one signified acting as a signifier referring to a different signified. In literary terms, a metaphor consists of a 'literal' primary subject (or ‘tenor’) expressed in terms of a “figurative” secondary subject (or “vehicle”).

George Lakoff and Mark Johnson illustrate that underlying most of our fundamental concepts are several kinds of metaphor:

- orientational metaphors primarily relating to spatial organization (*up/down*, *in/out*, *front/back*, *on/off*, *near/far*, *deep/shallow* and *central/peripheral*);
- ontological metaphors which associate activities, emotions and ideas with entities and substances (most obviously, metaphors involving *personification*).

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6 Cf. idem, ibid.
8 *Idem, ibid*, p. 5.
- **structural metaphors**: overarching metaphors (building on the other two types) which allow us to structure one concept in terms of another (e.g. rational argument is war or time is a resource).

They also note that metaphors may vary from culture to culture but argue that they are not arbitrary, being derived initially from our physical, social and cultural experience.

In 1982, Willie Henderson opened the discussion of metaphor in economics, pointing to the scarcity of analyses of metaphor in economics, in spite of the “wide and deliberate use of metaphor in economic texts”. A year later, Deidre McCloskey argues that metaphor should be investigated in the frame of an “economic criticism” whose objective should be finding out “how arguments sought to convince the reader”.

Charteris-Black thinks that metaphor is in fact an essential feature of technical discourse and plays an important role in making it easier to understand. “Meanings may be realized by word choice that differs what is in some sense typical or unmarked, and anything approaching technical language for example, tends to become noticeably more complex if one simplifies it by removing the metaphor”. In fact, writers on economic issues have used metaphor to illustrate their arguments since Aristotle. However, the importance of metaphor in economics was recognized with the works of Henderson (1982) and McCloskey (1983) on economic rhetoric and they are probably for most economists the only approach for studying economic discourse.

One of the most used metaphors in economic texts is “market”. In an article, “Fools fight for favour in the court of Mr. Market”, in *Financial Times*, John Kay views market as an “anthropomorphic and voting metaphor”. Here is how he describes the two types of metaphor: “The anthropomorphic metaphor is hierarchical. ‘We might ask the market’ City folk will say, but only if they occupy very senior positions or are leading specialists in their field. Such individuals are privileged by direct access to Mr. Market himself. The most discreetly influential figures in the city and on Wall Street display the style and mannerisms of Mr. Market’s courtiers. The voting metaphor is democratic. Every one’s opinion counts although some opinions count for more than others. Views are weighted by the amount of money behind them …”. Kay also presents “market” as “a silly old fool who occasionally makes assets available to Berkshire Hathaway beyond their fundamental value”.

As we can observe the whole text is highly metaphorical, seasoned with sarcasm and irony. Of course, we wouldn’t expect an article on an economic issue to be subjective, to abound in figures of speech, but here we must also take into account the journalistic style.

Lakoff and Johnson (1980) state that human thought is largely metaphorical and metaphorical language is only possible because of the deeper metaphors that exist in our conceptual systems. An example, out of the many they give (also illustrative for the present study), is “Time is money” – and from here related expressions used to describe time (abstract), such as: to waste time, to save time, to budget time, to invest time, to use time. This metaphor came into the English language around the period of the Industrial Revolution, when people started to be paid for work by the amount of time they worked. Thus, the factory led to the institutional pairing of periods of time with amounts of money, which formed the experiential basis of this metaphor. Since then, the metaphor has been
realized in many other ways. The budgeting of time has spread throughout American culture.\textsuperscript{17}

The examples of metaphors in economic texts are as numerous as in any other type of discourse. Economic publications offer a rich metaphorical material for study. Here are some of the many examples of metaphors I came across when reading \textit{Financial Times}:

a) “But in spite of meeting these criteria, the marriage of HRE and Depfa was unlikely to transform to German banking market […].”\textsuperscript{18}

The definition of the term “marriage” in MacMillan English Dictionary is “the relationship between two people who are husband and wife”. In the example it is associated with two institutions, Hypo Real Estate Holding AG (HRE) and Depfa Bank Plc (Depfa). The synonymic economic term is \textit{merger}, but the author chooses a metaphor to facilitate and enhance understanding and also as a tool in journalistic style.

b) “The oil services sector is considered ripe for consolidation […].”\textsuperscript{19}

c) “[…] instead of cutting money, they have now got to spend it.”\textsuperscript{20}

d) “Falling profits are among the most obvious threats to the stock market.”\textsuperscript{21}

e) “Price rises for Russian energy supplies started to bite.”\textsuperscript{22}

Many of today’s standard meanings of words began as metaphors, but their use has made them conventional. An example is \textit{price rise}, which is hardly noticed as metaphorical; it has become part of the economics lexicon; it is now a dead metaphor.

The process whereby metaphorical representation becomes lexicalized is a natural process of linguistic change.\textsuperscript{23} As it happens it might be thought that metaphors lose their force, but from the conceptual metaphor viewpoint it has been argued that “the conventional or lexicalized metaphor is all the more powerful for its automaticity and, moreover, the whole concept of deadness loses validity when metaphors are seen as cognitive instruments.”\textsuperscript{24}

While metaphor is based on apparent unrelatedness, \textit{metonymy} is a function which involves using one signified to stand for another signified which is \textit{directly related} to it or \textit{closely associated} with it in some way. Metonyms are based on various \textit{indexical} relationships between signifieds, notably the substitution of \textit{effect} for \textit{cause}. A definition of “metonymy” is the evocation of the whole by a connection. It consists in using for the name of a thing or a relationship an attribute, a suggested sense, or something closely related, such as effect for cause, “the imputed relationship being that of contiguity.”\textsuperscript{25} It can be seen as based on substitution by \textit{adjuncts} (things that are found together) or on \textit{functional relationships}. Many of these forms notably make an abstract referent more concrete, although some theorists also include substitution in the opposite direction (e.g. \textit{cause} for \textit{effect}). \textit{Part/whole} relationships are sometimes distinguished as a special kind of metonymy or as a separate trope, as we will see shortly. Metonymy includes the substitution of:

\begin{itemize}
  \item \textit{effect} for \textit{cause} (“Don't get hot under the collar!” for “Don't get angry!”);
  \item \textit{object} for \textit{user} (or associated \textit{institution}) (“the Crown” for the monarchy, “the stage” for the theatre and “the press” for journalists);
\end{itemize}

\textsuperscript{18} Extract from the article “German banks’ merger urge” in \textit{Financial Times}, Tuesday, July, 24, 2007, p. 16.
\textsuperscript{19} Extract from the article “Transocean agrees $18bn deal”, \textit{op. cit.}, p. 18.
\textsuperscript{20} Extract from the article “Hayard set for his first BP challenge”, \textit{op. cit.}, p. 20.
\textsuperscript{21} Extract from the article “Reasons for reassuring for robustness of the market”, \textit{op. cit.}, p. 28.
\textsuperscript{22} Extract from the article “Belarus purges its gas oil chiefs”, \textit{op. cit.}, p. 4.
\textsuperscript{24} Idem, ibid, p. 106.
o *substance* for *form* ("plastic" for "credit card");
o *place* for *event: ("Chernobyl changed attitudes to nuclear power");
o *place* for *person* ("No. 10" for the British prime minister);
o *place* for *institution* ("Whitehall isn’t saying anything");
o *institution for people* ("The government is not backing down").

Lakoff and Johnson comment on several types of metonym, including:
- *producer for product* ("She owns a Picasso");
- *object for user* ("The ham sandwich wants his check [bill]");
- *controller for controlled* ("Nixon bombed Hanoi").

They argue that (as with metaphor) particular kinds of metonymic substitution may influence our thoughts, attitudes and actions by focusing on certain aspects of a concept and suppressing other aspects which are inconsistent with the metonym.

Jakobson argues that whereas a *metaphorical* term is connected with that for which it is substituted on the basis of similarity, *metonymy* is based on contiguity or closeness. The indexicality of metonyms also tends to suggest that they are “directly connected to” reality in contrast to the mere *iconicity or symbolism* of metaphor. Metonyms seem to be more obviously “grounded in our experience” than metaphors since they usually involve direct associations. Metonymy does not require transposition (an imaginative leap) from one domain to another as metaphor does. This difference can lead metonymy to seem more ‘natural’ than metaphors - which when still “fresh” are stylistically foregrounded. Metonymic signifiers foreground the signified while metaphoric signifiers foreground the signifier.

As in the case of metaphors, the use of metonymy is widespread in economic texts.

a) “HRE said yesterday it aimed to generate a return on equity after tax of more than 15 per cent.”

HPE refers here to the representatives of Hypo Real Estate Holding AG. it is a case of substitution of institution for people.

b) “*The Gulf* has generated current account surpluses of $500 bn, over the past few years…”

The Gulf here refers to The Persian Gulf, in the Southwest Asian region, is an extension of the Indian Ocean located between Iran and the Arabian Peninsula, more specifically to the economies of the countries in the area.

c) “We are certainly doing more *M&A* than we thought would be possible.”

The phrase *mergers and acquisitions* (abbreviated M&A) refers to the aspect of corporate strategy, corporate finance and management dealing with the buying, selling and combining of different companies that can aid, finance, or help a growing company in a given industry grow rapidly without having to create another business entity.

Some theorists identify synecdoche as a separate trope, some see it as a special form of metonym and others subsume its functions entirely within metonymy. Jakobson noted that both metonymy and synecdoche are based on contiguity. The definition of synecdoche varies from theorist to theorist (sometimes markedly). The rhetorician Richard Lanham represents the most common tendency to describe synecdoche as “the substitution of part for whole, genus for species or vice versa.” Thus one term is more comprehensive than the other. Some theorists restrict the directionality of application (e.g.

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29 Extract from the article “German banks’ merger urge.” *Financial Times*, Tuesday, July, 24, 2007, p. 16.
30 Extract from the article “How big is the pie”, *op. cit.*, p. 2.
31 Idem, ibid.
part for whole but not whole for part). Some limit synecdoche further to cases where one element is physically part of the other. Here are some examples:

- *part for whole* ("I'm off to the smoke [London]; “I've got a new set of wheels");
- *whole for part* (e.g. “I was stopped by the law" - where the law stands for a police officer, “Wales" stands for “the market” for customers);
- *species for genus* (*hypernymy*) - the use of a *member of a class* (*hyponym*) for the *class* (*superordinate*) which includes it (e.g. *a mother* for *motherhood*, “bread" for “food");
- *genus for species* (*hyponymy*) - the use of a *superordinate* for a *hyponym* (e.g. *vehicle" for "car", or "machine" for “computer").

Here are also some examples taken from economic texts:

a) “Mr. Lukashenko yesterday sacked *heads* of Beltransgas”\(^{34}\)

The word “*heads*” stands for the employed personnel, so it expresses the substitution of part for whole, that is the *head* for the entire body, for persons.

b) “*Tehran*, partly for political reasons, recently asked Japanese refineries to pay for their crude oil purchases in yen”\(^{35}\)

*Tehran* here refers to the representatives of the country’s economy. It can also be considered an example of metonymy.

**Irony** is the most radical of the four main tropes. As with metaphor, the signifier of the ironic sign seems to signify one thing but we know from another signifier that it actually signifies something very different. Where it means the *opposite* of what it says (as it usually does) it is based on binary opposition. Irony may thus reflect the opposite of the thoughts or feelings of the speaker or writer (as when you say “I love it” when you hate it) or the opposite of the truth about external reality (as in “There’s a crowd here” when it’s deserted). It can also be seen as being based on substitution by *dissimilarity* or *disjunction*. Whilst typically an ironic statement signifies the opposite of its literal signification, such variations as understatement and overstatement can also be regarded as ironic. At some point, exaggeration may slide into irony.

However, irony is often more difficult to identify. All of the tropes involve the non-literal substitution of a new signified for the usual one and comprehension requires a distinction between what is *said* and what is *meant*. Thus they are all, in a sense, *double* signs. However, whereas the other tropes involve shifts in what is being referred to, irony involves a shift in *modality*. The evaluation of the ironic sign requires the retrospective assessment of its modality status. Re-evaluating an apparently literal sign for ironic cues requires reference to perceived intent and to truth status.

An example of irony used in economic discourse is the *Financial Times* article of John Kay, “*Fools fight for favour in the court of Mr. Market*” where the author ironically presents an economic issue.

**Conclusions**

The pervasiveness of tropes in economic texts makes the language of economics less abstract and more manageable in concretising, objectivising and even humanising economics concepts. Economic tropes are basic models for economic processes in human society.

I believe that tropes are supposed to facilitate and enhance understanding, not hinder it. Hence, they can be used as a didactic tool to simplify what would otherwise be too complex for students to understand. In order to fulfill this task effectively, the teacher him/herself needs to have some knowledge of the use, function and interpretation of tropes. He/she may adopt them according to his/her students’ needs or their cultural

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\(^{34}\) Extract from the article “Belarus purges its gas and oil chiefs”, *op. cit.* p. 4.

\(^{35}\) Extract from the article “Gulf spending adapts to weak dollar” in *Financial Times*, Tuesday, July, 24, 2007, p. 3.
background and this is perhaps the influence that tropes should have on ESP courses for economic classes.

This study of tropes in economic texts, with an emphasis on metaphor, will be useful in determining the relevant aspects in which a consideration of tropes might help students get into texts besides contributing to the building of a theory of text-types different from the traditional taxonomy of literary versus non-literary texts.

The pervasiveness of tropes, and particularly of metaphor, in economic texts (and other types) is eroding the precariousness of the long held preconception that tropes (and especially metaphor) are exclusively a sign of literature, a linguistic ornament. On the contrary, tropes are not an embellishment of one what already knows, but a vehicle for new insight made available by the interanimation of new terms.

The ESP teacher himself needs to be aware of the different rhetorical strategies and models used in economics and he can adopt them to his students’ needs or he can adopt them to his/her students’ cultural background. English has clearly become the world’s predominant language of research and scholarship.

References

Conceptul POM în teoria managementului general

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Keywords: new ideas, management theory, open autonomous system, the POM concept, hierarchical pyramid, patrimony, organization, management

Abstract: The paper aims at foregrounding a general idea of dealing with basic notions in the theory of general management. The result of the research is the synthesis of a ten years’ academic work done with the students of the “George Bacovia” university. It is obvious that any entity, be it institution, company, association etc., runs as an open autonomous system, structured on three interdependent elements – its patrimony, organization and management. Starting from this hypothesis, POM may be defined as a general trinomic structure within the system of any legally constituted entity.

Taking into account the POM concept, there can be explained things such as: the functions of the work processes, the functions of the system resource changing processes and the managerial decisions at different levels of the hierarchical pyramid. This concept allows the highlighting of all the interior and exterior relations of any legal entity through which the managerial process is both designed and put into practice. This original approach allows a better and easier understanding of the general characteristics, of the shared or unique responsibilities held by managers and their employed people for the running of their institutional system.

For the time being, the syllabus of the general management makes a difference between institutions, companies or non-governmental organizations concerning fundamental notions, such as functions or managerial decisions, which may lead to the conclusion that management is not a science based on general principles, rules and phenomena. The POM concept allows the getting rid of this ambiguity.

Lucrarea a fost realizată în scopul evidențierii unei idei noi, generale, de tratare a noțiunilor de bază în teoria managementului. Rezultatul cercetării este consecința sintetizării experienței mele didactice din ultimii zece ani cu studenții de la Universitatea „George Bacovia” precum și a practicării timp de peste 30 a diverselor funcții manageriale. În prezent tematica managementului general tratează în mod diferențiat, pentru instituții, firme sau ONG-uri, aspectele legate de noțiunile fundamentale cum sunt cele privind funcțiile, funcțiunile și deciziiile manageriale. Acest fapt poate conduce la percepția că managementul nu este o știință cu conținut unitar, care să se bazeze pe fenomene, legițiți și principii generale. Noul concept elimina această ambiguitate.

Tendințele de dezvoltare, diversificare și ultra-specializare din domeniul managementului conduc la creșterea impresionantă a volumului de informații și cunoștințe. Noile abordări pornesc de la sintetiza cunoștințelor existente care oferă premize pentru noi descoperiri. În sensul celor arătate am considerat utilă o analiză originală asupra
aspectelor teoretice de bază cu care operăm în managementul general, cu scopul de a evidenția elementele structurale fundamentale și relațiile care ordonează funcționalitatea instituțiilor, firmelor, asociațiilor etc.

Este cunoscut faptul că orice entitate de tip instituție, firmă, asociație, fundație etc. se manifestă ca sistem autonom deschis având la bază trei elemente interdependente – patrimoniu, organizarea și managementul. Plecând de la această ipoteză se definește conceptul **POM** ca fiind o structură trinomică generală, în interiorul sistemului tuturor entităților juridice, care însumează patrimoniu, organizarea și managementul acestora.

Prin intermediul conceptului **POM** se explică funcțiile proceselor de muncă, funcțiunile proceselor prelucrării resurserilor intrate în sistem și deciziile manageriale în ansamblul piramidei ierarhice. Trinomul **POM** transformă resursele (R), preluate din mediul exterior (ME), în produse sau servicii (P/S), care se regăsesc apoi ca „fructe” în același mediu. Circuitul R → POM → P/S, asigură regenerarea și dezvoltarea POM-ului prin efectul de feedback al mediului exterior. Funcționalitatea acestui sistem, comun tuturor persoanelor juridice, care are ca intrări resursele R, ca ieșiri produsele sau serviciile P/S, și ca structură internă trinomul **POM**, este asigurată prin management M (figura 1).

![Sistemul autonom deschis al persoanelor juridice](diagram.png)

Descrierea sumară a sistemului persoanelor juridice evidențiază complexitatea fenomenelor și relațiilor care fac obiectul managementului general. Această complexitate explică caracterul trans-disciplinar al acestei științe. Astfel, managementul general presupune o gamă largă de informații și cunoștințe structurate aparținând cercetării macrosistemelor. Aspectele privind mediul exterior al persoanelor juridice se manifestă prin totalitatea factorilor obiectivi, generată de legile naturii, societății, științelor, culturii, civilizației, precum și prin totalitatea factorilor subiectivi, generată de legislația și fenomenele create sau provocate de oameni prin intermediul entităților în care ei se asociază. În interiorul microsistemelor persoanelor juridice, managementul implică cunoașterea fenomenelor și legițiilor privind transformarea R → P/S prin prisma aspectelor de natură socială, economică, juridică, tehnologică etc. specifice fiecărei structuri **POM**.

Din analiza sistemului persoanelor juridice, reprezentat în figura 1, se pot identifica categoriile de grupuri sociale interesate de succesul sau insuccesul acestora în cadrul macrosistemelor locale, regionale, naționale sau transnaționale. Pentru succes vor fi interesate grupurile proprietarilor, salariaților, furnizorilor de resurse și beneficiarilor de produse sau servicii, iar pentru insucces vor fi interesate grupurile concurente. Trebuie însă remarcat faptul că în cadrul grupurilor interesate de succes există totuși divergențe în legătură cu elementele trinomului **POM** iar în cazul grupurilor interesate de insucces pot exista convergențe privind reglementările în macrosisteme. Spre exemplu, membrii organizației, ca execuțanți în procesele din interiorul sistemului, sunt interesați să se aloe cât mai mult din rezultate pentru salarii; condițiile mai bune de muncă în timp ce proprietarii patrimoniu doresc să aloce cât mai mult pentru investiții. În același sens al exemplelui, putem observa că entitățile concurente se asociază pentru a obține reglementări favorabile funcționării lor în cadrul macrosistemelor. În toate situațiile este implicată componenta de management pentru a găsi și pentru a soluționa
oficial toate relațiile dintre grupurile sociale implicate atât în interiorul sistemului persoanelor juridice cât și în exteriorul acestora.

Relațiile care se realizează între diversele categorii de grupuri se ordonează prin contracte. În acest sens, între grupul managerilor și grupul proprietarilor patrimoniului există contractul de management. Între același grup al managerilor și grupul membrilor organizației există contractul colectiv de muncă. Aceste două categorii de contracte reglementează funcționalitatea trinomului POM în interiorul sistemului persoanelor juridice. Contractele de achiziții ale resurselor sau produselor sau serviciilor se stabilesc între grupul managerilor POM și grupurile similare POM ale furnizorilor, respectiv ale clienților sau beneficiarilor de produse sau servicii. Instituirea trinomului POM, în interiorul sistemului persoanelor juridice, este inițiată de proprietarii patrimoniului și este apoi preluată și continuată de managerii de vârf, numiți de proprietari. La rândul lor managerii de vârf recrutează și selectează membrii organizației și completează echipa managerială, în concordanță cu stadiile de dezvoltare și de funcționalitate determinate de legele macrosistemului și de intercondiționările interne ale microsistemului. Cele trei componente ale oricărei persoane juridice se dezvoltă prin aportul și participarea generațiilor succesive de oameni, asupra longevității acestui nucleu managementului având rolul decisiv.

Existența trinomului POM se manifestă prin trei categorii de procese: procese de muncă, susținute de membrii organizației, plasat în posturile de execuție; procese de prelucrare, susținute de funcționalitatea structurii patrimoniului; procese manageriale, susținute de membri echipiei de management. Desfășurarea proceselor enumerate se ordonează prin relații de natură funcțională care fac obiectul de studiu al diferitelor specializări din domeniul managementului. Originalitatea trinomului POM constă în atribuirea relațiilor funcționale, definite în managementul general, într-o nouă formulă, sugerată grafic în figura 2. În acest mod este posibilă evidențierea simultană a celor trei concepte fundamentale ale managementului general: funcțiile, atribuite organizării și proceselor de muncă; funcțiunile, atribuite patrimoniului și proceselor de prelucrare; deciziile manageriale, atribuite managementului și proceselor manageriale. Relațiile procesuale în interiorul sistemului persoanelor juridice sunt sugerate de piramida ierarhică. Baza pătratică a piramidei este generată de perechea funcțiunii normative – funcțiunii patrimoniului iar înălțimea este rezultatul însumării deciziilor manageriale ordonate pe trei grupe de nivele − nivelele operaționale sau de bază, nivelele tactice sau funcționale și nivelele strategice sau de vârf. Fiecare decizie eișă are originea în una dintre cele 25 de cele ale matricei funcții – funcțiuni, începând de la bază și până la vârful piramidei, prin însumări successive.
Fig. 2. Elementele definitorii ale funcționalității trinomului POM

Procese manageriale - Decizii manageriale

Piramida ierarhică arată că în zona operațională deciziile manageriale se adoptă într-un număr mare de posturi de conducere, au un grad restrâns de competență, autoritate și responsabilitate. Pe măsură ce înaintăm către zona funcțională sau tactică, numărul posturilor de conducere scade însă crește gradul de competență, autoritate și responsabilitate. La vârf, numărul posturilor este minim iar competența, autoritatea și responsabilitățile sunt maxime.

Proiectarea și desfășurarea proceselor manageriale presupune adoptarea, comunicarea și urmărirea aplicării deciziilor manageriale rezultate din analiza și soluționarea optimă a celor 25 de elemente ale matricei funcții – funcțiuni la toate cele trei grupe de nivele ierarchice ale piramidei trinomului POM (fig. 3). Astfel, prin analiza relației dintre liniile funcțiilor de previziune (P) și organizare (O) cu liniile funcțiunilor comercială, cercetare-dezvoltare, financiar-contabilă, de personal și de producție (Co, CD, FC, Ps, Pd) vor rezulta deciziile privind orientarea strategică a POM-ului; prin analiza relației dintre linia funcției de antrenare (A) cu aceleși linii ale funcțiunilor, vor rezulta deciziile privind climatul social dintre grupurile interesate de formarea și dezvoltarea trinomului POM; analiza relației dintre liniile funcțiilor de coordonare și de control-audit (C, CA) și liniile acelorași funcțiuni, conduce la adoptarea deciziilor privind dinamica optimă a funcționării structurii POM.
Concluzionând asupra celor arătate mai sus rezultă că este posibilă o nouă abordare teoretică privind totalitatea premitelor care stau la baza fundamentării teoriei managementului general. Conceptul de trinom, patrimoniu-organizație-management (POM), este comun tuturor categoriilor de persoane juridice. Prin această noțiune se explică în mod sintetic particularitățile sistemului deschis al oricărei instituții, firme, asociații etc. Se evidențiază trei categorii de procese - de muncă, de prelucrări și de management, precum și relațiile funcționale dintre acestea. Trinomul POM sugerează hierarhizarea deciziilor manageriale pe trei categorii de nivele – operaționale, tactice și strategice, și metodologia de soluționare a acestora prin intermediul matricei pătratice funcții-funcțiuni. Acest concept evidențiază trei laturi fundamentale ale teoriei managementului general: orientarea strategică prin organizare și planificare; asigurarea climatului social armonios între grupurile interesate de existența și dezvoltarea persoanei juridice prin antrenare; dinamica optimă a procesului de management prin coordonare și control-audit. Toate cele trei laturi sunt tratate în corelație cu funcțiunile patrimoniale și conduc la soluțiile optime ale deciziilor manageriale.

References

Informatia costului – produs al contabilitatii manageriale

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**Keywords:** Management, Information, Cost, Accounting, Managerial accounting

**Abstract:** The point of view of this paper is from the position of a manager who must make a cost-based decision, such as setting a fee, evaluating the desirability of contracting a service out, determining the cost of expanding the delivery of a service, etc. As such, this material contains a minimum of technical accounting terminology and makes few assumptions about the nature of the accounting system in use.

Orice manager, indiferent de treapta erarhică pe care se află, este obligat să cunoască costul pentru a putea acționa corespunzător. Bertrand Thopson, economist american, apreciază că începutul științei unui manager este cunoaștere exactă a costului său de producție.

Costurile activității de producție, ca indicatori de gestiune, constituie una din cele mai importante surse de informații permitând urmărirea tuturor fazelor procesului de exploatare începând cu asigurarea documentației tehnice de execuție și a resurselor necesare, până la recepția produselor finite și a serviciilor prestate.

Nivelul costului este un barometru ce dă informații privind condițiile în care se desfășoară o anumită activitate de producție, ceea ce permite conducerea urmărirea, analiza și direcționarea proceselor spre o rațională folosire a mijloacelor și resurselor economice, precum și informații necesare planificării, elaborării bugetelor de costuri.

Orice manager de întreprindere trebuie să cunoască cât mai precis costurile de producție, prețul produselor și rentabilitatea acestora cu scopul orientării politiciilor comerciale și de producție.

Întrucât costul prezintă semnificații diferite pentru fiecare fază sau operație tehnologică, pentru fiecare generator de costuri și pentru fiecare produs sunt necesare informații care să permită cunoașterea lui multilaterală, la fiecare nivel de conducere. În acest sens, calculația costurilor trebuie să furnizeze informații care să asigure:

- Controlul și analiza costurilor la fiecare loc generator de costuri;
- Conducerea operativă a fiecărui loc generator de costuri, precizarea producției și a costurilor previzionate și controlul îndeplinirii lor;

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1 Cornel Olariu – Conducerea întreprinderii prin costuri, Editura Facla, Timișoara, 1975 p.99
Informația costului – produs al contabilității manageriale

- Evaluarea corectă a stocurilor de produse;
- Stabilirea eficienței acțiunilor întreprinse pe baza deciziilor luate.

În general, informația economică se impune în procesul de conducere, alături de conținut, formă de prezentare și operativitate și prin posibilitatea de a fi cât mai curpinzătoare, completă și obiectivă, furnizată periodic, accesibilă și printr-un cost redus în procesul de obținere, înregistrare și transmitere. Față de informațiile furnizate de costul de producție apare cerința ca acestea să fie prezentate sub o formă care să permită luarea unor decizii rapide și corecte, să fie prezentate conducerii în termen cât mai scurt, să fie exacte, să aibă o semnificație economică reală și să fie relevante.


Aceste cerințe, îndeosebi de ordin calitativ, față de informația costurilor sunt determinate de funcțiile pe care calculația le îndeplinește, în strânsă legătură cu funcțiile contabilității, și anume:

- Funcția de înregistrare
- Funcția de informare
- Funcția de control și analiză
- Funcția previzională

**Funcția de înregistrare** a consumului de resurse, ocazionat de procesul de producție pe perioade de gestiune și pe locuri generatoare de costuri. Această funcție presupune determinarea costurilor de producție, pe feluri de costuri, pe purtători de costuri și pe sectoare de activitate în baza documentelor justificative, permițând compararea costului cu veniturile realizate.

**Funcția de informare** se concretizează în datele și informațiile necesare organelor de conducere. Aceste informații se referă la costul producției pe ansamblul activității, costul pe fiecare producție, lucru sau serviciu, pe elemente de cheltuieli și articole de calculație. Nivelul și dinamica acestora dă posibilitatea organelor de conducere să cunoască modul în care sunt utilizate și eficiența utilizării resurselor. Pe această bază se pot trage concluzii cu privire la întreaga activitate, inclusiv cele referitoare la rezultatele financiare. Din această cauză, în literatura de specialitate se apreciază că această funcție satisface înșușirile unui instrument de cunoaștere a realităților existente la un moment dat în cadrul unităților economice. Prin această funcție „contabilitatea analitică este un instrument de gestiune cu care se înarmă conducerea unei întreprinderi pentru a-și să satisface nevoile de informare și pentru a-și orienta deciziile”.

**Funcția de analiză și control** este legată de îndeplinirea cerințelor două funcții și servește procesului de fundamentare a deciziilor prin care se materializează conducerea producției. Această funcție atribuie informației costurilor calitatea de instrument utilizat în urmărirea normelor de consum, folosirea completă a timpului de lucru și a capacității de producție a utilizatorului, identificarea și mobilizarea rezervelor interne de care dispune întreprinderea cu scopul reducerii costurilor de producție. Caracterul activ de intervenție operativă al funcției de analiză și control a informației costurilor se manifestă prin

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4 Mihail Epuran ș.a. – Contabilitate și control de gestiune, Editura Economică, București, 1999 p.380
5 Michel Capron – Contabilitatea în perspectivă, Editura Humanitas, București, 1993 p.57
posibilitatea pe care o au organele de conducere de a confrunta realizările efective cu obiectivele și indicatorii bugetați și de a regla pe această bază prin decizii desfășurarea activității economice viitoare.

_Funcția previzionată_, legată de aplicarea unor metode perfeclonate de conducere, oferă elemente de fundamentare a proiectării costurilor sub aspectul nivelului și structurii prin luarea în considerare a factorilor de influență în dinamica previzibilă de manifestare a lor. Un rol însemnat în acest sens îl au folosirea metodelor standard cost, costurile normate, direct-costing etc. care se caracterizează printr-un potențial informațional sporit atât sub aspect previzional, cât și pe parcursul desfășurării procesului de producție.

În management, calculația costurilor este privită ca o sursă informațională de bază, accesibilă fiecărui nivel de conducere deoarece 6:

- Costurile apar peste tot în cadrul întreprinderii;
- Calculația costurilor este în măsură să explice eficiența activității economice și atingerea sau abaterea de la scopul urmărit;
- Informațiile furnizate de calculația costurilor sunt informații de conducere pentru toate locurile generatoare de costuri;
- Răspunderea pentru nivelul costurilor atrage toate treptele ierarhice de conducere;
- Fiecare conducător este răapunzător, la rândul său, pentru costurile din compartimentul pe care-l conduce.

Deoarece prin costuri se oglinde și întreaga activitate a întreprinderii, calculația costurilor trebuie privită ca o metodă de conducere, prin costuri, alături de conducerea prin obiective, prin excepție, prin bugete etc.

Mediul economic, întreprinderea, piața, inclusiv comportamentul subiectului economic se află în continuă mișcare. Ceea ce a fost valabil „ieri” poate fi depășit „mâine”. Astfel, menținerea echilibrului care corespunde aceluiași obiectiv, creșterea valorii firmei, necesită mereu acționi care revin gestiunii, modului de administrare și conducere.

Managementul firmei, prin funcțiile și atributele sale, este cel care determină obiectivele întreprinderii, resursele necesare realizării lor precum și distribuirea rezultatelor create prin utilizarea acestor resurse. Materiile prime pe care se fundamentalizează managementul firmei sunt informațiile și oamenii.

Materializarea procesului de conducere are loc prin actul de decizie ce implică trei sisteme 7:

- _sistemul operațional sau sistemul de acționare_ în care se desfășoară fenomenele economice respective;
- _sistemul de conducere_ care, reprezintă ansamblul centrelor de decizie și acțiunea acestora în funcționarea sistemului informațional;
- _sistemul informațional_, care face legătura între sistemul operațional și cel de conducere.

Interacțiunea dintre cele trei sisteme este prezentată în figura 2.1. unde se pot observa sferele de influență ale fiecărui sistem.

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7 M. Dumitrescu – Conducerea colectivă în unitățile economice de stat, Editura Științifică și enciclopedică, București, 1977, p. 65
Fundamentarea deciziilor este de neconceput fără aportul esențial al contabilității. Cadrul general al IASB arată că pe baza contabilității ca sistem informațional toți utilizatorii iau decizii economice pentru:

- a hotărî când să cumpere, să păstreze sau să vândă o investiție de capital;
- a evalua capacitatea întreprinderii de a plăți și de a oferi alte beneficii angajaților săi;
- a evalua răspunderea sau gestionarea materială;
- a evalua garanțiile pentru creditele acordate întreprinderii;
- a determina politicile de impozitare;
- a determina profitul și dividendele ce se pot distribui;
- a elabora și utiliza date statistice despre venitul național;
- a reglementa activitatea întreprinderilor.

Contabilitatea financiară împreună cu contabilitatea de gestiune formează contabilitatea agentilor economici. Alături de contabilitatea financiară, contabilitatea de gestiune este o primă sursă de informare a întreprinderii, indiferent de solicitanții informației.

Contabilitatea împreună cu analiza economico-financiară constituie instrumentele principale de cunoaștere, gestiune și control ale patrimoniului, principalele obiective ale acestora fiind:

- înregistrarea cronologică și sistematică a mișcărilor patrimoniale;
- asigurarea integrității patrimoniului și controlul operațiunilor patrimoniale efectuate;
- urmărirea și furnizarea rezultatelor obținute atât pentru necesitățile proprii cât și pentru informarea asociaților sau acționarilor, clienților și furnizorilor, bâncilor, organelor fiscale și altor persoane fizice și juridice;

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8 C. Iacob ș.a. – Costurile- calculație, contabilizare, previziune, Editura Fundației „România de mâine”, București, 2002 p. 9
• furnizarea informațiilor necesare întocmirii documentelor de sinteză contabilă;
• supravegherea activității și a performanțelor firmei;
• creșterea eficienței economice.

Analizată prin prisma domeniului informațional și decizional al unei întreprinderi, contabilitatea financiară împreună cu analiza economico-financiară produce și comunică, asistă și decide cu privire la poziția financiară a întreprinderii, performanța economică și financiară, precum și la fluxurile de numerar generate de investiția/finanțarea, angajarea/utilizarea resurselor, producția/distribuția bogăției create de către entitate, care este, simultan, juridică, economică și financiară.

În ajutorul acestora vine contabilitatea managerială. Aceasta din urmă nu este o entitate independentă față de contabilitatea financiară, ambele formând un tot organic. Ea își propune să furnizeze următoarele feluri de informații:
• informațiile care pot contribui la determinarea analitică a costurilor de producție, a prețurilor de vânzare și la analiza și controlul rentabilității;
• informațiile necesare controlului condițiilor interne de exploatare, prin analiza costurilor și a evoluției lor; compararea acestora cu datele prestabilite și găsirea cauzelor care au generat eventualele abateri; furnizarea informațiilor necesare evaluării componentelor de activ; furnizarea datelor necesare elaborării și urmăririi bugetelor de venituri și cheltuieli, a bugetelor de costuri; realizarea contabilității analitice a stocurilor pentru a asigura un circuit corect, precum și integritatea patrimoniului unității.

Contabilitatea analitică și contabilitatea managerială apare ca un complement indispensabil ale contabilității financiare și analizei economico-financiare, ca un instrument de care are nevoie și, la un loc, alcătuiesc un tot unitar, definind tripticul informație-analiză-decizie. Locul contabilității de gestiune în structura informațională a întreprinderii este dat de aptitudinea de a oferi informații despre procesele interne care se desfășoară exclusiv sub autoritatea firmei. Așa cum se poate vedea în figura 2.2., deși ea este o componentă a ansamblului contabilității, se desfășoară pe un circuit informațional separat care se integrează dispozitivului general de comunicare al întreprinderii.

Cheltuielile din contabilitatea financiară sunt preluate și analizate în contabilitatea de managerială după trei criterii interdependente:
• câmpul de aplicare al costurilor (funcțional, structural, operațional),
• conținutul economic al costurilor (complet, parțial) și
• momentul de referință al costurilor (prestabilit, efectiv, etc.).

Totdeauna contabilitatea s-a împletit foarte strâns, se conjugă temeinic și se va integra organic cu celelalte componente ale sistemului metodologic al costurilor. Fiind componentă de bază a acestui complex metodologic interdisciplinar, aceasta trebuie să rezolve problemele privind postcalculația costurilor, îndeosebi cu privire la reflectarea cheltuielilor de aprovizionare, de producție, de desfacere a produselor și serviciilor.

9 D. Câțu, D. Calu, A. Ștefănescu, L. Ilincuță – Contabilitatea de gestiune și calculația costurilor, Editura Fundației „România de mâine”. București, 1999 p. 11
10 T. Aslău – Controlul de gestiune dincolo de aparențe, Editura Economică, București, 2001, p. 96
11 A. Baciu – Costurile, Editura Dacia, Cluj, 2001, p. 69
Locul și rolul contabilității in domeniul costurilor trebuie privit din mai multe puncte de vedere, dintre care cele mai semnificative sunt următoarele:

- constituirea și evoluția istorică a legăturilor reciproce dintre studiul și practica costurilor și ale contabilității;
- volumul și structura datelor informaționale care circulă permanent între contabilitate și calculația costurilor, controlul și analiza costurilor;
- furnizează date pentru analiza eco-no-financiară.

În cadrul sistemului informațional economic general al întreprinderii, contabilitatea furnizează aproximativ 50% din totalul datelor informaționale ce se vehiculează în acest sistem. Această proporție, nu numai că se regăsește și în domeniul costurilor, dar ea se amplifică și se diversifică substantial în condițiile create prin aplicarea noului sistem de contabilitate al agentilor economici. Contabilitatea este considerată principalul instrument decizional deoarece:

- înregistrează prin intermediul documentelor justificative, mijloacele și sursele unei gestiuni economice, sub aspectul mărimii, poziției, structurii și destinației lor;
- parametrii obiectivi pe care agentul economic tinde să-i realizeze (cost, profit, cifră de afaceri, solvabilitate) sunt consemnați în dinamica lor internă;
- urmărește realizarea stării de echilibrul valoric între efort și efect, venituri și cheltuieli, mijloace și surse. Ținerea sub control a acestor relații implică utilizarea obligatorie a contabilității și a utilizării corecte a metodelor și tehnicilor de analiză eco-no-financiară;
- legitimitatea conducerii și a competenței manageriale este realizată prin intermediul contabilității;
- cea mai mare parte a informațiilor economice din mediul firmei, cca. 47%, sunt de natură contabilă și sunt sintetizate prin intermediul analizei economico-financiare.

Se pune deci problema utilizării unei contabilități „active” care, în principal, prin calculul costurilor și analiza rezultatelor, să pregătească previziunile, controlul realizării lor, situația și explicarea abaterilor, măsurile de redresare pe care trebuie să le ia conducerea.\footnote{C. Iacob, R. Drăgcea – Contabilitate analitică și de gestiune, Ed. Tribuna Economică, București, 1998 p. 31}
Desfășurarea eficientă a activității economice la nivel micro și macroeconomic nu poate fi concepută fără existența unui sistem informațional care să asigure conducerii toate elementele necesare procesului decizional.

Procesul de luare a deciziilor privind activitatea firmei presupune deci, pe lângă o informare competentă și o analiză calitativă și cantitativă a fenomenelor, un studiu a relațiilor dintre acestea, a factorilor care le influențează. Astfel, în tripticul informație-analiză-decizie, analiza joacă un rol hotărător în luarea unor decizii calitative și la timp.

Bibliografie
The Importance of Management Contract in Increasing the Efficiency of Health Units in Romania

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Keywords: private and public medical units; health management

Abstract: This study aims to emphasize the importance of a management contract signed at the moment of hiring the manager of a medical unit, especially in the case of the public ones.

Many studies in this field spotlighted the fact that the Romanian health care system has confronted with numerous modifications along the 17 years of transition starting with 1989. The first significant modification has occurred in the field of the health policy, with the passage from a community medicine to one whose main concern is the individual. The second major modification is related to the general tendency, also manifested in Europe, to des-centralize some of the competences of the central administration and to assign autonomy to the local one. There also takes place a reconsideration of the role played by the hospital units within the health care system. In this context, there comes out the creation and the development of a health care services market, as a result of the fact that the demand for this kind of services proceed from an individual that has the possibility to choose between the numerous suppliers existent on the market nowadays. This option became possible since the legislation, that has been adapted to UE requests and to the Romanian economic context as well, allowed on the one hand, the passage to a new financing system of the medical services based on the health social insurance, and on the other hand, the occurrence of many types of private medical units. Simultaneously, the supply of new medical materials, apparatus and medicines has increased, which led to competition.

As a result, the hospital, that used to represent the characteristic medical unit in the previous health-care system, and generally any public medical unit, is forced to rapidly adapt to the new circumstances: new types of diseases, the rapid evolution of medical technology, the populations’ ageing, the migration of the labor force, new budgetary restrictions. This rapid adaptation supposes the existence of an efficient management of these units and a careful supervision of the activities that take place within them and also of the economic flows they participate into.

This paper analyzes the statistical data related to the types of expenditures and the results obtained within the Romanian hospital units. The result of the research consists in highlighting the main issues that must be solved by the intercession of the management contract.

The study also calls the attention on the fact that the management contract has to become an active instrument in order to get the medical unit efficient, and not a passive instrument, coercive, in order to fulfil some parameters that may become in a short time counterproductive, given the current trend of the health-care service market.
Introduction

Various types of health-care units of the world’s countries have always been the “discord apple” as regards the performances and the place they occupy within the hierarchies of the international institutions of this profile. As a rule, the ones in the countries that are situated on the front positions become models while those in the less developed countries attempt to adapt their own health-care units in accordance to the former ones. The specialty literature gives the criteria according to which the hierarchy of the health-care systems is made up as general objectives that are to be reached: a high level of population health, equitable distribution of the health-care services, the respect for the individual (that supposes receptivity to his exigences, confidentiality), a high quality of the medical act and the equitable financing.

From a more mercantile or purely economic standpoint, one can appreciate the efficiency of a health system according to the manner expenditures are turned into health. Having in view the fact that the necessary data for this efficiency calculation are available (expenditures for treatments, number of cured patients, the expenditures for preventing some diseases, respectively), a hierarchy construction from this viewpoint would be simple. However, if the 5 objectives presented are taken into account, one notice that in order to appreciate the degree they were accomplished, hardly accessible, sometimes subjective information is necessary.

This fact explains in a certain extent why, at present, neither World Health Organization did manage to offer an answer to the question “what type of health system is better performant, more efficient?” More than that, even within some integrating structures, such as the European Union, that promotes policies that have common objectives, there is no uniformity as to the type of health system adopted by the member-states.

A first conclusion that might be drawn from here is that the proposed objectives can be reached even if the health systems by which the effects are produced are different.

The analysis of the health system in Romania

The present Romanian system is considered to be a modified version of the Bismark model based on mandatory insurance taxes whose size depends on the contributor’s income, adapted to the economic and social conditions. The bases of this type of health system were set beginning from 1990 and its formation in time was quite slow, the present level of complexity and efficiency being rather low, if the 5 objectives suggested by W.H.O. to be reached are taken into account.

From the standpoint of the health level of population Romania is in the sub-region Eur-B (the average life span 71 years, low mortality in both children and adults), beside most ex-socialist countries that experienced as a health system, the Semashko type (the soviet system). Indicators remain however that place Romania on one of the last places in Europe: maternal mortality - 24.05 (the biggest), standard mortality by all causes - 1.076, 36 (as compared to the maximum 1496,61 of Russia and the minimum 614,93 of Luxemburg), standard mortality by injury and poisoning - (compared to the maximum 211,95 of Russia and minimum 27,61 of Malta), incidence by tuberculosis, 114,30 (compared to maximum 133,35 of Republic of Moldova and the minimum 3,76 of Iceland), incidence by syphilis - 40,77 (compared to maximum 71,31 of Republic of Moldova and minimum 0,10 of Macedonia), AIDS incidence – 1,10 (compared to maximum 7,64 of

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3 The European Health Report 2005, pp. 7/12.
4 The figures represent percentages to 100,000 inhabitants.
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Portugal and minimum 0.0 of Bulgaria). These examples were given since the new health policies of EU are focused on areas such as the catching diseases, the decrease of the disease risk due to smoking, alcohol consumption or incorrect nutrition and obesity, prophylaxy, the decrease of the number of deaths due to accidents, etc.

As to the equitable distribution of the health care services, Romania may be similar to a „paradise” of the access to such services, if we look at the percentage of the contributors to the health insurance fund in the population total: from a total of about 21 million inhabitants, the active population is about 11 million and the occupied one is only 4.6 million that represent in fact the contributors to the Fund. The migratory active population that work abroad is approximated to 4 million. It results that the retireds and the children are about 10 million inhabitants.

In the category „respect for the individual/customer” there are positive and negative aspects worth being analyzed. On one hand the physician-patient relationship considerably improved especially in the private sector (we refer here at the new sector shaped after the appearance of the Law of Commercial Societies, that allowed physicians to unfold their activities in their newly founded societies as a consequence of the free initiative and by investing their own funds) as a consequence of the development of the market and competition market. The competition between the private physicians played a stimulating role as to the raise of technological level of their endowments and the improvement of the methods of medical practice as well as to the respect for the patient who bears the expense of the medical act and may choose his physician by himself.

Within the state sector (we refer especially to hospitals, where addressability is high and where first the rural population addresses) the situation improved after 1989 but there still is insatisfaction as to the manner some patients are treated by both physician and the auxiliary. Victor Olsavski, the responsible for Romania of W.H.O. remarked that the most difficult problem, but not impossible to solve, is that of corruption that undermines the professionalism of medical personnel and hinders our country’s lining to the European medical values. He underlined that besides under-financing, the black market of bribe, irrespective the type of the medical service, from a simple check-up to the surgical operations, made the Romanians’ confidence in medical profession decline and menaces the health state of the whole country. At present in Romania there are 2 categories of physicians: GPs or family doctors who, after 1999, had the possibility to manage their own business with governmental funds, according to the patient number they had under treatment and the specialists who are mostly employees of hospitals. Olsavski holds on „It was observed that the percentage of illegal payments lowered as the physician started becoming owners. Since the family doctors have wages according to the patient number, their interest became the way they care after the patients”.

Still, the main problem the Romanian health system faces remains the one related to the 5th EU objective: the financing of the health services. Financing any type of economic activity is dependent on the structure and the type of the system that activity is carried out. Therefore, the financing of the health services, as a strategic sector of whatever national economy, depends on the structure of the health system.

Indisputably, the changes regarding the structure of the Romania’s health system, during the last 17 years are obvious, especially as regards the types of medical units that were set and operate in the market. If, until 1996 the changes were extremely slow and the evolution of the private sector was not visible (figure 1), after 1998, when the first notable changes of the legislation in this field occurred, the private sector experienced its blooming period.

8 Internet URL: www.thediplomat.ro/feature0205.
It is easily remarked the fact that at the end of 1996 there were the 2 distinguished sectors, public, private, respectively, of which the public one held the majority. At the same time it is remarked the private interest in opening pharmacies and speciality medical practices (dentistry, gynecology-obstetrics, internal medicine) a fact that was explained by the large income brought in by this type of investment.

The reorganization and decentralization of financing the health services in Romania started from the moment of the introduction of the health insurance tax, after 1998\(^9\), when the Social Health Insurance National House (SHINH) and its county branches were set, concomitantly with the decentralization of the delivery of health services by the appearance of autonomous providers of the family doctors type, speciality ambulatories and private hospitals. From this moment one can speak of the third type of medical unit, the mixed one, in some reports being assimilated either to the public or to private property (fig.2).

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The importance of management contract in increasing the efficiency of ...

Fig. 2. The evolution of the Romanian mixed and private health sector between 1999-2004

Following the tendency from the European area of decentralization of certain competences of the central public administration and the offering an increased autonomy for the local public authorities, the decentralization of the organization of the health services occurred by passing (starting from 2002) the public health units of county or local interest under the local public administration, concomitantly transferring the sanitary patrimony from central to local level, contributing ever more to the development of the mixed sector.

These changes given, related to the growth of the number of health service providers, the increase of the technologic level and the improvement of endowments that substantially contribute to the increase of the medical act, it would have been quite normal the health state of the population to be improved and to remark a more correct utilization of the funds these services are covered with. Notwithstanding, the analyse carried out at central level show that further on the funds allotted to the health sector are insufficient and that the personnel activating in it, especially in the public branch of it, is unsatisfied. This fact raises the following problem: the moment that the private health sector manages to provide prompt and highly qualitative services, becoming lately competitive on the external market, isn’t the problem of the public health sector related to a bad administration of the funds and not to their insufficiency?

In order to enforce these affirmations we take as an example the statistical data reported to the County of Iasi regarding the number and type of medical units and the results they obtained, analyzing at the same time the expenditures that allowed these results.

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10 “Because of its cheap and skilled medical workforce, Romania sees a massive increase in the amount of medical tourism from the USA and Germany”. www.thediplomat.ro-features-0205.
Table 1. The type and number of public units in health sector in Iasi county

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* no data. Information obtained by the kindness of the Director of the Public Health Authority of Iasi County, which allowed my access to some confidential data.
Related to the changes from the public sector of health services in Iasi county between 1998-2006 one can notice a decrease of the number of hospitals, both in the urban and rural area, as a consequence of the fact that some of them became totally inefficient or did not obtain the functioning notification. Also one notice a drastic decrease of the number of medical dispensaries and polyclinics. In exchange, after 2001, as a result of changing the legislation concerning health services, new types of medical units occur, with various juridical form, whose number is increasing. One must specify the fact that the greatest part of the public medical units (90%) functioned, between 1998 and 2001, in urban areas, excepting the dispensaries, whose urban percentage is of 56.18%. After 2001 increases the percentage of the family medicine practices (30%) and of stomatological ones (44%) that are functioning in rural areas, the rest of the medical units being predominant in urban areas (more than 90%). One must take into account the fact that some of the endowments or spaces of the state’s unities have been loaned or granted by commodatum in the administration of it’s personnel, that was allowed to contribute with it’s own funds in order to increase their degree of confort and the technological level, so, normally they should be considered as a part of the mixed sector.

Table 2. The type and number of private units in the health sector in Iasi county

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</tr>
<tr>
<td>Pharmaceutical storehouses</td>
<td>10</td>
<td>10</td>
<td>28</td>
<td>33</td>
<td>24</td>
<td>23</td>
<td>*</td>
<td>*</td>
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<tr>
<td>Specialty medical practices</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>114</td>
<td>139</td>
<td>90</td>
<td>141</td>
</tr>
<tr>
<td>Civil medical societies</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>2</td>
<td>4</td>
</tr>
<tr>
<td>Civil dental societies</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>6</td>
<td>7</td>
</tr>
<tr>
<td>Civil specialty medical societies</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>3</td>
<td>3</td>
</tr>
<tr>
<td>Other types of medical units</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>125</td>
<td>114</td>
</tr>
<tr>
<td>Physicians</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>174</td>
<td>165</td>
<td>168</td>
</tr>
</tbody>
</table>

The same tendency of the appearance of some units with various juridical forms is remarked also within the private sector of health care service deliverers. Different from the state sector, after 2002, the privates formed as units of medical office type have opted for new types of societies as the family doctors practice type, or specialty medical practice respectively. Parallel with this, in a limited number, units of civil various specialties medical society type appear. Up to 2001, private medical units had activated in the urban area (over 95%) and, beginning with 2002, increases the number of dentistry offices (averaged
23.7%), of the family doctors practices (from 15.3% in 2001, to 30.35% in 2004) and of pharmacies (average 27%) in the rural area.

The analysis of the personnel that work in the health care units in the county of Iasi shows the physicians’ ever increasing orientation and the medical personnel towards the private sector (figure 4), while in the state sector (figure 3) the decrease of the average and auxiliary personnel is shown.

The increase of the number of the persons working in the private sector does not necessarily mean that it offers new working places, but rather that the persons employed in the state sector have an alternative of service performing in the private sector, too, in order to complete their incomes. On the other hand, this decrease in the state sector, under the conditions in which the assurance of the county’s population with such personnel is 136 inhabitants for one nurse and 1.9 nurses to one general practitioner denotes a weak administration of the human resources, possibly due to the wish to decrease the personnel expenses of the hospitals, in favour of other types of expenditures.

One of the specific problems of the personnel working in the state’s medical units is that related to its subordination that holds leading positions in 2 ministers. Most times

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12 Concordant to the Statistical Yearbook of the Health Ministry, 2006, pp. 329-332; from this point of view, Romania is situated among the countries with the lowest indicators in Europe.
the clinic chiefs belong to the personnel with didactic positions; this means that they are employed by the universities of medicine and pharmacy that are subordinated to the Ministry of Education. At the same time they have the right to half a norm within the medical office subordinated to the Public Health Ministry, as physicians in hospital. As clinic chiefs they have the attributions to fundament the necessary of medicines and medical materials. The issue that appears here is related to the fact that a medium level manager the clinic chief usually is, whose wages is made mainly by the Ministry of Education, within the limits of the salaries in education, will always be tempted by the supply of medicine and medical material providers, who offer them various advantages in exchange of accepting to endow hospitals with their produces. Most times the demand of drug and other material necessary is made without its grounding. Moreover, the relationships system created in time within hospitals between the physicians that also fulfil didactic functions within the universities of medicine and pharmacy became ever more powerful, so that the hospital managers who, most times belonged to it, could not deny the suggestions of the clinic chiefs.

If one analyses the expenditures of the public health units in the county of Iasi in 2005, one concludes that from a total of 307,156,990.85 lei, more than 75% had the hospitals as a destination. On service categories, these expenditures covered: (figure 5).

![](https://example.com/figure5.png)

**Fig.5. Types of expenditures in public sanitary units in 2005, in Iasi county**

Source: *The Report of Sanitary Activities in 2005. Public Health Authority of Iasi County*

The fact that the biggest part of expenditures cover the cure services is observed, followed by the expenditures for drugs (out of a total of 41,437,296.50 lei 39,652,137.47 lei was necessary to the hospitals for medicines) and also by the expenditures for medical care in the long run (chronic diseases), while for prevention services were necessary only 917,189.41 lei and only in the small units (family doctors practices, dentistry practices or other specialties).

On source types, these expenditures were covered from the following financing sources (figure 6):
As one notices, the biggest part of the expenditures is covered by the National Fund of Health Assurance, only 14% being completed from the state budget, the patient adding 8%, the local budget contribution, in spite of the gained authority and responsibility, being non-significant.

Now much work was carried out in the public units to justify the above-mentioned expenditures we can notice from the following graph.

In 2005, out of a total of 3,249,401 consultations, 246,791 were done inside hospitals, 1,620,214 in family medical offices, 676,557 in hospital ambulatories, 261,448 in specialty offices and 45,226 in dentistry offices.

In 2006, the total number of check-ups in the public units decreased to 2,834,897, first of all due to the numerous family medical offices that have privatized; in hospitals, the number of check-ups increased up to 353,458, and in the family medical offices it decreased to 829,233, in the specialty ambulatories these were 133,852, in hospital ambulatories 633,394, in the specialty offices 320,971 and in dentistry offices 54,866.

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We refer to consultations without hospitalization.
In the private sector, the number of the check-ups without admission in 2005 and 2006 is shown in the following figure.

<table>
<thead>
<tr>
<th>Year</th>
<th>Medical Offices</th>
<th>Dentistry Offices</th>
<th>Other Types</th>
</tr>
</thead>
<tbody>
<tr>
<td>2005</td>
<td>877,444</td>
<td>47,184</td>
<td>12,009</td>
</tr>
<tr>
<td>2006</td>
<td>1,506,067</td>
<td>62,753</td>
<td>109,319</td>
</tr>
</tbody>
</table>

An increase of the number of consultations is remarked given in the private sector in 2006, but, unfortunately, the data referring to its expenditures are not available.

Conclusions

1. The Romanian health system is crossing a period of profound changes imposed, on one hand, by the transition to market economy and, on the other hand, by the European integration. Not at last, the changes within the Romanian society related to the demographic structure, its actual health state, and, why not, the beginning of changing mentalities, impose in their turn an improvement of this system;

\[14\] No data available related to expenditures.
2. As in any other system, within the health system there is a series of main general objectives, that must be fulfilled and a series of objectives specific to the units that carry out medical services, related to their size and property type. If for private units that are, as one has observed, more and more numerous and have small and middle sizes, the assuming of responsibility for their administration is made “naturally”, as the investor’s own money is at risk, their main objective being the profit, in the case of the public units, the administration issue is more complex, because there is a series of specific factors that influence it:

- the instability of the general economic system in which they activate;
- the existence of some strong reminiscences of the regime that has administrated the system formerly, reminiscences as the relationship system that implied a preponderance of the politics upon the ethics;
- operational incoherence and interference in funds using – The National Health Insurance House that administrates the National Health Insurance Fund from which the greatest extent of the expenditures is supported, has no autonomy towards the Health Ministry or The Ministry of Public Finances who gathers the insurance fund;
- the existence of some communication issues between the central or local authorities, the professional associations of health services suppliers, drugs and medical equipment produces and distributors, international organizations, health research organizations and citizens’ representative;

3. In this context, in order to correctly administrate the public units, especially the big ones, as hospitals, whose financing is made especially from the national fund, central or local budgets, it would be suitable to hire a manager from out system, whose hiring is made on the base of a management contract, in which the objectives to fulfil in short, medium or long run to be clearly exposed. According to the fulfilment of the objectives, the manager should be rewarded, paying attention to the fact this fulfilment must be correlated with an adequate using of funds that may differ from one year to another because the economic instability (migration of the labour force, the incomes’ decreasing);

4. Such a management can not be exercised unless the information transparency and an infrastructure of communication between those that work/act inside the system are assured, as information feed-back is the base of the control and evaluation function of management. A correct evaluation of the activity inside the system will allow the setting up of its hindrances and the correct diagnosis of the hospital-type enterprise, offering the possibility to observe if the inefficiency of the activity is due to the personnel’s incompetence, to the funds insufficiency, to the exaggerated consumption or costs, to the superannuated techniques or is just due to bad management.

References
Ethics as Management
(of Everyday Thinking, Feeling and Acting). A Transdisciplinary Social Semiotics Perspective

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Keywords: management, ethics, transdisciplinary approach, social semiotic perspective, EMMY, education reform, neutrosophic logic, transductive logic.

Abstract: The end/purpose of this article is to stimulate a transdisciplinary, holistic, unifying, synthetic vision on socio-human behavior. The main means/tools used are the transdisciplinary vision itself, the end-means methodology (EMMY) and the semiotic perspective. The work hypothesis of this research implies an act/attempt of gradually lifting the barriers between disciplines that study human behavior and its determinants. The following results could be reached: a) saving time in the teaching of too many and non-correlated disciplines that study human action (thinking, feeling and acting); b) a more clear understanding of human life for improving the managerial processes of any kind; c) to include in research feelings (not only rational thinking); d) to put an equal between management and ethics – this being redefined as the simultaneous and permanent result of comparing ends (political dimension) with means (economic dimension); e) to stimulate the transdisciplinary and holistic thinking; f) to use semiotic discourse in explaining and fulfilling all the above things.

Anghel N. Rugina (Quinta methodica), Basarab Nicolescu (transdisciplinarity), Nicholas Georgescu-Roegen (holistic vision on (bio)economics and ecology), Amitai Etzioni (ethics and economics), Michel Foucault (the intricate vision on labor, love and life), Charles Sanders Peirce (the semiotic and integrative thinking), Charles Morris, Rudolf Carnap, Umberto Eco and Lorenzo Magnani promoted new visions which constitute solid foundations for the transdisciplinary construction. Behaviorism, pragmatism and the theories of communication have helped a lot in the building and consolidating the end means methodology. Of course, the Kantian morale (“human beings should be always only ends and never mere means”) is rejected. EMMY sees human beings as real things and not (only) as idealistic abstractions.

The over 30 years of studying human essence and behavior resulted in founding EMMY as a transdisciplinary new vision to be implemented especially in primary schools and high schools. A radical education reform is needed. The art of thinking, feeling and doing seems to be the very essence of management. Management (decision making) is not only rationality, but emotionality as well. That is why I (re)defined the theory and practice of management as “thinking, feeling and doing”. At the same time, ethics studies the human behavior, i.e. human thinking, feeling and acting. Ethics is not (only) a (possible) set of given and immutable rules for human conduct, but a general theory on human conduct/behavior. In my opinion, ethics, management, politics-economics-ethics continuum, psychology, logic, semiotics and hermeneutics are either identical or so closely intricate that they could never be understood and taught separately or consequently. As a matter of fact, this vision is a truly transdisciplinary one, approached in a semiotic and hermeneutical manner (there are a lot of signs to be interpreted) just in order to create a holistic and unitary vision on human beings and their moral behavior.
Introductory and explanatory words

As a young researcher at the Iasi branch of the Romanian Academy (1971 – 1976) I was attracted more and more by the human dimension of existence. After entering the educational system, in 1976, I was also confronted with the rigid and dogmatic definitions given to (Marxist) Political Economy and to economic policies. There were the medical students at the Institute of Medicine and Pharmacy (nowadays Gr.T.Popa University of Medicine and Pharmacy) who addressed me more whys than I addressed myself concerning the utility of the content of economic thinking I taught them. In that period, (1976-1989) I redefined the field of economic thinking as the „place” where there are collected, combined, consumed and produced means (Marxian concept was only „means of production” and this concept addressed only to the material resources). Extending the sphere of the means used by people to attain different ends, I included medicine as a true and important part of the economic activity (the official point of view considered health care and education only as non-productive and consumptive sectors). Year by year, an End-Means Binom appeared as a theory that tried to better explain the human behavior. My doctoral thesis on American economic Radicalism (especially the left radicals) stimulated me to change the Marxian and non-Marxian vocabulary with more essential and true humanistic messages.

In 1990, August, in Paris, at the First ISINI Conference (International Society for Intercommunication of New Ideas) located in Boston, USA, and created by prof Anghel N. Rugina in November 1988) I presented for the first time abroad my proposal for redefining Economics, Politics and Ethics by using End-Means Binom. I concluded that Ethics is nothing else than a true, intimate and profound combination of Economics and Politics. Meeting professor Rugina was another opening to the world of research, and the dialogues (sometimes, in contradictory terms) with him helped me to learn how scientific research is and could be made. Over some years, I have read a cooperative work of him with Florentin Smarandache [Smarandache, 2001], the author of Paradoxism, and the dialogue (by reading his papers or by writing e-mail letters) with him, helped me to see that mathematics is useful and good for transdisciplinary visions. What I am saying in literary terms Smarandache demonstrated mathematically that transdisciplinarity is to find out common features to disjunctive sets, or otherwise said to find out common features to things that have (apparently) nothing in common....

The three fields (studied by Politics, Economics and Ethics) are impossible to be studied separately. As a matter of fact this was the starting point of End-Means Methodology (EMMY) that was used by me in teaching Economics or Management, Ethics or Methodology of Scientific Research. In these days I am using EMMY as General Management, after redefining Management as „everyday thinking, feeling/ sensing, and acting”, i.e. as a scheme for a GOOD human behavior. But human (good) behavior is the very essence of Ethics, so the conclusion that Ethics and Management are essentially identical was inevitable.

Necessary to say that for me was a true support the theological explanations I have found about the Holy Trinity. Very difficult to understand its essence and significance for the human life, Holy Trinity is a real test for being able to understand human being(s). That is why I recommend to those who intend to understand EMMY, Ethics or Management to start first with reading and understanding the Christian Holy Trinity. Our three-dimensional space, our triadic culture (or a culture based on triadicity) oblige us to understand, first of all, the context/ framework/ cradle we are born and living in. And just because God created man after its own blueprint, it is quite normal to study, first of all, this blueprint before studying humans.

Promoting the inter- and trans-disciplinary visions from my initial formation as a researcher, I was happy to meet Basarab Nicolescu, in Iasi, at the First International Conference on Stefan Lupascu. This stimulated me to read transdisciplinarity papers and
to know the concrete results of them. From 2005 I am an active member of CIRET (Centre International de Recherches et Etudes Transdisciplinaires), located in Paris and lead by its founder, prof Basarab Niculescu. For the so called Social Sciences, the transdisciplinary vision is better than the interdisciplinary approaches, the result of this application being my proposal to replace the Social Sciences with a very homogenous, coherent and compact corpus of knowledge on human beings. This is part of a greater project of curricular reform that will simplify and make more understandable the knowledge on issues from politics, economics, ethics, law, sociology, psychology, logics, semiotics, linguistics, anthropology, hermeneutics a.s.o., or, in a word, on Management, i.e., on how people think, feel and act. As I already mentioned, I called all these as EMMY, putting ends and means at the basis of all this theoretical, explanatory and practical construction. A lot of brakes appeared. The most important of them are: the materialistic thinking, the atheistic thinking, the dogmatic thinking, the modern (Cartesian) thinking and the fear to be wrong in supporting new ideas.

It is interesting to observe that the three fundamental disciplines (Politics, Economics and Ethics) I just redefined by using ends and means, could be directly linked with the theological thinking and especially with the Holy Trinity from the Christian religion. This link may be suggested if we try to imagine, in terrestrial terms, the three Persons as symbols/ signs of Information (God Father), Energy (Holy Spirit) and Substance (God Son/ Jesus Christ).\footnote{It is interesting to observe that Christian religion is named after Jesus Christ – (only) one of the three Persons of the Holy Trinity, fact that explains why many of Orthodox thinking (mostly linked with Jesus Christ) is a materialistic/ substantialistic one. INRI is the most present iconic message of orthodoxy with a very concrete and visual content. Catholic thinking is mostly linked with the Holy Spirit and its essence generated the Industrial Revolution and capitalism system. Holy Spirit is the dynamic, energetic and mechanistic dimension of the capitalist (modern) society. The Weberian vision on Protestantism as the stimulus of capitalistic thinking refers to the already matured social system named capitalism, but in my opinion (early) capitalism should be linked with catholic thinking, while protestant thinking is more linked with postmodernity and postcapitalism (in Druckerian meaning). Another triadic structures and parallels could be generated in order to better understand the history and the world we are living in: „premodernity – modernity – postmodernity” is useful to be compared with „precapitalism – capitalism – postcapitalism” and with „Orthodox – Catholic – Protestant” confessions/ churches. „Substance – Energy – Information” could be usefully superposed over the above triadic structures. So, it easily comes to a conclusion that postmodernity, postcapitalism, protestantism and Information (New) age are very intimate connected. It is not my aim to underline the differences among the structures of the above mentioned triads. On the contrary, I promote an ecumenical vision on the three Christian churches, and on world religions as well.} It is worth to note that the God Father could be assimilated with Politics (information on human ends established in function of existing means), God Son with Economics (the melting of the means’ substance to attain established ends) and Holy Spirit with Ethics (the dynamic/ energetic equilibrium between proposed ends and consumed means).

The triadic definition of Management is not a mere coincidence, but it just respects the triadic structure and significance of the Holy Trinity. So, thinking-feeling-acting triad directly refers to information (God Father) – energy (Holy Spirit) – substance (Jesus Christ). Thinking works with \textit{information}, feelings are just \textit{energizing} and motivating people, and \textit{actions} are concretely trans-forming \textit{material} things (but not only the material ones). The human triadic behavior (studied and improved by managerial thinking) is congruent and isomorphic with Holy Trinity.

1. \textbf{Theoretical support for EMMY from recognized scientific sources}

Any new approach is only partial new, having a lot of roots in other similar or rather different approaches. In my opinion, a such a large vision on human being behavior (or, the same thing, on management – described within EMMY only by ends and means) has, inevitable, a very great amount of contact points with almost every other theories on
individual or/ and social human behavior. Twenty century contributions (especially in its second part) such as cognition theories, pragmatics (Charles Pierce), (social) semiotics (Charles Morris), hermeneutics, neuronal networks, theories of complexity, chaos theory, choice theory (Gary Becker), emotional intelligence (Daniel Coleman), transdisciplinarity (Basarab Nicolescu), Quinta Methodica (Anghel N. Rugina) business ethics, ethical relativism (Amitai Etzioni), postmodern visions, integrative approach, (integronics), systemic thinking (systemics) and holistic visions, cybernetics, decision theory, abductive logic (Lorenzo Magnani), logic of the third included (Stefan Lupascu), paradoxism (Florentin Smarandache), the consonantist theory (Stefan Odobleja), management theory (Peter Drucker), leadership theory (Ychak Adizes), organization theory, behaviorism, pragmatism, praxeology (Kotarbinsky), political economy (Aristotle, Lionel Robbins), sociological schools (Vilfredo Pareto, Max Weber, Durckheim), constructivism, etc., all of them have a contribution in defining and redefining areas of research (abusively called „sciences”, or „research field”).

In such a view, Management is the synergic effect of all the above mentioned disciplines or approaches, as well as of Politics, Economics and Ethics. Of course, psychology, sociology, statistics, demography, anthropology, history, prognosis, logic, neurology and neurophysiology, and many other disciplines concerned with human thinking, feeling and acting are studying the human action as well. Management is a vision that includes all of them and which is transgressing them (beyond, between and across – in nicolescian transdisciplinary sense). Management appears to be the transdisciplinary model of human thinking, feeling/ sensing and acting I called End-Means Methodology (EMMY). But Ethics is the largest vision on human behavior that is offering and analyzing criteria of choosing a way of action/ living etc. That is why I concluded that Ethics is identical with Management, at least in their very essential aspects of human behavior. It is worth to note that more and more, the Management textbooks (especially the American ones with a strong pragmatic tradition) include large chapters on Ethics, Business Ethics or Corporate Social Responsibility (CSR). The Enron case created a large scientific movement towards redefining the ethical and business behavior.

2. What is EMMY

The metaphorical definitions of the human being are of big use in our (re)definitional work, but only after the rationalistic definitions are given. So, pragmatic, praxeologic and concrete underlying of the human essence(s) is, at the beginning, the desired one. Every human being has (rational and emotional) aims, purposes, targets, ends, finalities or simply interests to be followed. In any second/ minute of our life people have in their minds, consciously or unconsciously, something to be done in the near or far future. This process of describing the possible futures for everyone is named by me the establishing of ENDS, no matter if it is about final or intermediary ones. But, in normal thinking (different from utopian thinking) any END is transformed into an action plan only if there are some present or future MEANS to be used in that respect. So, normally, ENDS and MEANS are inextricable/ interwoven essences of any human being. All our actions may be described in terms of ends and means, or their derivatives. For ex., some derivatives of “means” are: resources, instruments, tools, intermediaries, raw materials, energies, information, knowledge or other (cvasi) synonyms. A longer demonstration may be used to show that the ends and the means are best describing the human essence.

Although the ends and the means are so closely interwoven, the “feudal” (scientific) proud of having autonomous/ independent “domains”/ “fields”, the Economics was separated from Politics (Political Science) as an imitation of Pure (and separated) Sciences that were studying only small pieces of reality. Specialization was the religion of modern times, but transdisciplinarity comes to be the religion of our postmodern times (since 1950). I proposed a new definition of the politics and of the economics, as being the theories on ends and on means, respectively. In 1990, in Paris, at the First ISINI
Conference, I (re)defined the ethics as the theory of getting most adequate and equilibrated way between proposed ends and consumed means. This way of (re)defining them (by ends and means) generated the conclusion that these ones should be studied ONLY together as a continuous and simultaneous space of knowledge.

EMMY is the short for End-Means Methodology - a theoretical construction built in the 80s but developed especially in 90s and after. The first reason of creating EMMY was a quite practical one.

Teaching (Marxian) Political Economy to medical students I was obliged to answer them a lot of “whys and why us?”. I tried to put into evidence the essential characteristics of the “fields of interest” called “economy” and “policy” in the most simple and human words. Not only Marxian but also Samuelsonian or Radical explanations of those words were presented in the classical textbooks in alembicated, long and boring forms.

So, what is, first of all, Politics about? I found out that any (collective) end/aim is the very field of policies and political sciences. Even the individual ends are often determined/influenced by the social context. Or, the collective aim or the human social context action is the very reason of creating a “polis” – the Greek word for an organized community (town, state or town-state). Finally, the words “policy”, “political” or “politics” are intimately connected with human ends. What is the real coagulant of those people accepting to live and work together if not their real human interests/ends? So, any policy is about establishing and fulfilling proposed ends with the existent or possible to create/attract means. For short, Politics (as a theory) is about ends in function of means.

But what is Economics about? It is a theory trying to explain and to improve the necessary means in order to attain certain specific self proposed or accepted ends. So, economy as a reality and Economics as a sum of theories are about means, more exactly about collecting, combining (producing new) means and about consuming them as an intermediary or a final end. For short, Economics (as a theory) is about means in function of ends.

And just because Politics is about ends in function of means and Economics is about means in function of ends, it is quite logic, normal and human to know and to study the ends (policies) and means (economies) in their intimate and permanent interconnection. Putting these two fundamental and essential human aspects together it results that Political Economy/Economics is - in my definition - the study of establishing, collecting, combining and consuming means, and of matching human ends and means. As you observed I discussed generally about human beings and not about capitalists and workers, producers and consumers, suppliers and demanders. This neutral position generated, over decades, an attraction to the third way (ideology) of Gibbons or to the older theories on the convergence of the opposed social systems of W. W. Rostow. Instead of discussing about Political Economy I discussed only about human ends and means. Of course, Nicollo Machiavelli was a very interesting author... Not to mention the American Radical School that had a similar view on ends and means but in a too strong and narrow ideological context.

In the 80s I presented my theory as the “End-Means Binom”, but in August 1990 at the first Congress of ISINI (in Paris), I already spoke about “End-Means Methodology” which was no more a binom but a trinom, the third term being End/Means Ratio. This third term of the general human equation was/ is studied by Ethics as a preoccupation to study the human behavior (thinking, feeling and acting). Although I didn’t know about the Stefan

2 Some textbooks still present “Political Economy” as a Marxian ideology or at least a leftist vision and Economics as a true scientific approach without any political implications. Presenting my EMMY in Scotland in October 2005 a colleague was quite surprised of my vision. His argument was as follows: “My professor of Economics told me not ever mix Politics with Economics”. I suppose that the postmodern times will disseminate largely the mixing up of all fundamental human dimensions and will narrow the space for (former) modern/classical dogmas.
Lupascu theory about “the third included” logic, it was clear that I already applied it. Later I realized that I combined three disciplines (Politics, Economics and Ethics) in a single, synthetic but unitary approach called EMMY. This approach already had a name: transdisciplinarity.

**What is EMMY’s real content and usefulness?**

My transdisciplinary approach is a postmodern, holistic and integrative model which is more and more accepted and applied all over the world. So, the general human equation is as follows: \( H = f (E, M, E/M) \) where:

- \( H \) is for human beings viewed simultaneously and continuously as individuals (micro level), social groups/ societies (macro level) and humankind (global or mondo level).
- \( E \) is for any human ends proposed and accepted by the vector resulted from calculating the “parallelogram of forces” between individuals, societies and humankind in function of the real dimensions of the means they have. \( E \) is studied by classical discipline called Politics.
- \( M \) is for any means (be them viewed as substance, energy or information) that are created, combined and consumed for attaining the proposed and/or accepted ends of those three levels of human realities (micro, macro, mondo). \( M \) is studied by (neo)classical discipline called Economics.
- \( E/M \) ratio is for the permanent process of comparing and matching ends with/to means and means to/with ends. The name of this ratio could be “to adequate” (of means to ends and of ends to means) or “ad equation”. \( E/M \) ratio is studied by the classical discipline called Ethics. Ethics is including and transcending Politics and Economics.

EMMY is a transition from dialectics to trialectics, from modernity to postmodernity, from the study of disciplines to the transdisciplinary approach. Its principal attributes are holism, integrism, triadicity, simultaneous and continuous thinking. The logic of EMMY is based on the third included and on the abductive/ transductive logic. By this model, humanistic disciplines could be more and more concentrated in order to offer the student a holistic picture of the human being. Finally, the final result could be a real and complete anthropology.

The complete dimension of all our concepts and realities is a triadic one. In order to use EMMY usefully it is necessary to know some fundamental triads that could explain the human being existence, its knowledge (learning) and behavior. I suggest that the most important part or component of it is the third one. Pay attention to it! The most important triads we need to study, to learn and teach are as follows:

1. Time = Past ➔ Present ➔ Future
2. Space/Context = Micro ➔ Macro ➔ Mondo
3. Cosmic Existence (Composition/Structure of all microcosmic and macrocosmic understanding) = Substance ➔ Energy ➔ Information
4. Levels of human existence = Individual ➔ Social ➔ Global
5. Levels of human action = Establishing ends ➔ Combining means ➔ Harmonizing ends with means and means with ends
6. Theories on (human) action = Politics ➔ Economics ➔ Ethics
7. God as a triadic model of cosmic existence (Holy Trinity) = God the Son (Jesus Christ) ➔ Holy Spirit ➔ God the Father

Of course there are a lot of other possible triads (important for a specific research) but the seven ones are, in my opinion, quite important for any human thinking and acting.

In my mind, EMMY has exactly the same content with the Management theory and practice. I make a plea for this new way of teaching and learning the managerial tools. I start from the point of view of real human life and not from a simple collection of technical tools and methods of “smart” decision making. Of course, some would ask how I do
respect the steps of any scientific process in using this tradić and transdisciplinary approach. My answer is that disciplinary approach is using other methods than transdisciplinary approach. To make it clearer, sometimes the researchers in complementary and alternative medicine are asked to use the classical methods of mainstream medicine. The answer is the same: you cannot be (totally) modern and (totally) postmodern at the same time, or you are not able to be simultaneously dead and alive, even some common things could be find out...

**The Doxa–Praxis Continuum as an application of EMMY to the improvement of human thinking, feeling and acting performance**

The “theory and practice” expression is an example of dual and binomial approach. This is generating the idea of opposition, of contradiction and of ineluctable differences. More than that, between theory and practice it is suggested to be a barrier, a wall or a frontier not to permit them to mix up. The theory and practice differences were stimulated to maintain their specificity and separateness just by all Cartesian modern sciences, when the logic of the third excluded (the logic of “or-or”) was the dominant and the single accepted one. In the postmodern (new) age, when the logic of the third included (the logic of “and-and”) the differences between theory and practice are less and less visible and the barriers between them almost disappeared. So, a new era of synthesis (after an era of analysis) came at the mid of the last century. After the big current of fission (nuclear one included) it appeared a new big trend: that of fusion (the nuclear one included). The era of cooperation is taking the place of the wild competition, after passing through the era of co-opetition. So, the theory and practice are not still two different fields or domains one was very specialized to work in and not to permit the specialist from the other field to enter. OK, the borders disappeared and there is a lot of communication and cooperation between them. Just because some of us do not accept this postmodern event of disappearing borders I try to underline, put into evidence and even to exaggerate the lack of specificities and differences between theory and practice. Finally, the two former fields of activity are defined exactly as ends and means: I mean one exists for the other and everyone is transforming permanently into the other one. More precisely, the theory has as a reason of its existence the improvement of the practice, of the real and concrete things. On the other hand, the reason of practical activities is to improve our well being, happiness and peace – all of these being objects of our theoretical discourse. More than that, theory is working with information extracted from practice and practice is improved by information offered by different theoretical models. By information we may demonstrate that theory (doxa) and practice (praxis) is a continuum, no one being possible to be canceled out or to subordinated to the other. The information is the common field of theory and practice, exactly as money is the common field of real and nominal economy.

The Doxa Praxis Continuum [Drugus, 2005] is defined now just in order to:
- improve the human performance (both in its theoretical and practical aspects)
- encourage the curricular development (education reform)
- reduce the false differences and specializations that are creating inefficiency
- create a special feeling of a real global world that needs common vision and unitary approaches for studying it
- offer a good example of giving up old modern separatism and promoting the new postmodern globalism
- stimulate researcher to adapt methods to the new realities that need a more general approach
- eliminate the long list of so called “sciences” (as a matter of fact a lot of simple and exaggerated disciplines: over eight thousands!)
- eliminate the false differences between “exact sciences” and “social sciences”
- to create new educational structures that shall evidence the common features of the so called "sciences" and
- prepare the soil to make a single body of science (this new wave of encyclopedic approach is possible now to generate a common and unique science due to computers)
- prepare the conditions for Christian ecumenism to succeed over the schismatic, non productive and reciprocal weakening
- prepare the conditions for European and global integration on rational and humanistic basis
- prepare conditions for a common approach to science, religion and philosophy for a possible future integration

As a first conclusion I suggest those implied in the European Education Reform to introduce the transdisciplinary research instead of disciplinary one. And, as a final remark, I am ready to teach the new vision to future teachers, to work in curricular development teams in order to build new and more efficient vocational and research curriculum, to associate with other postmodern thinkers in order to write articles and books for promoting the Doxa Praxis Continuum, transdisciplinarity, theory of systems and of complexity a.s.o. be them in their explanatory or applied dimension. Just to confirm my economic background: if there would be a real demand for improvement in education we shall supply new tools, products or ideas.

3. What is Transdisciplinarity?

The big (Christian) legends and myths of the humankind consider – as a decisive moment in its evolution – the evadamic (Eve and Adam) story of first nourishment of the human being from the (forbidden) Knowledge Apple Tree, more exactly the story of tasting from the informational apple, a gesture that opened the people’s appetite for knowing more and more. How much and how to know is – in the already passed modern society – the preoccupation of Gnoseology (theory of common knowledge) and Epistemology (theory of scientific, highly systematized knowledge).

Now, in our new postmodern era (after 1950), the gnoseological and epistemological approaches are going closer and closer one to each other, interfering and interacting each other. The old Modern epistemology – overcame by XXIst century exigencies – based on clear disciplinarity and on a growing narrow specialization recognizes that cannot offer any scientific progress in any of those thin slides of reality emphatically and arrogantly called “sciences”. As a matter of fact, many of them are only scientific disciplines exhausted from information point of view. 3 Those preoccupied by...
improving the educational system should, first of all, give up the old modernist mentality of a “disciplinary” curriculum and to replace it with a pragmatic, “transdisciplinary” and more adequate to our present postmodern times, and especially to the future ones.\footnote{Regretfully, there are still some teachers that dictate to students – although the same words are already printed in books. In such a way there is much time consuming and killing the students’ curiosity and interest. Case studies, problematizing, vivid interactive dialogue and the accent put on the practical finality of the received information are still „rara avis” to be able to say there is a real reform in the Romanian education system. A real reform means also to stimulate the new postmodern, transdisciplinary, holistic, triadic, systemic and the third included mentalities. Creativity should be highly stimulated and the partial and final exams should have a teaching role, based to creativity and innovation tests.}

Referring to ways of scientific research people should have to learn more from old works (The Bible included). If we take the Greek culture as a landmark we may say that the holistic, global vision on knowledge was then widespread. Almost paradoxically, the postmodern thinking existed even in those pre-modern times. That is why there is a great need for a clear discussion on terms used (“modern” and “postmodern”).\footnote{“Modern” meant (and still means partially) „ presently”, „of high actuality”, „contemporary”. Some centuries ago, the word „modern” meant „ very new”, a characteristic of the newly born „capitalism”. Now, after capitalism (word that is a synonym for industrialism, mechanism, machinism) is changing its essences (industry is replaced by services, mechanization is replaced by automatization, machinism is replaced by automatization) some influential and credible authors argued speak about postcapitalism (see Peter Drucker) term that I consider a synonym for postmodernism. In my terminology „modern” means „old fashioned”, classical old capitalism, industrial and based on engines. That is why the word „postmodern” means something very new, fresh ie exactly what meant „modern” some centuries ago… Postmodernity is a critical and protestant reaction towards the abusing capitalism ideology that identified modern industrialism with the idea of progress, well being and peace. I consider is the same type of abuse made by the communist ideology putting an equal between communism and wellbeing, peace and progress. In such conditions it appears as very useful to replace the word „modern” with „postmodern” to reflect the new and fresh realities. Of course, over some decades „postmodern” should refer strictly to the mentality from the second part of the XXth century and the first part of the XXIst one…}

A writer as Aristotle wrote with the highest clarity both on physics, politics, economics, metaphysics, rhetoric or poetics. The Greek culture is “guilty” only for not having more “aristotles”. The nowadays postmodern “normality” asks for more Picco de la Mirandola, for more Aristotles and more encyclopedic/holistic scholars, skipping the details and concentrating the knowledge especially on essences.

Trans – is the Latin term for beyond, across and between. This term implies three parts/ components: A, B and the way from A to B. Holy Trinity is the most fundamental and well known paradigm to explain the essential structures of The (Divine and Humane) Existence. The three tri(u)nitarian Persons are so much interwoven that no one is possible to be perceived/ felt/ understood without directly implying the other two. The Holy Trinity is a mirror image of the tri-dimensionality of the terrestrial life. The triadicity seems to be the most efficient, fundamental and complete system of analyzing and understanding different levels of reality. The understanding of the human essence is possible by describing the triads that are defining the human body, human action, or human existence. For example: mind-body-soul, love-wisdom-power, substance-energy-information, end-means-end/ means ratio etc. That is why the aim of this paper is to open a new way in linking former autonomous disciplines, not only to inter-connect them, but to trans-pose everyone in our minds by means of other two. Finally, transdisciplinarizing of the so called Social Sciences or socio-human sciences into a common, essential and unitary vision is quite possible starting of the most important ones: politics, economics and ethics. Here the problem of “which is most important” is simply solved by putting them on the same level of reality and not seeking the differences but the common features. For example, one may say that ethics is (only) a philosophical discipline, while economics is a part of science, and the political science (politics) is the art of the possible (things to be done, i.e. ends). Of course, the unification of the three former disciplines from different branches of human knowledge
into a common and synthetic one, suggests that the very former branches could be unified or at least put into an inter-communicative position. Not only science, philosophy and religion should be melted and transformed into a continuous and simultaneous vision of different levels of reality, but also arts, sport, music could be more melted and thus reaching a level of a more interwoven reality. In my opinion, this is the royal way to a better understanding of human beings, to harmony and equilibrium.

In my opinion the Social Semiotics is a transversal/transdisciplinary vision on human existence explained by its fundamental signs to be interpreted and explained. So, demand is a sign of lacking something for human wellbeing and supply is the sign of something that could be offered in order both to fill a human ends (needs) and to obtain further means in order to fill some other specific human ends. EMMY could be presented in semiotic terms, but this needs more space and effort. My aim was here to promote this new vision as a more simple and transdisciplinary based.

Management as applied transdisciplinary approach to Ethics or EMMY
Management is more and more connected with Ethics, as they are – as a matter of fact - one and the same thing. This happens just because Management is about GOOD decision, GOOD action and GOOD results. Or, the essence of Ethics is the problem of knowing, understanding and achieving the GOOD(ness). As a matter of fact, managerial decision is about the right/ good way to obtain good results from the point of view which satisfies both the actor’s and the others ends (consumer, distributor or state). Here, it proves to be very useful the End-Means Methodology (EMMY) plea for a triadic and transdisciplinary thinking, where micro, macro and mondo (i.e. global) are the very good way to obtain an equilibrated result, which may be considered as (pretty) good for all actors. Of course, there is a relativity of what good is (see: moral relativity and moral relativism).

I reiterate here the fundamental triads of our existence because just these ones are creating the real support of an equilibrated world. The example of a three legs chair is a very good one for an action/ thing which attains its end/ mission/ destination by using the minimum of means/ resources/ raw materials. In the same sense should be understood our triadic dimensions which must be taken into consideration when we hope to attain more equilibrium, more adequacy and more happiness in our common/global world.

Using only the local/ individual/ present dimension is the first wrong step in managing any human action. Some may find it as an exaggeration, but really, any human action should have a true managerial thinking if someone hopes to attain the desired result. Of course, a question like this may appear: What happens if more actors try to obtain one and the same (competitive) end? Let’s consider the competition game. This is win - lose situation. Ten persons are trying to obtain a market segment which offers a good return rate. Only one of them will gain the game. Which one? The most well informed, most adaptive and most well prepared to obtain the consumers’ votes. Why the other 9 of them will lose? Simply, for not having sufficient information, which behavior is most fruitful? For sure, the most informed one. On the contrary, in a win – win situation, information in bigger quantities and better combined will generate bigger gains for all ten co-opetitors, even bigger than that of the winner in the previous case..

It results that the triad Substance-Energy-Information should be equilibrated, and the best combination is the winning one. Is it about Ethics? Sure! Ethics is anywhere we are seeking the GOOD or even the BEST of the things/ events/ situations. Any human action is about life, happiness, wellbeing, satisfaction, acceptance or just living. This is the very

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6 A child was asked why people have two names. The answer was: “because one name seems to be nicer than the other and they can choose which one is more pretty and convenient for them”. The same could be the answer to the question: why human behavior has more names: management, ethics, social semiotics or EMMY?
subject of Economics and of Politics, because fitting the right means to the right ends is Political Economics, i.e. Ethics. Managing our actions by equilibrating the economic and political dimensions is searching the most ethical dimension of our acts. At the same time, if any human action has an ethical dimension, the same is when we are doing “economic” activities. I mean any human action may be evaluated from a business ethics point of view. Dissociating ethics from business is the first wrong step in a bad managed human action. Some words could be said about ethical dimension in the so-called political field. EMMY has an answer in this respect. The economic field, the political field and the ethical field are one and the same, identical in their essences and separated only in our (modern) minds. A postmodern mind will take all of them into consideration simultaneously and continuously (permanently). This is the true managerial/ethical vision on the real world (of course, until another “true one” will appear…).

As I already told before,Management is about GOOD (decision, result, image, attitude, consumption, etc.). In order to obtain that GOOD, you should manipulate some means in order to attain the desired end. Or, sometimes you need to manufacture some raw materials (means) in order to attain some consumption goods. The word “goods” has a huge ethical content in itself. When we say “goods” we are accepting that those things are really GOOD. It is the (left) radicals’ position to deny the inclusion of arms, drugs, drinks etc in the large category of “goods”. How to say about a thing it is a good one if we do really know that it is just very bad (at a certain level of reality, e.g. for the human race). Management is a synonym for manipulation, manufacturing, handling etc. Of course, the manipulation/ manufacture/ handling is about combining means in order to attain certain ends.

For this article sake, it is sufficient to mention that every human action has a (known or unknown, conscious or unconscious) final end, and everyone is seeking better results in comparison with the situation of non-acting at all.

Concluding remarks

Sometimes we are doing things/ acts without having in our minds their entire significance and meaning. Other times we are supposing we are acting/ doing only one thing or activity, but in reality this activity have multiple dimensions, meanings, interpretations and finalities. It was in 1990 when I first time communicated in an international Conference (First ISINI Conference, Paris, 1990) my view that Economics, Politics and Ethics are so interwoven and inter-correlated that they seem to appear as one single field of activity and of scientific study. More than that, later on, I found that all three “disciplines” treated altogether generated a true transdisciplinary approach in Basarab Nicolescu’s vision. I called this approach EMMY (End-Means Methodology) as a tool of unifying Social Sciences and other knowledge. I already proposed to SPACE ERA Committee, in 2004, to promote in universities “Developing (of) Research Units Generating Unified Science”. This is also a former dream of ISINI founding father Acad. Anghel N. Rugina [Rugina, 1993, 1998, 2000]. Unite the knowledge and do note narrowly specialize! This could also be the motto for any research department nowadays. I need to underline that transdisciplinarity, synthesis and unification are not against disciplinarity, analysis and separation. All these should be used in a complementary manner, with the accent on the most fitted/ adequated one. Anyway, the trend to synthesis in science is very active after 1950 all over the world, especially in US and some European countries. After having “united” Politics, Economics and Ethics into EMMY, I realized that human behavior is the real essence of all these “disciplines” and fields of activity. But behavior is studied by

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7 Basarab Nicolescu is the most world well known promoter of transdisciplinarity and nowadays he is the president of CIRET and is conducting doctoral work on transdisciplinarity at Babes Bolyai University in Cluj Napoca.
Psychology, Logic and Neurosciences. The art of thinking and doing seems to be the very essence of management. But management (decision making) is not only rationality, but emotionality as well. That is why I (re)defined the theory and practice of management as “thinking, feeling and doing”. At the same time, Ethics is studying the human behavior, i.e. human thinking, feeling and acting. Ethics is not a set of given and immutable rules for human conduct, but a general theory on human conduct/ behavior. In my mind, Ethics, Management, Politics-Economics-Ethics continuum, Psychology, Logic, Semiotics and Hermeneutics are either identical or so closely interwoven that they never could be understood separately or consequently. As a matter of fact, this vision is a truly transdisciplinary one, approached in a semiotic and hermeneutical manner (there are a lot of signs to be interpreted) just in order to create a holistic and unitary vision on human beings and their moral behavior.

There are at least some very practical consequences of the new methodological vision:

Firstly, it is possible to concentrate the three fundamental or even more disciplines in a solely and integrated corpus of knowledge called Management or the "Theory of human thinking, feeling/ sensing and acting" or, simply End-Means Methodology (EMMY);

Secondly, at every new level of formal/ institutional education (starting from gymnasium) it is possible to constantly and systematically enlarge and develop this theory, until the very philosophical, scientific and theological level (at master's and doctor's degree).

Thirdly, the political and economic processes will be more oriented towards human beings than towards strictly technical aspects. The scientific research will be much improved using the simple, synergic and transdisciplinary approach defined by Basarab Nicolescu [Niculescu, 1996] as one "between, across and beyond disciplines".

At the individual level, there is simultaneity and a continuum among “Thoughts – Feelings – Actions”.

At the social level there is a simultaneity and a continuum among „Social theory – Social perception – Social action”. This is a true Social Semiotics vision, based on the fundamental signs that mark the humans’ life.

The inter-action between the continuity of the individual living and the simultaneity of the social facts (as theory, perception and action) generates a full framework for (social and individual) Praxeology as a general theory of human behavior and which may be optimized by different criteria (e.g. material welfare, social harmony, individual/ social survival etc.) all these being able to be formalized/ quantified.

The continuum „Political field – Ethical field – Economic field” could be demonstrated through the Neutrosophic Logic created by F. Smarandache [Smarandache, 2001]. For example, using the smarandachean terminology, the Political field may be noted as A, the Economic field as Anti-A, and the Ethical field should be the Neutral A (i.e. nor entirely political, nor economic entirely). All these altogether generates the Non-A, i.e. a relative negation of the Political field, a re-coming at social real/ normal/ acceptable dimensions. In this respect it is quite easily applicable the Lupascian Logic of the Third Included, i.e. the middle term – Ethics – is included both in Politics and Economics. So, between the Political field (the realm of Ends to be obtained from existing Means) and the Economic field (the realm of collecting, combining and consuming Means for proposed and/ or accepted attainable Ends) there is no contradiction, no antithesis or breakdown, nor even essential differences, but there is a continuum offered by the permanent presence of the Ethical field, fact that shall generate (a temporary) equilibrium. I just remember here a dedication written for me by prof Rugina on the 25th volume and 5th
number of the International Journal of Social Economics. This testing came only after reading the Neutrosophy Logic of Prof. Smarandache, which offered (me) the operational and logical tool. The three fundamental dimensions of the human existence (ends, means, end-means equilibrium) are now included into a general theory of equilibrium that is not limited to economics, to politics or to ethics, but includes all the three in a general theory and practice of human behavior (See the Doxa-Praxis Continuum [Drugus, 2005]). This neo-praxeology may be very useful in analyzing all the three spatial human dimensions (individual, social and global) in the all three temporal human dimensions (past, present, future), but this analysis should be done as a simultaneous and continuous process.

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8 „To my colleague, Prof Liviu Drugus, Iasi. Encouraging your new ideas further work, but test them with the standards of Equilibrium vs Disequilibrium. Anghel Rugina. Boston, Mass. 20 aug 1998. PS This is the first copy sent to Romania.”!

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**Piata produselor farmaceutice din Romania in contextul globalizarii afacerilor**

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**Keywords**: pharmaceutical products, global market, domestic market, market survey.

**Abstract**: Global and national pharmaceutical market witnessed an important development during the last 20 years. This work aims to identify the main tendencies in the evolution of these markets and also the main factors determining this important growth. In order to develop this research we used different national and international reports and statistical data which allowed us to identify the market evolution.

Potrivit International Medical Statistics\(^1\), *piata mondială a produselor farmaceutice* a atins în anul 2006 nivelul de 643 miliarde dolari, în creştere cu 7% faţă de 2005. Un studiu realizat de firma de cercetare IMS Health\(^2\) arată că această creştere apare pe fondul avansului semnificativ al vânzărilor înregistrate pe piaţa Statelor Unite şi a cererii ridicate pentru produsele de nişă.

Această creştere de 7% apare după o perioadă de timp în care piaţa de produse farmaceutice a consemnat un avans mai lent, cauzat de expirarea patenţelor mai multor medicamente, reducerea cheltuielilor publice pentru sănătate şi lipsa productivităţii proceselor de cercetare. Astfel, după o creştere de 11,8% în anul 2001, ritmul de creştere al vânzărilor de medicamente a încetinit continuu, coborând până la 6,8% în 2005.

La nivel regional, din punct de vedere al ritmului de creştere înregistrat se diferenţiază următoarele categorii de piete:

- pietele relativ stabilă, cu un ritm mediu de creştere de circa 5%-10% (SUA, Canada, ţările Uniunii Europene);
- pietele cu ritm de creştere moderat 10%-15% (celelalte state europene, inclusiv România);
- pietele cu ritmuri de creştere de peste 15% (statele Americii Latine şi de Sud, India).

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\(^1\) IMS (International Medical Statistics) – buletine lunare, WOOD MACKENZIE – Pharmaceutical Overview 1999-2005

Vânzările consemnate în Statele Unite, cea mai mare piată de produse farmaceutice la nivel mondial, au crescut cu 8,3% anul trecut, în condițiile în care avansul s-a plasat la 5,4% în 2005.

Una dintre cele mai importante creșteri s-a înregistrat pe piața indiană, unde vânzările au crescut cu 17,4%, ajungând la 7,3 miliarde de dolari ca urmare a dezvoltării economice a Indiei din ultima perioadă. În China, ritmul de creștere a vânzărilor de produse farmaceutice a scăzut de la 21%, nivel atins în anul 2005, la 12,3% în 2006, iar valoarea produselor comercializate în acest an a fost de 13,4 miliarde dolari. Acest declin a fost determinat de campania guvernului chinez de limitare a promovării produselor farmaceutice cu ajutorul medicilor.

În ceea ce privește structura pieței produselor farmaceutice, se observă că în anul 2006 vânzările de medicamente cu prescripție au înregistrat un ritm de creștere de 11% față de anul precedent, atingând un nivel de 230 de miliarde de dolari. Medicamentele pentru tratarea cancerului s-au aflat în topul clasamentului celor mai căutate produse farmaceutice, cu vânzări de 34,6 miliarde dolari, în creștere cu aproape 21% față de 2005. Towada, noi produse lansate de Pfizer și Bayer, respectiv Sutent și Nexavar, au contribuit la creșterea vânzărilor globale, alături de aprobarea unor noi utilizări pentru unele medicamente precum Avastin, te de la Genentech și de lansarea în fabricație a 31 de medicamente noi, care reprezintă produse cu adevărat inovatoare, care garantează tratamente eficiente.

Din punct de vedere al claselor terapeutice, 37% din valoarea piete mondiale a produselor farmaceutice, adică aproximativ 180 miliarde Euro, este de înuită de patru clase terapeutice: sistem cardiovascular, sistem nervos, tract digestiv și sistem respirator.

Tendința de creștere a piete mondiale se va menține și în perioada viitoare, printre factorii – cheie de influență fiind mențiionate: creșterea rolului activităților de marketing-vânzări și a investițiilor companiilor multinaționale în produsele noi, actuale blockbuster; revoluția genomică (terapia genetică) care determină apariția unor noi tratamente moderne, costisitoare și ținute (ex. leucemie); dezvoltarea de medicamente prin biotehnologie; rata de îmbătrânire a populației și stilul de viață; și dezvoltarea unor piețe subdezvoltate (ex. China, India).

În figura numărul 1 este prezentată evoluția previzionată a vânzărilor produselor farmaceutice și repartiția acestora pe zone geografice pentru perioada 2005-2010.
Începând cu anul 2002 asistăm la expirarea unui număr impresionant de patente în valoare de aproximativ 68 miliarde Euro. Coroborat cu presiunea guvernelor asupra prețurilor și dezvoltarea pietelor de generice din Asia, Europa de Est și statele Latine se previzionează o creștere a ponderii medicamentelor generice în consum pentru principalele clase terapeutice.

**Figura nr. 1 Evoluția previzionată a vânzărilor produselor farmaceutice și repartiția pe zone geografice**

Începând cu anul 2002 asistăm la expirarea unui număr impresionant de patente în valoare de aproximativ 68 miliarde Euro. Coroborat cu presiunea guvernelor asupra prețurilor și dezvoltarea pietelor de generice din Asia, Europa de Est și statele Latine se previzionează o creștere a ponderii medicamentelor generice în consum pentru principalele clase terapeutice.

**Figura nr. 2 Ponderea medicamentelor generice/inovatoare în total consum estimat pentru anul 2007**

Piata farmaceutica din Romania se caracterizează printr-un ritm de creștere superior și un nivel ridicat al investițiilor străine directe ca urmare a integrării europene.

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Deși populația României a scăzut cu un milion de locuitori în perioada 1992-2005 (21,6 milioane locuitori) pe fondul unei fertilități scăzute (1,3 copii/familie, în loc de 2,1 care ar asigura înlocuirea populației) și creșterii migrației externe (aprox. 2 milioane de români se află legal în străinătate), piața produselor farmaceutice a înregistrat în ultimii 3 ani creșteri peste 15%.

În perioada 1996-2005, piața totală a crescut cu 16% în volum, cu 74% au crescut zilele de tratament, cu 130% a crescut prețul mediu pe zi al tratamentului și cu 301% la sută a crescut în valoare. Astfel, în anul 2006, piața produselor farmaceutice a fost de 5,175 miliarde RON, echivalentul a circa 1,55 miliarde de euro, înregistrând o creștere de 19% față de anul 2005.

Rata de creștere a pieteii farmaceutice din România este una dintre cele mai mari în comparație cu statele din centru și estul Europei, ocupând locul doi după Rusia. Piața farmaceutică a celor 12 state din centru și estul Europei a ajuns la o valoare de 11,8 miliarde de euro și reprezintă mai puțin de 10% din totalul pieteii farmaceutice a UE 15 care a atins 162,2 miliarde de euro.

Cea mai spectaculoasă și constantă creștere o reprezintă piața medicamentelor cardiovasculare care a înregistrat un nivel crescut cu 35% față de anul 2005 ca urmare a creșterii duratei de viață, dar și campaniilor de promovare a acestor medicamente, realizate în ultimul timp.

Schematic, evoluția pieteii românești a produselor farmaceutice este reprezentată în tabelul nr. 1.

**Evoluția pietei românești a produselor farmaceutice în perioada 2002-2006**

<table>
<thead>
<tr>
<th>Anul</th>
<th>2002</th>
<th>2003</th>
<th>2004</th>
<th>2005</th>
<th>2006</th>
</tr>
</thead>
<tbody>
<tr>
<td>Piața produselor farmaceutice</td>
<td>2.445</td>
<td>2.764</td>
<td>3.890</td>
<td>4.594</td>
<td>5.175</td>
</tr>
</tbody>
</table>

În primele trei luni ale anului 2007, piața farmaceutică locală a crescut cu 25,3%, cu 10% mai mult față de estimările inițiale, și cu un ritm de trei ori mai mare decât în primul trimestru din 2006, până la valoarea de 1,56 mld. lei (462,7 mil. euro).

În această perioadă, vânzările prin intermediul farmacilor au consemnat un avans de 30,4%, iar cele prin intermediul spitalelor cu numai 6,8%, potrivit ultimului raport al companiei de cercetare a pietei Cegedim. Pe segmentul vânzărilor către farmacii, vânzările medicamentelor cu prescripție au crescut cel mai puternic, înregistrând un plus de 30,5%, în timp ce vânzările de medicamente care se eliberează fără prescripție s-au majorat cu 29,7%.

Totodată, se estimează că piața produselor farmaceutice va continua să crească cu o medie de 15 % până în 2010. Creșterea va fi determinată în principal de segmentul prescrierilor de medicamente (Rx), care se va tripla față de segmentul OTC, al medicamentelor care nu au nevoie de prescripție medicală. Mărirea se datorează mai ales suplimentării cheltuielilor guvernamentale pentru serviciile de sănătate și scăderii prețurilor.

Ca o particularitate a pieteii locale, nivelul cheltuielilor pentru produse farmaceutice și sănătate este scăzut în România în comparație cu țări din restul Europei. Având o medie a cheltuielilor de 64 de euro pe cap de locuitor pentru produse farmaceutice, România este mult sub nivelul țărilor din estul Europei. Țara noastră atingă mai puțin o treime din consumul pe cap de locuitor al Cehiei, unde cheltuielile pentru produse farmaceutice pe cap de locuitor sunt de 186 de euro și aproape o jumătate din cel al Franței, care alocă 567 de euro pe cap de locuitor în acest domeniu, așa cum rezultă din figura nr. 3.
Puterea de cumpărare în creștere a consumatorilor și alocările guvernementale de la buget, o utilizare mai largă a tratamentelor moderne și pătrunderea și utilizarea în creștere a produselor cu vânzare liberă vor contribui la alinierea pe termen mediu a consumului de medicamente din România la cel din țările europene. Totodată, expirarea patențelor deținute de companiile americane și vest-europene pentru medicamentele inovatoare începând cu anul 2002, în paralel cu un nivel ridicat al procentului din PIB alocat sănătății va determina în perioada următoare o creștere a consumului fizic de medicamente generice. Pe acest fond, ponderea medicamentelor generice a crescut de la de la 44% în anul 2004 (1,7 miliarde RON) la 46% în 2006 (2,4 miliarde RON).

Analiza structurii ofertei de produse farmaceutice pe piața românească trebuie realizată din două unghiuri de vedere, și anume: sub aspectul naționalității companiilor care dețin o cotă importantă de piață și sub aspectul canalelor de consum utilizate.

Analiza pieței produselor farmaceutice din România pe categorii de producători:
Anul 2004 a adus în premieră pentru piața farmaceutică din România o creștere semnificativă a vânzărilor fizice ale companiilor multinaționale (+32%), în timp ce producătorii români au înregistrat o creștere de doar 7%. Prezența în piață a companiilor multinaționale a crescut sub aspectul ponderii fizice (26% în anul 2003, 30% în 2004 și 38% în anul 2005), în paralel cu practicarea unor prețuri mult superioare prețului mediu al pieței (2004 – 1,132 RON comparativ cu media pietei de 0,447 RON).

De menționat că în perioada 2003-2004, în structura de calcul a produselor din import erau introduse o serie de marje/adaosuri: marja de import (9%), marja de risc valutar (9%) și marja de distribuție (3%-7%). Acestea influențează în mod artificial ponderea companiilor multinaționale în piața farmaceutică în raport cu producătorii români, al căror preț includea cel mult marja de distribuție.

După anul 2005, deși piața a continuat să aibă un ritm de creștere pozitiv (de peste 15%), acesta a fost influențat de reducerea prin politica guvernamentală a cuantumului de ados comercial la medicamentele din import: marja de import (8,5%), marja de risc valutar (0%), marja de distribuitor (7,5%).

5 www.repmed.com
6 BMI (Business Monitor International) – Pharmaceuticals & Healthcare Forecast Q1-3 2006; SASA BAVEC, Head of marketing Lek – Central and Eastern European Pharmaceuticals Congress Trend from brand GX towards INN GX 2005
In anul 2006, liderul pieței farmaceutice a fost GlaxoSmithKline, cu o cotă de piață de 8,04%, urmat de Hoffman la Roche (7,14%), Novartis (6,19%) și Sanofi-Aventis (6,12%). Dintre producătorii români, Sicomed București - achiziționat anul trecut de compania cehă Zentiva - deține 4,7% din piață, în timp Terapia Cluj și Antibiotice Iași și au fiecare 4,5% respectiv 3,5% din piață. În perioada următoare, AVAS urmează să scoată la privatizare Antibiotice Iași, valoarea de piață fiind estimată între 130-180 milioane de euro.

Alte companii care ar putea fi vizate de achiziții ar putea fi Labormed Pharma și Biofarm, ultima cotată pe Rasdaq.

În tabelul nr. 2 este prezentată evoluția pieței produselor farmaceutice din România pe categorii de producători în perioada 2003-2006.

<table>
<thead>
<tr>
<th>Vânzări (mil RON)</th>
<th>Cota de piață (%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Produsători români</td>
<td>880</td>
</tr>
<tr>
<td>Companii multinaționale</td>
<td>1,645</td>
</tr>
<tr>
<td>TOTAL</td>
<td>2,445</td>
</tr>
</tbody>
</table>

Analiza pieței produselor farmaceutice din România pe canale de consum

Sub aspectul canalelor de consum, se constată că deși piață farmaceutică a înregistrat an de an un ritm de creștere semnificativ, ponderea vânzărilor pe segmentul HOSPITAL a scăzut continuu (de la 30% în 2003 la aproximativ 24% în anul 2005 și la în 2006). Aceasta scădere nu este apanajul reducerii consumului sau scăderii spectaculoase a prețului mediu unitar (doar 3% în perioada 2003-2004), ci rezultanta creșterii semnificative a ponderii segmentului retail, atât sub aspectul unităților fizice (+15%, în perioada 2003-2004), cât, în principal, prin majorarea prețului mediu cu peste 58% în aceeași perioadă.

Conform firmei de cercetare de piață Cegedim, în anul 2006, 80,6% din încasările industriei au fost reprezentate de retail, care a crescut cu 19,4%, în timp ce segmentul de produse furnizate spitalelor a stagnat, așa cum rezultă din tabelul nr. 3.

<table>
<thead>
<tr>
<th>Valoare (milioane RON)</th>
<th>Pondere în Total vânzări (%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Hospital pharmacies</td>
<td>836,2</td>
</tr>
<tr>
<td>Retail pharmacies</td>
<td>1,608,8</td>
</tr>
<tr>
<td>TOTAL</td>
<td>2,445</td>
</tr>
</tbody>
</table>

Astfel, polul principal de consum, cu o tendință continuă de creștere, este reprezentat de către segmentul retail. În prezent, piața farmaceutică din România numără aproximativ 4.600 de farmacii active (75,6% din piața valoric), în timp ce segmentul hospital, cu o cotă de piață de 24%, acoperă aproximativ 460 de unități sanitare.

Caracteristica principală a spitalelor este sistemul centralizat sau parțial centralizat de achiziție a medicamentelor, prin licitații publice naționale (în cazul programelor de sănătate) și licitațiile electronice pentru consumul curent. Deși aparent lupta pe acest segment de piață capătă doar aspectul concurenței prin preț, nu trebuie ignorat faptul că spitalul – prin personalul de specialitate și urgentă – este formatorul principal al cererii (a se vedea prescripțiile) din ambulatoriu (segment retail).
Analiza piaței produselor farmaceutice din România pe categorii de medicamente

În totalul piaței farmaceutice, medicamentele cu prescripție medicală (Rx) reprezintă ~84%, în timp ce segmentul medicamentelor fără prescripție medicală (OTC) deține o pondere de ~16%. Această pondere a produselor OTC s-a menținut la un nivel relativ constant ca urmare a unei game de diverse produse din diferite clase terapeutice și a unui nivel scăzut al consumului (medie 5 cutii/an/locuitor), așa cum rezultă din tabelul nr. 4.

<table>
<thead>
<tr>
<th>Vânzări medicamente (mil.RON)</th>
<th>2002</th>
<th>2003</th>
<th>2004</th>
<th>2005</th>
<th>2006</th>
</tr>
</thead>
<tbody>
<tr>
<td>Medicamente OTC</td>
<td>347,2</td>
<td>491</td>
<td>623</td>
<td>748</td>
<td>910</td>
</tr>
<tr>
<td>Medicamente RX (prescripție)</td>
<td>2.097,8</td>
<td>2.273</td>
<td>3.267</td>
<td>3.846</td>
<td>4.566</td>
</tr>
</tbody>
</table>

Statisticile Cegedim relevă faptul că, în anul 2006 de piața de retail RX a crescut cu 33% în volum și cu 295% în valoare, în timp ce piața de retail OTC (medicamente eliberate fără prescripție medicală) a crescut cu 15% în volum și cu 167% în valoare. În ceea ce privește piața de spital (Hospital), aceasta a scăzut în aceeași perioadă cu 46% în volum și a crescut cu 317% în valoare ca urmare a creșterii prețului mediu pe cutia de medicament.

Conform statisticilor internaționale populația României va scădea până la 16,5 milioane în 2050, din care jumătate va avea peste 60 de ani. În aceste condiții, fiecare persoană activă va plăti asigurările sociale și de sănătate pentru nouă persoane. Dacă în prezent din cele 21,6 milioane de locuitori, 10,5 milioane sunt adulți, 5 milioane copii și 6 milioane vârstnici, la mijlocul secolului XXI, pensionarii vor reprezenta mai mult de jumătate din populație.

În contextul macroeconomic și social al perioadei următoare piața farmaceutică din România va continua să înregistreze ritmi de creștere pozitive, în paralel cu o apropiere a consumului de medicamente per capita de nivelul țărilor ce au aderat la Comunitatea Europeană în 2004 (Ungaria, Cehia, Polonia etc.). Schematic, evoluția consumului de medicamente în perioada 2004-2007 se prezintă că în figura nr. 4.

![Figura nr. 4 Evoluția consumului de medicamente pe cap de locuitor în perioada 2004-2007 estimat](image-url)
Modificările demografice, incidența ridicată a unor boli, dar și dezvoltarea ponderii medicamentelor generice vor determina o creștere țintită a valorii de piată pentru clase terapeutice ca: sistem cardiovascular, sistem nervos central, aparat respirator sau tract digestiv. În plus, se apreciază că în viitor vom asista la o modificare a portofoliului de medicamente compensate și gratuite prin diminuarea numărului de substanțe active la 2-3 produse și lărgirea palettei de medicamente fără prescripție (OTC) din categoria uguențelor și supozitoarelor.

În concluzie, se poate aprecia că în perioada viitoare, piata națională a produselor farmaceutice va continua să înregistreze un ritm de creștere susținut, net superior ritmului mediu național, ca urmare a modificărilor intervenite în plan demografic, social și a intensificării preocupărilor pentru îngrijirea sănătății și pentru valorificarea rezultatelor ceretării și descoperirii de tratamente ale cancerului, bolilor cardiovasculare, genetice, ale sistemului nervos etc.

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Experimentul in marketing

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Keywords: types of experiments, marketing.

Abstract: Different from the practical observation, where those collecting the information have a passive role, the marketing experiment implies their effective intervention upon some (independent) variables. The aim is to see what happens next to other (dependent) ones. In other words, the experiment is a method of researching the cause-effect relations (named causality relations) which exist between different marketing stimuli (prices changes, publicity spots, distribution channels, payment techniques).

Thus, the marketing experiment represents a set of operations, made within a very well defined environment and (somehow) under control. It will purposefully and repeatedly determine some changes of the influencing factors (causes).

Generally speaking, a market experiment aims at two fundamental objectives:
- to discover the causality relation between different marketing variables (if these ones have not been yet discovered and identified);
- to measure the effect (exclusively) that a change of some independent variables (explicative ones) has made upon some dependent marketing variables.

For a better illustration of such kind of information, it is necessary that the marketing experiment should be systematically and recurrently carried out and at the same time, the same working conditions should be maintained. Although the environment conditions are excluded, the obtained results should normally be identical.

Marketing experiments appear under different forms according to the environment in which they are accomplished, according to the objective they follow and according to the number of independent variables they operate with.

Spre deosebire de observarea faptică, în cazul căreia cei care recoltează informațiile au, de regulă, un rol (preponderent) pasiv, experimentul presupune intervenția efectivă a acestora asupra unor variabile (independente) pentru a vedea apoi ce se întâmplă cu altele (dependente). Cu alte cuvinte, experimentul este o metodă de cercetare a relațiilor tip cauză-efect (denumite relații de cauzalitate) care există între diverși stimuli (variabilele) de marketing (modificări de prețuri, spoturi publicitare, forme de distribuție, modalități de plată), pe de o parte, și diverse tipuri de reacții ale pieței, pe de altă parte.

Așadar, experimentul de marketing reprezintă un ansamblu de operațiuni, desfășurate într-un mediu bine delimitat și (oarecum) controlat, prin care sunt provocate, în mod intenționat și repetat, modificări în rândul factorilor de influență (cauzelor), identificându-se și măsurându-se apoi schimbările pe care le înregistrează efectele (variabilele dependente de marketing).

În general, un experiment de marketing își propune două obiective fundamentale:
1) descoperirea relației de cauzalitate între diverse variabile de marketing (dacă acestea nu sunt încă identificate și cunoscute);

2) măsurarea efectului (exclusiv) pe care o schimbare provocată în rândul variabilelor independente (explicative) o are asupra unor variabile de marketing dependente (explicate).

Pentru ca aceste două categorii de informații să fie cât mai concludente, este necesar ca experimentul să se realizeze în mod sistematic și repetat, la fiecare repetare menținându-se aceleași condiții de efectuare. Dacă influențele mediului sunt exclusive (ceea ce în cercetările de marketing se întâmplă foarte greu), în mod normal, repetându-se experimentul, rezultatele obținute trebuie să fie identice.

Elementele de bază ale oricărui experiment de marketing sunt: variabilele de marketing; unitățile de observare; tratamentele experimentale; efectele experimentale; interacțiunea; eroarea experimentală.

Experimentele de marketing îmbracă forme diferite în funcție de mediul în care se realizează, de obiectivele urmărite, de numărul variabilelor independente cu care se operează etc.

În funcție de numărul variabilelor factoriale cu care se operează, putem avea de-a face cu experimente unifactoriale și multifactoriale.

1. Experimente unifactoriale

Luarea în considerare a unei singure variabile de marketing asupra cărei se aplică tratamentele experimentale este maniera de lucru care asigură rezultatelor experimentelor utilizatea cea mai înaltă, efectele fiecărui factor putându-se măsura cu cea mai înaltă precizie.

Schema generală după care trebuie să se realizeze un experiment de marketing cu un singur factor se poate prezenta în două variante: una normală și una simplificată.

Varianta normală, cunoscută și sub denumirea de varianta „înainte și după”, se bazează pe cele două grupe obișnuite de unități de observare (experimentale și martor), constituie după principiul alegerii întâmplătoare (pentru a îi se asigura reprezentativitatea), precum și pe două perioade distincte de observare: una care precede operarea tratamentului experimental asupra stimului și alta care succede acest tratament.

Grupurile experimentale și cele de control trebuie să fie asemănătoare (și deci comparabile) din toate punctele de vedere. Singura deosebire dintre ele constă în aceea că tratamentele se aplică numai asupra primelor.

Rezultatele observațiilor și măsurătorilor efectuate, de un anumit număr de ori n (aceleași pentru ambele perioade) asupra unităților experimentale și martor pot fi sintetizate într-un tabel de genul Tabelului 1 (în care mărimile $M_e$, corespund unităților experimentale, iar mărimile $M_m$, unităților martor, corespunzătoare celei de-a i-a observare).

Odată înregistrate cele patru categorii de date, în faza următoare se efectuează calculul mediilor lor aritmetice, folosind formulele obișnuite:

$$M_e = \frac{\sum_{i=1}^{n} M_{e,i}}{n}, \quad M_m = \frac{\sum_{i=1}^{n} M_{m,i}}{n},$$

$$M_{e}^{'} = \frac{\sum_{i=1}^{n} M_{e,i}^{'}}{n}, \quad M_{m}^{'} = \frac{\sum_{i=1}^{n} M_{m,i}^{'}}{n},$$

în care: $M_e$ - media valorilor obținute din observațiile făcute asupra grupului experimental înaintea aplicării tratamentului experimental; $M_e^{'}$ - media valorilor obținute din observațiile făcute asupra grupului experimental după aplicarea tratamentului; $M_m$ - media valorilor obținute din observațiile făcute asupra grupului martor înaintea aplicării tratamentului experimental; $M_{m}^{'}$ -
media valorilor obținute din observațiile făcute asupra grupului martor după aplicarea tratamentului experimental; \( n \) - numărul valorilor rezultate din observările efectuate din cadrul fiecărui experiment (care se menține același în cele două perioade de timp și în cele două grupuri experimentale).

### Rezultatele unui experiment unifactorial normal

<table>
<thead>
<tr>
<th>Perioada</th>
<th>Inainte</th>
<th>După</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>( M_{e1} ), ( M_{e2} ), ( M_{e3} ) ( M_{m1} ), ( M_{m2} ), ( M_{m3} )</td>
<td>( M'<em>{e1} ), ( M'</em>{e2} ), ( M'<em>{e3} ) ( M'</em>{m1} ), ( M'<em>{m2} ), ( M'</em>{m3} )</td>
</tr>
</tbody>
</table>

#### Tabelul 1

**Notă:** Datele aferente perioadei anterioare operării asupra stimulurilor sunt notate cu \( M \), iar cele ulterioare cu \( M' \).

Cu ajutorul acestor mărimi medii pot fi obținute informații cu privire la:

1) **eroarea de selecție** (\( e_s \)), care se determină cu relația:

\[
e_s = M_m - M_e
\]

În principiu, dacă se respectă rigorul selecției întâmplătoare a unităților de observare, diferența, înregistrată înaintea aplicării tratamentului asupra grupului experimental, între valorile aferente celor două grupuri (experimental și martor) ar trebui să fie nulă, factorii aleatori acționând în egală măsură (cu aceleași efecte) asupra lor. Dacă ea este totuși pozitivă, diferențele provin în primul rând din greșelile de eșantionaj. Se poate admite totuși că în mărimea \( e_s \) se regăseșc și influențele altor factori alegători;

2) **eroarea temporală** (\( e_t \)), cauzată de trecerea unui anumit interval de timp între momentele care preced și cele care succed aplicării tratamentelor (suficient pentru a provoca unele schimbări ale condițiilor de realizare a experimentului), mărimea sa putând fi aproximată cu relația:

\[
e_t = M_m - M'_m
\]

3) **efectul brut al acțiunii factorului experimental și al factorilor necontrolați** (\( E_b \)), care se stabilește cu relația:

\[
E_b = M'_e - M_e
\]

4) **efectul experimental** (\( E \)), atribuit în exclusivitate factorului cauză asupra căruia se aplică tratamentele, care se obține scăzând din efectul brut al acțiunii tuturor factorilor, erorile sistematice și aleatoare:

\[
E = E_b - (e_s + e_t)
\]

Rezultatele obținute în urma experimentelor unifactoriale sunt cu atât mai concluzente cu cât este mai mare numărul unităților experimentale din cele două grupuri, cu cât este mai extinsă perioada de observare, cu cât sunt folosite mai cu grijă instrumentele de lucru, cu cât este mai mare numărul de observări efectuate etc.

**Varianta simplificată.** În mod normal, dacă experimentul este bine conceput și derulat, mărimile \( M_e \), \( M_m \) și \( M'_e \), \( M'_m \) nu trebuie să difere, factorii care le influențează (cu excepția factorului timp) fiind mereu aceeași. În plus, acțiunea factorului timp este anihilată atunci când comparațiile se fac între mediile corespunzătoare grupului experimental și de control aferente aceleiași perioade (după aplicarea tratamentelor). De aceea, calculul efectului net al experimentului se poate face într-un mod mai simplu decât s-a crezut inițial.

Nu este greu de constatat că relația inițială folosită în calculul efectului net al modificării factorului experimental poate fi adusă la forma:
Prin urmare:

\[ E = M' - M_m \]

Dacă lucrurile se prezintă așa, rezultă că înşiși modul de proiectare și de efectuare a experimentelor se poate simplifica enorm, observațiile putându-se face asupra grupului experimental și de control (care servește ca bază de raportare, reflectând mărimea variabilei dependentе neafectată de tratamentele experimentului) exclusiv în perioada care succede aplicării tratamentelor. Se evită astfel, fără nici ne efect negativ semnificativ, două seturi de observații (cele care, în varianta inițială, se făceau asupra grupului experimental și de control înainte de aplicarea tratamentelor), reducându-se la circa jumătate efortul necesitat de organizarea și derularea experimentului.

Varianta simplificată a experimentelor unifactoriale (dar nu numai) se recomandă în toate cazurile în care se dorește creșterea operativității acestora, dar în primul rând atunci când valorile variabilei de marketing dependentе (nivelul cererii, volumul de vânzări, reclamațiile clienților) sunt înregistrate în mod continuu. De asemenea, varianta simplificată este indicată și în situațiile în care un stimul de marketing (modificarea unui preț, lansarea pe piață a unui nou produs, difuzarea unui spot publicitar) este manipulat pentru prima dată.

În ceea ce ne privește, potrivit ultimelor relații de calcul prezentate, credem că avem suficiente motive pentru a recomanda această variantă pentru toate cazurile, considerând că în efectuarea experimentului nu este neapărat necesar să se opereze cu două baze de raportare: o perioadă de timp (cea de înaintea aplicării tratamentelor) și un grup martor (existența grupului de control fiind suficientă). Pentru a demonstra acest lucru ne vom folosi de un exemplu.

Să presupunem că variabila experimentală asupra căreia se acționează este serviciul de transport gratuit al frigiderelor cumpărate de la firma care organizează experimentul la domiciliul clienților, iar variabila explicativă este volumul vânzărilor. Primele două grupuri de observare (experimental și martor), cu ajutorul cărora se consemnează situația existență înainte de introducerea stimulului (serviciului de transport gratuit) se dovedesc a fi înutile, varianta de experiment tip Înainte și după transformându-se în una tip După.

2. Experimente multifactoriale

Influențarea variabilei dependentе (a cererii, să zicem) numai cu ajutorul unui singur factor (stimul) este adeseori insuficientă, efectele care se obțin fiind prea mici în raport cu obiectivele pe care și le fixează firmele. De aceea, de regulă, se operează simultan cu mai multe măsuri, încercându-se astfel amplificarea efectelor, ceea ce complică însă operațiunile de atribuire a efectului final influenței fiecărui factor în parte.

a) Experimente bifactoriale

Evident că acest gen de experimente se bazează doar pe doi factori experimentali , caz în care efectul total se poate descompune în:

1) efect datorat exclusiv primului factor \( (E_1) \);
2) efect datorat exclusiv celui de-al doilea factor \( (E_2) \);
3) efect datorat interacțiunii celor doi factori \( (E_{12}) \).

Pentru a estima primele două efecte, experimentul bifactorial se poate descompune în două experimente unifactoriale, care se desfășoară după schema expusă în paragraful precedent.

Efectul interacțiunii factorilor se va estima folosind relația:

\[ E_i = E - (E_1 + E_2), \]
în care: E - efectul global; \(e_1, e_2\) - eroarea rezultată din primul, respectiv din cel de-al doilea experiment unifactorial.

Schema experimentului se va baza deci pe \(2 \times 2 = 4\) combinații realizabile cu cei doi factori, precum și pe un număr de cel puțin două observări pentru fiecare nivel al factorilor experimentali.

Dacă cei doi factori experimentali ar fi ambalajul unei mărfi (care se prezintă sub două forme, pe care le vom nota cu \(A_1\) și \(A_2\)) și modalitățile de distribuție (prin magazine mici - \(D_1\) și prin megamagazine - \(D_2\)), combinațiile posibile dintre aceștia vor fi cele sugerate de Tabelul 3.

**Vânzările medii zilnice aferente grupurilor experimentale**

(milioane lei)

<table>
<thead>
<tr>
<th>Ambalaj</th>
<th>Magazine mici (D_1)</th>
<th>Megamagazine (D_2)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Model (A_1)</td>
<td>(V_{11} = 500)</td>
<td>(V_{12} = 700)</td>
</tr>
<tr>
<td>Model (A_2)</td>
<td>(V_{21} = 660)</td>
<td>(V_{22} = 920)</td>
</tr>
</tbody>
</table>

**Notă:** Datele din tabel reprezintă media aritmetică a vânzărilor zilnice înregistrate în perioada derulării experimentului (calculeate cu relațiile prezentate în paragraful precedent) în condițiile în care mărfa este ambalată după modelul \(i\) (\(A_1\) sau \(A_2\)) și se distribuie în varianta \(j\) (\(D_1\) sau \(D_2\)). Mărimile \(V_i\) sunt deci vânzările medii zilnice de mărfuri ambalate în varianta \(i\) și distribuite în varianta \(j\).

Înainte de efectuarea experimentului, mărfa se vindea prin magazine mici, în ambalaj model \(A_1\) (mărimea \(V_{11} = 500\) milioane lei servind drept bază de comparație). Aceasta va fi, de fapt, combinația care va servi drept bază de control (drept martor).

**Efectul datorat exclusiv schimbării ambalajului** \((E_1)\) se poate determina în maniera experimentului unifactorial (lăsând tipul de distribuție nemodificat și schimbând doar forma ambalajului), având valoarea:

\[
E_1 = V_{21} - V_{11} = 660 - 500 = 160 \text{ milioane lei}
\]

La fel se determină și **efectul exclusiv al schimbării formei de distribuție** \((E_2)\):

\[
E_2 = V_{12} - V_{11} = 700 - 500 = 200 \text{ milioane lei}.
\]

**Efectul global** \((E)\), datorat modificării simultane a ambalajului și a formei de distribuție (datorat deci atât trecerii de la ambalajul \(A_1\) la \(A_2\), cât și schimbării magazinelor mici cu megamagazinele) va avea valoarea:

\[
E = V_{22} - V_{11} = 920 - 500 = 420 \text{ milioane lei}.
\]

Prin urmare, **efectul interacțiunii** celor doi factori va fi:

\[
E_i = E - (E_1 + E_2) = 420 - (160 + 200) = 60 \text{ milioane lei}.
\]

Lăsând la o parte schema experimentelor unifactoriale, **efectele medii** datorate fiecăruia din cei doi factori în parte se pot determina și cu relațiile:

\[
E_{1i} = \frac{(V_{21} - V_{11}) + (V_{22} - V_{12})}{2}
\]

\[
E_{2i} = \frac{(V_{12} - V_{11}) + (V_{22} - V_{21})}{2},
\]

în care: \(E_{1i}, E_{2i}\) - efectele atribuite factorului 1, respectiv 2 potrivit celui de-al doilea mod de tratare a datelor rezultate din experimentul bifactorial.
Utilizând aceste relații, rezultă:

\[ E'_1 = \frac{(V_{21} - V_{11}) + (V_{22} - V_{12})}{2} = \frac{(660 - 500) + (920 - 700)}{2} = 190 \text{ milioane lei} \]

\[ E'_2 = \frac{(V_{12} - V_{11}) + (V_{22} - V_{21})}{2} = \frac{(700 - 500) + (920 - 660)}{2} = 230 \text{ milioane lei} \]

Efectul global va avea aceeași valoare:

\[ E = E'_1 + E'_2 = 190 + 230 = 420 \text{ milioane lei} \]

Folosind așadar cea de-a doua modalitate de determinare a efectelor experimentului, se constată că mărimea efectului global este aceeași, fiind însă diferite mărimele efectelor parțiale ale celor doi factori manipulați. Aceste diferențe se datorează faptului că, în al doilea caz, efectele parțiale includ și părți din efectul interacționului celor doi factori (care, de data asta, este mascat).

Rezultatele obținute prin cele două modalități de tratare a informațiilor oferite de experiment sunt totuși perfect compatibile. Iată cum poate fi demonstrat acest lucru.

Mai întâi, se va determina ponderarea fiecărui efect parțial exclusiv (determinate după prima manieră de lucru) în efectul total obținut prin însumarea lor:

\[ g_1 = \frac{E'_1}{E'_1 + E'_2} \quad \text{și} \quad g_2 = \frac{E'_2}{E'_1 + E'_2} \]

în care: \( g_1, g_2 \) - ponderea efectului exclusiv al factorului 1, respectiv 2 în efectele parțiale cumulate.

În exemplul nostru, cele două ponderi vor fi:

\[ g_1 = \frac{E'_1}{E'_1 + E'_2} = \frac{160}{160 + 200} = 0,45 \]
\[ g_2 = \frac{E'_2}{E'_1 + E'_2} = \frac{200}{160 + 200} = 0,55 . \]

În al doilea pas, efectul \( E_i \) al interacțiunii celor doi factori se atribuie fiecărui factor în parte, potrivit relațiilor:

\[ E_{i1} = E_i g_1 \quad \text{și} \quad E_{i2} = E_i g_2 \]

Aplicând aceste formule, reiese că:

\[ E_{i1} = E_i g_1 = 60 \cdot 0,45 = 27 \text{ milioane lei} \]
\[ E_{i2} = E_i g_2 = 60 \cdot 0,55 = 33 \text{ milioane lei} . \]

În fine, efectele parțiale ale celor doi factori, care includ și părțile aferente din efectul interacționului lor, se vor stabili cu formulele:

\[ E'_1 = E_i g_1 = E_i + E_{i1} \]
\[ E'_2 = E_i g_2 = E_i + E_{i2} \]

ceea ce înseamnă că:

\[ E'_1 = E_i + E_{i1} = 160 + 27 = 187 \text{ milioane lei} \]
\[ E'_2 = E_i + E_{i2} = 200 + 33 = 233 \text{ milioane lei} . \]

Comparând efectele \( E'_1 \) și \( E'_2 \) rezultate din cele două modalități de calcul se obțin aproximativ aceeași valori.

Prin urmare, schimbarea ambalajului determină creșterea volumului de vânzări cu circa 190 milioane lei, iar schimbarea modului de distribuție contribuie la sporirea vânzărilor cu aproximativ 200 milioane lei.

Experиментele multifactoriale operează cu tratamente aplicate asupra a trei sau mai mulți factori, putându-se realiza la fel ca cele bifactoriale.
Bibliografie

Consideratii privind satisfactia consumatorului

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Keywords: consumer satisfaction, market demand, consumption desire, consumer behavior

Abstract: the paper contains the results of the research whose main aim is to demonstrate that there are no sensitive differences between desire and utility and that the study of the consumers’ behaviour can be carried out taking into account the theory of utility.

The research was based on a series of mathematical and economic models, belonging to microeconomics, respectively, taken from the theory of utility. We started from the hypothesis that the theory of marketing is closely related to the theory of microeconomics when tackling aspects that belong both to marketing and to microeconomics.

In marketing, need is defined as want which causes tension and dissatisfaction and the means of answering a need is defined as a strategy able to transform dissatisfaction (caused by a specific need) into satisfaction. On the other hand, according to the theory of utility, the capacity of any commodity to give rise and produce satisfaction, as a result of being used or consumed, is known by the name of utility or subjective value.

Ph.Kotler considers that satisfaction is the gauge through which the perceived performance of a product rises to the consumer’s expectations, as it [satisfaction] is given by the gratification or disappointment experienced by the person who compares his/her impressions (or results) caused by the way a commodity works with his/her expectations nourished before buying that product. Although this opinion is greatly accepted by marketing specialists, we show our reserve towards it in the paper.

As a conclusion we consider that:
- desire and utility are inseparable;
- a commodity’s being useful to a consumer is sufficient for offering the latter a feeling of pleasure;
- a commodity’s utility gratifies either through possession, usage, or consumption;
- the unitary small prices used by vendors to attract buyers of bigger merchandise quantities (which is a strategy for promotional offer) are the effect of the decreasing marginal utility law;
- from the point of view of the neoclassical theory of utility subjective value, related to the economic equilibrium theory, we consider that kotler’s formulas for estimating clients’ value-based selling activities are not fully acceptable.

Dacă prin nevoie înțelegem o stare de lipsă care provoacă (celui ce o trăiește) o tensiune și o insatisfacție, prin mijloc de acoperire a unei nevoi vom înțelege orice mijloc care poate transforma insatisfația (cauzată de o nevoie) în satisfacție.
Făcând apel la microeconomie, vom putea constata că însuşirea sau capacitatea unui bun de a crea satisfacţie - în urma consumului sau utilizării - poartă denumirea de utilitate sau de valoare subiectivă.

Un bun nu este dorit decât dacă are, pentru doritorul său, utilitate (capacitate de a furniza satisfacţie). De fapt, prin prisma consumatorului, însăşi noţiunea de bun este asociată cu cea de utilitate. Dacă un „ceva” oarecare nu este în stare să ofere satisfacţie consumatorului, imediat el va fi considerat de acesta ca nemaiaiînd un bun, ci un lucru (în sens foarte general) intuit sau disutil (adică un râu - dacă în loc de satisfacţie, el oferă insatisfacţie). Altfel spus, dorinţa şi utilitatea sunt noţiuni inseparabile.

Până a invoca binomul dorinţă-utilitate, vom aduce în discuţie semnificaţia termenului de satisfacţie, prin intermediul cărui a fost definită utilitatea.

Potrivit opiniei lui Ph. Kotler (preluată de majoritatea specialiştilor români), satisfacţia este definită ca exprimând: „Măsură în care performanţa percepţă a unui produs se ridică la înaltimea așteptărilor clientului” (s.n.), ea fiind dată de „plăcerea sau dezamăgirea pe care o resimtine cineva atunci când îşi compară impresia asupra performanţei (sau rezultatelor) unui produs cu așteptările pe care le avea înainte să-l cumpere” (s.n.).

Există mai multe motive pentru care noi nu împărtăşim o astfel de manieră de a concepe satisfacţia consumatorului.

Pentru a limpezi semnificaţia termenului satisfacţie, nu putem să nu facem apel, mai întâi, la cea atribuită de lingvisti. Aceştia au ajuns la concluzia că a satisface (verb derivat din latinescul satisfacere) înseamnă: „A multumii pe cineva îndeplinindu-i o dorinţă (s.n.), o necesitate, o exigenţă”, în opinia lor prin satisfacţie înţelegându-se un „sentiment de multumire, de plăcere. Ceea ce produce multumire”. Or ceea ce-i produce plăcerea consumatorului este utilitatea produsului consumat. Cu alte cuvinte, simplul fapt că un produs este util consumatorului (acoperindu-i o nevoie) este suficient, din punctul nostru de vedere, pentru ca el să-i creeze aceasta o satisfacţie oarecare (ieva ea mai mare sau mai mică). Acesta este primul motiv pentru care nu suntem în totul de acord cu opinia exprimată de Ph. Kotler.

Un al doilea motiv derivă dintr-un raţionament care ține mai mult de bunul simț decât de teoria consumului (și a utilității): consumatorul trăiește un sentiment de satisfacție (de multumire sau de plăcere) chiar și atunci când nu face nici un fel de comparații între performanțele reale ale produsului și așteptările sale (fie din cauza că nu cunoaște încă destul de bine performanțele acestuia, fie pentru că încă nu și-a conștientizat așteptările). Acest lucru se întâmplă mai ales în cazul produselor cu totul noi (dar nu numai).

În al treilea rând, o gradare a stării consumatorului în funcție de nivelului satisfacției (așa cum ne propune Ph. Kotlerp) de genul:

1) nesatisfăcut, dacă: \( P < A \),
2) satisfăcut, dacă: \( P = A \),
3) foarte satisfăcut, dacă: \( P > A \)

(in care: \( P \) – nivelul performanțelor produsului; \( A \) – nivelul așteptărilor consumatorului) ni se pare insuficient de bine fundamentată, deoarece:

1) consumatorul poate fi satisfăcut (poate insuficient, e adevărat) și atunci când \( P < A \) (neputându-se spune, de pildă, atunci când setea te mistue, că apa pe care o bei fără a avea

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4 Dicţionarul explicativ al limbii române, Ediţia a II-a, Bucureşti: Editura Univers Enciclopedic, 1998, p. 947
5 Idem, p. 948
6 Ph. Kotler, G. Armstrong: Lucr. cit., p.51
posibilitatea de a o alege în conformitate cu așteptările tale, și care îți astâmpără totuși setea, nu-ți dă nici un fel de satisfacție – sau că te insatisfacție chiar – pentru simplul motiv că nu a fost la nivelul așteptărilor tale);

2) chiar și atunci când \( P > A \), consumatorul poate fi insuficient de satisfăcut (și niciodată foarte satisfăcut), dacă performanțele produsului, deși superioare unor așteptări foarte pesimiste, nu sunt în măsură să-i acopere, nici pe departe, nevoile și dorințele. La fel se întâmplă și cazul în care \( P = A \), când așteptările sunt la nivelul performanțelor. Oare atunci când te aștepti că un produs să fie foarte prost, iar lipsa de performanțe confirmă aceste așteptări, simpla concordanță între așteptări și performanțe este suficientă pentru a te face mulțumit? Evident că nu.

Nepunând semnul egalității între dorință și așteptări (deoarece sunt suficiente situațiile în care consumatorul, deși își doresc ca produsul să fie foarte performant, se așteaptă totuși - în urma unor evaluări prealabile - ca el să fie mult mai puțin performant sau chiar neperformant), suntem de părere că nu atât gradul de concordanță între performanțe și așteptări, cât mai ales cel dintre performanțe și dorințe este cel care determină nivelul de satisfacție al consumatorului.

Pe de altă parte, nu putem nega faptul că nivelul satisfacției (sau insatisfacției) consumatorului este influențat și de măsura în care performanțele produsului confirmă (sau nu) așteptările sale.

În ceea ce ne privește, așa cum am mai menționat, optăm pentru definirea satisfacției în strânsă legătură cu utilizarea bunurilor și cu actul de consum (în care aceasta se manifestă sau nu). Nu trebuie să fim neapărat specialiști în marketing pentru a constata un lucru esențial: chiar fără a consuma efectiv bunuri, ci doar prin simpla lor posesie, oamenii sunt adeseori satisfăcuți. Cu atât mai mult ei trăiesc un sentiment de satisfacție prin actul de consum. Altfel spus, în măsura în care un produs are utilize, el îi va furniza satisfacție omului fie prin posesia, fie prin utilizarea, fie prin consumul său.

Acceptând fără nici o rezervă ideea că utilitatea unui bun reprezintă capacitatea de a furniza satisfacție posesorului, utilizatorului sau consumatorului său, în scopul simplificării demersurilor care urmează, vom merge și mai departe afirmând că:

\[ \text{utilitate} = \text{satisfacție}. \]

După cum se știe, utilizarea bunurilor, deci și satisfacția pe care ele o furnizează consumatorilor, poate îmbrăca (potrivit teoriei valorii subiective) forma de:

1) utilizate (satisfacție) totală;
2) utilizate (satisfacție) marginală;
3) utilizate (satisfacție) marginală pe leu cheltuit.

1) Utilitatea (satisfacția) totală \( (U) \) (prin care se înțelege utilizarea pur și simplu) reprezintă satisfacția (exprimată în unități de măsură speciale, denumite utili) pe care consumatorul o dobândește în urma consumării produsului de care se leagă, ea depinzând de o sumenjenie de factori, cum ar fi:

- nivelul caracteristicilor de calitate \( (c_0) \) ale produsului (cu cât calitatea sa este mai bună, cu atât satisfacția pe care o oferă consumatorului este mai mare);
- cantitatea \( (q) \) consumată (consum mai mare însemnând, în anumite limite, satisfacție totală mai mare);
- numărul și calitatea serviciilor (transport, montaj, garanții) și accesoriilor (piede de schimb, instrucțiuni de folosire) care-l însoțesc după cumpărare \( (s) \);
- intensitatea nevoii \( (n) \), între aceasta și utilizate existând un raport direct proporțional;
- alți factori \( (a) \).

Prin urmare:

\[ U = f(c_0, q, s, n, a), \]

forma concretă pe care o îmbracă această funcție fiind o chestiune de econometrie (de care nu ne vom ocupa aici).
2) Utilitatea (satisfacția) marginală \( (U') \) exprimă sporul de satisfacție \( (\Delta U \text{ sau } dU) \) pe care consumatorul îl înregistrează atunci când își suplimentează cu o unitate consumul din bunul luat în considerare, determinându-se astfel:

\[
U' = \frac{\Delta U}{\Delta q}; \quad U' = \frac{dU}{dq}
\]

(încare: \( \Delta q, dq \)- cantitate suplimentară consumată din bunulin cauă).

Factorii care influențează satisfacția totală afectează automat și satisfacția marginală.

Din relațiile prezentate rezultă că utilitatea marginală, adică valoarea subiectivă percepță de consumator pentru fiecare unitate suplimentară de marfă consumată, este din ce în ce mai mică pe măsură ce consumul se mărește. Acest lucru se datorează unei legi denumite legea utilității marginale descrescănde. Ca urmare a acțiunii sale, percepând o valoare subiectivă (o utilitate) tot mai mică pe măsură ce-și mărește consumul, consumatorul va pretinde vânzătorului un preț mai mic, ceea ce acesta din urmă va și accepta dacă dorește să-și vândă o cantitate mai mare de marfă. Cu alte cuvinte, prețurile unitare mici prin care vânzătorii atrag cumpărătorii unor cantități mai mari dintr-o marfă (care este o modalitate de promovare a ofertei) sunt, de fapt, rezultatul acțiunii acestei legi.

3) Pentru acoperirea unei nevoi, consumatorul poate (astăzi mult mai caoricând) să opteze între mai multe bunuri (având aceeași destinație), pentru aceasta trebuind ca, în prealabil, să valoreze utilitatea fiecăruia în parte. Mai exact, pentru a intra în posesia unei mărfi și pentru a beneficia de utilitatea sa, consumatorul trebuie să plătească un preț \( (p) \) care este direct proporțional cu utilitatea marginală în general, ci cu utilitatea marginală relativă \( (\text{pe unitate bănăescă platită în acest scop}) \), care este expresia unui raport \( u_i \) de genul:

\[
u_i = \frac{U_i^{'}}{p_i},
\]

în care: \( i \) – indicativ pentru firmele care oferă pe piață o marfă cu o destinație unică; \( p \) - prețul.

De aici rezultă că un consumator va prefera marfa firmei noastre numai dacă utilitatea pe leu cheltuit pentru procurarea ei de la aceasta este mai mare decât cea care s-ar obține procurând-o de la oricare din firmele concurente.

Din ultima relație rezultă că utilitatea pe leu cheltuit pe o marfă procurată de la o firmă a carei producție \( u_i \) este cu atât mai mare cu cât este mai ridicată utilitatea ei marginală (adică prima derivată a funcției utilității totale) și cu cât este mai mic prețul platit pe ea.

În cadrul unui act de schimb, consumatorul dobândește ceva (bunul pe care și-l dorește), cedând altceva (suma de bani platită ca preț, de regulă). Ceea ce el dobândește este de fapt \( \text{utilitatea bunului procurat} \) (respectiv satisfacția oferită de acesta), iar ceea ce cedează reprezintă o \( \text{utilitate sacrificară} \) (tot ceea ce se pierde odată cu suma platită drept preț). Cu alte cuvinte, schimbul îi aduce acestuiui satisfacție (utilitate), dar și insatisfacție (disutilitate). Chiar dacă teoria microeconomică a consacrat de multă vreme termenii de valoare subiectivă, valoare obiectivă, utilitate și disutilitate, Ph. Kotler (iar după el, mulți alți specialiști în marketing) a adoptat alți termenii, cărora le atribuie înțelesuri oarecum similare. Este vorba despre:

1) valoarea totală pentru \textit{client}, reprezentând suma avantajelor pe care bunul le furnizează clientului (ceea ce-i totuna cu utilitatea totală);

2) \textit{costul total pentru client}, care desemnează suma pe care cumpărătorul o suportă pentru evaluarea, obținerea, utilizarea și dispensarea de produsul în cauză (care nu este altceva decât \( \text{prețul plătit} \) pentru respectivul produs);
3) valoarea furnizată clientului, care ar exprima diferența dintre valoarea totală și costul total pentru client⁷.

Aceste trei mărimi sunt reînțelesă în așa-numita triadă a valorii pentru client, în cadrul căreia valoarea unui bun este concepută ca „o combinație între particularitățile de calitate, servicii și preț al ofertei (CSP)”, respectiv „ca raport între ceea ce primește cumpărătorul și ceea ce dă.” (s.n.)⁸

Pentru calculul valorii s-a propus, într-o primă fază, relația⁹: \[ Valoare = \frac{Avantaje}{Costuri} = \frac{Avantaje functionale + Avantaje emotionale}{Costuri banesti + Costuri de timp + Costuri de energie + Costuri psihice} \]

De aici rezultă că valoarea unei oferte pentru client poate spori prin:

- creșterea avantajelor;
- reducerea costurilor;
- creșterea avantajelor și reducerea costurilor;
- creșterea avantajelor în măsură mai mare decât creșterea costurilor;
- reducerea avantajelor în grad mai scăzut decât reducerea costurilor.

Pentru a scoate în evidență căile de sporiere a satisfacției clientilor, cele două formule sunt într-adevăr utile. Acestea rezultau însoțite foarte clar, așa cum s-a văzut deja, și din formula utilității marginale pe leu cheltuit \( (u_i) \). Din punctul de vedere al teoriei neoclaseice a valorii subiective (a utilității), corelată cu teoria echilibrului economic, formulele prezente ale valorii pentru client nu sunt pe deplin acceptabile înșă, din mai multe motive.

Mai întâi, fiind exprimate în unități de măsură diferite, matematic costurile nu pot fi scăzute din avantaj. Din același motiv, avantajele de diverse feluri (funcționale, emoționale etc.) nu pot fi nici ele înmulțite, după cum nu pot fi înmulțite nici diferitele categorii de așa-zise "costuri" (bănești, de timp, de energie, psihice etc.).

În al doilea rând, nici chiar dacă ar fi exprimate (prin intermediul utililor, să zicem) în aceleași unități de măsură (de satisfacție pozitivă – în cazul avantajelor – și de satisfacție negativă sau insatisfație – în cazul “costurilor”), atâta vreme cât se operează cu mărimi globale, și nu marginale, (cel puțin) cea de-a doua formulă rămâne inacceptabilă.

În al treilea rând, "costurile" enumerate la numitorul celei de-a doua relații nu sunt nici independente unele de altele, nici foarte concluziente. Nu ni se pare deloc clară separarea care ar putea fi făcută între costurile de energie și cele psihice, între costurile de timp și cele bănești, etc.

Acestea ar fi doar căutau din argumentele pe care le-am folosii pentru a justifica necesitatea operării cu termenii și cu formulele de calcul specifice teoriei valorii subiective.

Bibliografie


The Strategy of a Permanent Improvement of Quality – an Important Task of the Enterprise Management

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Keywords: Never Ending Improvement, Agricola International Quality System

Abstract: During the last two decades we have been witnessing an important revolution in what quality is concerned. Successful organizations have realised that a permanent improvement is necessary in order to stay in business. Thus, they have developed some mechanisms capable to help them with transforming themselves and with adapting themselves to new requirements. Nowadays, quality is considered a strategic element of the enterprise management, having an important role in the increase of the competitiveness of products and services both at a domestic and an international scale. At present, worldwide, both producers and consumers ask for guarantees that might prove the quality of the products and services. It is no longer sufficient to offer products and services which have certain standards, but producers have to demonstrate their capacity to assure a permanent quality for their products and services. In order to maintain a high level of quality it is always necessary to continuously improve the existing products and services, and this action means effort. A new philosophy should be adopted, leaving apart the "acceptable level" of quality. Maintaining and improving the quality within an organization is a long and continuous process to which the whole team should bring its contribution. Obviously, the quality manager and the executive manager of the organization play a very important role within this process, but they could not achieve everything. It is always necessary that every employee should become aware, in the first place, that the new system of management makes his/her life easier, and secondly, that he/she is expected to make his/her own contribution in order to help the system to get the expected results, getting thus greater advantages for himself/herself.

Managers at any level should work together with employees in order to accomplish the objectives. Non-formal communication within the organization may assure the management efficiency within the process of improving quality. The enterprise should assure every employee the necessary instruments for the development of all the activities, an optimized secured information system, and a permanent improvement of the existing products and services, based on a business planning, in order to become attractive for the market and "to stay into business".

The success in the configuration of a quality system is directly dependent upon the specifics of the organizational culture, of the pre-existing cultural elements, of the flexibility of the organizational culture which might bring forth and insert new values and norms, specifically linked to quality. The strategy in the field of quality assures the putting into practice of certain directions regarding the future performances of the firm, of certain possibilities for building up and exploiting some advantages linked to competitiveness and determining certain behaviour procedures within different markets.

In the specialty literature, quality is defined as a distinctive characteristic of a product, a process or a system, or as an essential property, essential in order to characterise an entity.
The concept of quality grew along time. Until the industrial revolution, the craftsman was responsible for the quality of a product. At the same time, with the outburst of the industrial revolution and with the growth of production in the factories, quality is taken in charge of by the workshop chief or supervisors.

Among the functions of the management and quality insurance, the improvement of quality has a master role in diminishing the costs. The notion of quality improvement has the significance of an assembly of actions made by the whole organisation in order to increase the efficiency of the activities and processes, in order to have more advantages both for the organisation and for its clients.

The application of the "continuous improvement" principle leads to the following actions: its growth and development, using periodic assessments for the established excellence criteria, allows the identification of potential improvement areas, the continuous improvement of efficiency of all processes, promotes the prevention based on activities and training each member of the company, offering an adequate education as far as the continuous improvement methods and tools are concerned.

In order to create a proper atmosphere for quality improvement, one must take into consideration:

a. Encouraging and supporting a leading style which supports the action;
b. Promoting values, attitudes and behaviours which stimulate quality improvement;
c. Establishing some clear quality improvement objectives;
d. Encouraging efficient communication and team work;
e. Acknowledgement of successes and achievements;
f. Education and training for quality improvement.

Here are the steps to be followed in order to improve quality:

• to prove the necessity of improvement by emphasizing the possible benefits due to applying an improvement programme;
• to identify the improvement proposals and to select the ideas according to the specific advantages which they can bring, expressed both in financial savings and in technological terms;
• to organize the work teams for each project of quality improvement;
• to find out the causes of projection and manufacturing shortcomings and so on;
• to establish the necessary remedies to erase the shortcoming causes and to justify the efficiency of applying such remedies;
• to apply the improvement options and to control the new work procedures aiming to continue the benefits achieved even in the future.

The advantages of applying such a principle include:

a. For policy and strategy utterance: to create and make a more competitive business plan by integrating the continuous improvement in the business planning strategy;
b. For objective establishment: a realistic establishment, improvement objective change and the providing of their necessary resources;
c. For an operational management: to implicate the employers of the company in a continuous improvement of the processes and products;
d. For the human resources management: to supply tools and opportunities for all the employers of the company and to stimulate products, processes and system improvement.

Quality permanent improvement must be a main concern of the companies in order to survive in a competitive environment. Achieving a culture in the field is essential for quality improvement, for new methods and technologies, among which we mention, first of all, Total Quality Management (TQM). Quality specialists established that it is not the technology that is the key to continuous quality improvement, but the management is the one to be concerned with the change and an adequate cultural formation to the specificity
of the organisation, in order to achieve lasting performances. A quality improvement project usually starts with the identification of an improvement possibility. This identification may be based on:

- **a.** measurements of the loss due to quality, caused by not valuing the resource potential in processes and activities;
- **b.** assessing the process performances inside the organisation by comparing them with similar processes of outstanding leaders, aiming to emphasize the ways of quality improvement. This performance assessment compared to the best companies (leaders) in that field is called the Benchmarking process.

Since they were identified, the quality improvement projects or activities go along by taking some steps and end by applying a preventive or correctional action of the process, aiming to obtain and maintain a new and improved achievement level.

Identifying the processes with improvable efficiency can be done by means of actions such as:

- processes’ control and the measurement of their achievement;
- process analysis;
- non-conformity identification of the process necessities, flaws, dysfunctions and so on;
- non-conforming cause investigation;
- stuff and clients’ contentment measurement by inner satisfaction indicators (quality loss reduction, and so on).

Organisation management must be aware that the employees need to change their view on quality, to become aware of the fact that perfection is not impossible. The manager starts with the main objectives of quality policy, which he conceives and further transmits to all the employees. Quality policy must take into account the capacity of the competitors, aiming to establish responsibilities for the departments directly or indirectly concerning the quality.

Total quality application in an organisation cannot be achieved but by a change of mentality, of the whole staff’s attitude, starting with the General Manager.

These changes are possible only after a cultural transformation of the people in the company into a quality culture. Organizations having a quality culture are characterized by:

- slogans which are materialized in the behaviour of the staff;
- feedback from the clients are actively undertaken in order to continuously improve quality;
- team work is predominant;
- medium level managers are actively implied;
- quality responsibility is not passed from one to another;
- provision deadlines are respected, aiming to continuously improve quality;
- quality training is provided to the employees in order to make sure they have the necessary knowledge for continuous quality improvement;
- rewards and promotions are granted according to the contribution of each employee to the continuous quality improvement;
- the company considers its suppliers as partners and the employees as inner clients.

The decisive role in the success of the quality improvement process is held by top managers, who establish the quality policy so as to inspire trust in quality engagement.

Specialists uttered some minimum demands for the introduction of total quality management, which managers are to consider:

- necessary data must be done directly by an efficient quality manager;
- presentation of in marketing, financial, research – development, production and distribution ways of activity interaction;
appealing to international standards to constitute a discussion basis for total quality management;

• establishing the work techniques associated to total management qualities;

• recognizing the importance of product and services qualities in satisfying the clients' demands.

A continuous concern for quality management is well known in foreign specialty literature called Never Ending Improvement (N.E.I.). This process of quality improvement must endlessly continue, considering that any of the present processes can be substantially improved. Many of them can be achieved with low costs, but others imply high costs, which are suffered by the buyer.

A very important factor in forming an adequate culture of the total management quality is the managers' behaviour, who must be actively involved in the development of the process of quality improvement, by creating a proper ambiance, by an attentive observation of the market, by a suitable organisation of the labour structure, by charging with responsibilities the ones implied in the activity of quality improvement.

Quality management projection takes a lot of time, effort and skill, so the superior manager needs to grant it a great deal of attention and a sustained support. Success can be obtained only by a persevering team work and by an efficient leadership.

Great companies elaborated their own quality strategies and improvement programmes. The commitment, as far as quality is concerned, is a continuous aim of the ones who wish to keep or develop their position on the market.

Agricola International Quality System is an initiative at the local level and it means, at the same time, a business objective. Anyone who works with or for Agricola International must be at the highest standards of product quality and of business reports. Agricola International’s Quality System has clear objectives which are pursued at the level of all business units.

A strict hygiene, quality and sanitary or veterinary norms ensure the necessary conditions for the slaughter houses and the factories of Agricola International to maintain their agreements in order to export to the European Union, or the United States of America. Its specialists are periodically monitoring the activities.

Quality is an aimed objective in the entire organization in order to meet the clients' contentment. Along all its 14 years of existence, organisation management pursued the perfection of the quality system.

At the moment, quality is known by everyone as a fundamental value in the organisation from Bacau. In 2005 it obtained the SR EN ISO 9001-2001 certificate delivered by an international company famous in the field.

Raw material quality is attentively analysed in the labs: meat quality and all the other ingredients are used for improving the quality. During the manufacturing process they pursue a high quality raw material in order to ensure the customer protection.

Acting at a local level, but also at a national and international level, it forms and informs its partners about the standards to be respected, which respond to the uttermost demands. According to the Agricola International Quality System, quality is the main objective of the activity, as the organisation assumes all the responsibilities.

Danone Group is another organisation which has as its objectives the improvement of its products, considering it as its mission to contribute to a healthy nutrition for as many people as possible, on the entire planet, every day, which is harmoniously combined with doctors’ and researchers’ noble mission.

Danone aims as a future strategy to develop the knowledge and the practical applications concerning healthy food and to remain an active and competent partner in promoting nutrition and life style that maintain health.

Danone Group has only one key message “quality in everything”, pursuing two coordinates: the quality of its products and relationship quality. The objective is clearly
The Strategy of a Permanent Improvement of Quality …

stated: to satisfy the customer on a long term. According to the Group’s strategy, it is important to grant attention to innovation and to the post-selling system, maybe even more than to the production and delivery activities. Quality responsible people, confined in their laboratories, not a long time ago, become real animators who optimize team activity.

This strategic orientation of the Danone Group is coherent and in accordance to the ISO 9000 norms. Starting with 2000, Danone Group introduced the ISO 9000 process in its factories, which guarantees for each of these, the application of quality management according to the international exigencies, pursued and improved permanently.

For Danone Group quality represents a total value, and it is constantly pursued and achieved in each phase of the production process. Quality, in this case, means the way the product responds to the consumer’s needs, the best choice of the raw materials, it implies the adherence to the highest hygienic standards, keeping the nutritive values of the raw material, reducing the impact with the environment, an efficient organisation of all the activities of the company. Quality is the brand for Danone Company, which is daily chosen by thousands of buyers.

Dedeman makes high quality products which satisfy the customers all over the country. As a result, consumers respond by increasing the selling rate, the profit, the added value and the communities in which the company is active develop. The Dedeman company lives by its clients and by the values which it respects.

The specific values of this organisation are: leadership, integrity, the winning wish, trust. The basic principles pursued in the company’s activities are: respect, concern for the individual, innovation, the wish to be the best, and harmonious relations with the others. For Dedeman, quality is an extremely important value, a sign of respect and honesty towards the customers.

By the research done on a certain number of important companies at a local, national and international level, having remarkable financial and image success, we may conclude that the performance level is due to the continuous concern of the managers to improve the quality level of the products and of the services offered to the customers. For these companies, quality is not only a demand, but it became a value, a basic component of the organisation culture.

Hence, presently we speak even about creating and developing that quality culture which involves both managers and employees. Quality culture engages the creation a new kind of optic, a new mentality on the quality level of the products and services, which are different from company to company and which supports them to become more and more competitive on the global market, being under a permanent development.

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Rolul tehnologiei informacionale in dezvoltarea competentelor manageriale

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**Keywords:** managerial skills, information technology, leadership, checkpoint 360°, OMA (organization managerial analysis), skill builder, groupware.

**Abstract:** Within the Romanian economy the managerial change has been more evident than in any period, the managerial practice recording numerous dis-functions. Making them less important or eliminating the generating causes is not possible without a deeper change of management.

It is essential that the information and communication technologies should be integrated in the activity of training managers as future managers that should prove a powerful technological leadership within the management of the organization. These technologies should contribute to the development of the managers’ methodological, specialized, social, personal, communicational and relational competences.

Astăzi este recunoscută de toată lumea importanța deosebită pe care o are informația în dezvoltarea economică și socială. Pentru a deveni utilă în orice domeniu de activitate, informația trebuie colectată, stocată, prelucrată și transmisă celor care au nevoie. Aici intervine rolul tehnologiilor informaționale care au înregistrat în ultimele decenii progrese remarcabile, greu de controlat și care au provocat profunde transformări la nivelul societății, al organizațiilor și al indivizilor. Utilizarea tehnologiilor informaționale ameliorează oportunitățile în valorificarea informației și determină apariția a noi abordări cu privire la ce este o organizație și cum se comportă aceasta.

Tehnologiile informaționale s-au dezvoltat ca răspuns la necesitățile de prelucrare a informațiilor, fenomen cauzat de industrializarea societății. Astăzi, puține aspecte ale vieții cotidiene au rămas în afara sferei de influență a tehnologiei informaționale, iar pentru organizații ele reprezintă cu adevărat o miză strategică din care pot decurge numeroase avantaje concurențiale. Cadrul general de analiză a impactului tehnologiilor informaționale asupra organizațiilor economice este prezentat în figura nr.1.

Schimbările intervenite în tehnologiile informaționale sunt rapide și au numeroase implicații. Pentru a cunoaște mai bine aceste implicații trebuie identificate caracteristicile globale ale noilor tehnologii informaționale. În acest sens, Herbert Simon definește următoarele caracteristici ale NTI:
• asigură accesibilitatea oricărei informații sub formă verbală sau simbolică prin intermediul calculatorului;
• pun la dispoziție capacități mari de memorare pentru sistemele de prelucrare a informațiilor;
• fac posibilă utilizarea limbajului uman pentru interogarea memoriei sistemelor de prelucrare a informațiilor;
• orice informație care se dovedește utilă va putea fi transmisă în alt punct din același sistem cu costuri scăzute;
• sistemele de prelucrare a informațiilor sunt din ce în ce mai capabile de a informa, de a ști desigur și de a învăța. În prezent, două schimbări esențiale se datorează utilizării NTI:
• descentralizarea puterii informației și a stocării datelor și alocarea către utilizator;
• utilizarea pe scară largă a telecomunicațiilor care face legătura electronică între diferitele componente ale sistemelor informaționale.

Mediul economic actual înseamnă schimbare rapidă. Supraviețuirea firmelor în actualul mediul de afaceri a devenit din ce în ce mai dificilă ca urmare a competiției din ce în ce mai acerbe, a tendinței de globalizare a piaței, precum și a schimbărilor intervenite în principiile manageriale. Într-un astfel de mediu complex și dinamic, supraviețuirea întreprinderii înseamnă produse și servicii inovatoare, înseamnă creativitate și deschidere. Ea trebuie să treacă la noi acțiuni pentru a-și îmbunătăți sau proteja operațiunile economice. Astfel de acțiuni sunt: păstrarea contactului permanent cu mediul, îmbunătățirea previziunilor, planificare flexibilă și adaptabilă, reproiectarea proceselor economice, realizarea de alianțe strategice.

În prezent se constată, ca urmare a dezvoltării explozive a tehnologiilor informaționale, o incapacitate a firmelor de a beneficia pe deplin de facilitățile oferite de noile tehnologii. De asemenea, trebuie avut în vedere că nu este suficientă simpla introducere a unor noi tehnologii, ci și formarea unei noi atitudini față de utilizarea lor prin crearea unei arhitecturi informaționale adecvate.

Tehnologia informațională este cea care dă posibilitatea organizațiilor să sfârșească regulile vechi și să creeze căi noi de a lucra, adică să treacă la reengineering. În

Figura nr. 1. Cadrul general de analiză a impactului organizațional al tehnologiilor informaționale
reengineering, vechea concepție potrivit cărei prergervativele luării deciziilor sunt rezervate exclusiv managerului este înălțurată, costurile luării deciziilor pe linie ierarhică fiind prea mari pentru a mai putea fi suportate. Informațiile, la care înainte avea acces numai managerul, sunt acum accesibile unei sfere mult mai largi grație utilizării băncilor de date, iar când informațiile accesibile sunt combinate cu instrumente de analiză și modelare ușor de utilizat, lucrătorii din primele linii capată puterea de a lua singuri deciziile, problemele care apar putând fi rezolvate mult mai repede și cu mai mult succes. Dar pentru asigurarea succesului întregului proces se recomandă participarea top-down, iar reproiectarea trebuie inițiată de top manageri. Astfel, de exemplu, prin utilizarea băncilor de date se dă posibilitatea folosirii simultane a informației de către mai mulți oameni, eliberându-se astfel procesele de limitarea artificială a secvențialității. Tehnologia sistemelor expert permite unor oameni relativ puțin calificați să lucreze aproape la nivelul unor experți de înaltă calificare. Dispunând de mijloacele de comunicare fără fil a datelor, de cele în bandă largă și de calculatoare portabile, personalul de pe teren poate transmite și primi informații oriunde se află. De asemenea, utilizând TI se pot valorifica simultan avantajele centralizării și descentralizării procesului decizional în cadrul organizației. Optarea pentru un anumit grad de centralizare sau descentralizare se face în funcție de cultura organizațională, strategia aleasă etc. Astfel, o firmă care doarește o centralizare a procesului decizional va opta pentru o bază de date centralizată ce poate fi actualizată de la stații de lucru situate în diferite locuri ale organizației și legate prin intermediul unei rețele de calculatoare, iar firma care doarește descentralizarea puterii decizionale, respectiv delegarea unor decizii către angajații situați pe nivelurile inferioare, poate apela la rețele de calculatoare, tehnologia sistemelor distribuite, arhitectura client-server.

Cei mai mulți manageri știu să gândească deductiv, adică definesc una sau mai multe probleme, apoi găsesc și evaluăază diferite soluții. Aplicarea tehnologiei informaționale în re-engineering cere gândire inductivă - abilitatea ca întâi să-ți dai seama că există o soluție care poate avea impact radical și apoi să cauți problemele pe care aceasta le-ar putea rezolva, probleme pe care firma nici nu a știut că le are.

Globalizarea și extinderea pieței unice europene ne plasează într-o criză severă de timp, înscriind firmele, cu sau fără voie, într-o competiție economică acerbă. Cei care își derulează afacerile în acest context trebuie să opteze între a-și dezvolta "in house" o gamă largă de competențe absolute necesare performanței economice sau de a căuta resurse exterioare, spre a le folosi în mod eficient și pe termen scurt în procesul de management al afacerilor. Astfel, de exemplu au apărut centre de evaluare personalului on-line care se crează foarte rapid și pot intra în funcțiune imediat. Fiind sistem web, nu necesită instalarea unui program sau achiziționarea echipamentelor. La un astfel de centru aveți posibilitatea de a vă conecta în orice moment de la serviciu, de acasă, de la hotel sau din oricare altă locație unde există conexiune internet. Programarea unui candidat pentru evaluare este ușoară: accesarea, introducerea datelor sumare referitoare la candidat/angajat, iar centrul de evaluare on-line va face restul. Aceste centre pot fi utilizate și pentru evaluarea competențelor manageriale.

**Competențele manageriale** reprezintă potențialități umane valorificate ca urmare a pregătirii, experienței și capacităților personale ale managerilor sau caracteristicilor ale managerilor de a dispune de cunoștințele și deprinderile necesare realizării sarcinilor din cadrul activității de conducere. În construcția competențelor intervin trei factori: factorii personali, factorii societași și factorii organizaționali, ceea ce înseamnă că numai după o anumită experiență dobândită în practicarea profesiei, o persoană poate fi considerată competentă, capabilă să desfășoare o muncă eficientă. Desigur, competențele manageriale presupun aptitudini fundamentale, conceptuale, umane, tehnice și sunt strâns legate de exercitarea autorității formale și a statusului sub forma rolurilor manageriale: roluriinterpersonale, ca: figură reprezentativă, lider, realizator de contacte interumane,
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roluri informaționale, ca: monitor, diseminator, purtător de cuvânt, roluri decizionale, ca: antreprenor, mânuitor de disfuncționalități, alocator de resurse, negociator.

Pentru formarea și perfeționarea liderilor și pentru evaluarea competențelor manageriale sunt utilizate și sistemele de evaluare Checkpoint 360° on-line. Denumirea de evaluare 360° provine de la faptul că persoana în cauză este evaluată la 360°, adică persoana evaluată se autovalează, este evaluată de colegii de pe orizontală, subordonăți și superior. Uneori, evaluarea 360° o mai regăsim și sub denumirea de evaluare multi-sursă sau multi-evaluator. Pentru persoana evaluată, feedback-ul oferit de către mai mulți colegi devine un element motivațional. Utilizând experiențele și observațiile personale, fiecare din cei implicați în proces contribuie prin perspectiva proprie la rezultatele obținute. Evaluarea 360 este un puternic instrument de dezvoltare personală, evidențind arile critice de dezvoltare, generând pașii de urmat pentru creșterea profesională.

Tehnologia Checkpoint 360° bazată integral pe Internet face posibilă generarea instantanee a feedback-ului 360, iar acesta nu este singurul avantaj. Majoritatea companiilor utilizează la început evaluarea 360 pentru dezvoltarea angajaților. Altele încep prin a folosi sistemul 360 pentru întocmirea planurilor de dezvoltare și apoi extind utilizarea lui la luarea deciziilor salariale. Ulterior, e folosit la promovare și planificarea succesiunii, dar aceasta depinde de necesitățile fiecărei companii în parte. Prin evaluarea competențelor și abilităților manageriale reprezintă un sprijin obiectiv și esențial pentru organizațiile care au implementat managementul performanței.

O carateristică unică a sistemului Checkpoint 360 este capacitatea sa de a îndruma persoanele către cursurile de training on-line axate pe stimularea spiritului de conducere, urmate de un al doilea raport comparativ 360° în vederea monitorizării progresului înregistrat.

Sistemul Checkpoint 360° funcționează astfel:


2. Chestionarul standard CheckPoint are 70 itemi și completarea lui durează aproximativ 15 minute. Sunt acoperite competențele manageriale specifice în arii cum ar fi comunicare, leadership, adaptabilitate, relații, gestionarea sarcinilor, productivitate, dezvoltarea celorlați, dezvoltare personală.

De exemplu, pentru arile precizate anterior, elementele avute în vedere în evaluarea competențelor manageriale sunt următoarele:

**Comunicarea**

*i ascultă pe ceilalți:* Îi încurajahează pe ceilalți să-şi împărtășească ideile și preocupările. Ascoltă deschis toate punctele de vedere fără să întrerupă. Sintetizează informațiile și verifică înțelegerea acestora.

**Proceseaază informațiile:** Trece direct la subiect. Estimează argumentele pro și contra precum și consecințele pe termen scurt și lung ale deciziilor. Elaborează concluzii clare, logice.

**Comunică eficient:** Se exprimă clar, atât în scris cât și oral. Este o persoană conștiențioasă, totuși concisă și tot timpul sinceră, împărtășește bucurii/oasă informațiile celorlați.

**Leadership**

**Insuflă încredere:** Este o persoană de încredere, care își ține promisiunile și care poate păstra secrete. Este cinstită și dă dovadă de etică.

**Oferă instrucțiuni:** Stabilisește expectanțele clare, precum și o normă de lucru ce poate fi îndeplinită. Planifică etapele necesare realizării obiectivelor, concentrându-se în același timp asupra imaginii de ansamblu.

**Delegă responsabilități:** Atribuie activități adecvate persoanelor potrivite. Le conferă autoritate celorlați să munească și să-și rezolve problemele pe cont propriu.
Adaptabilitate
Se adaptează la împrejurări: Se poate adapta la diferitele stiluri de lucru ale oamenilor și la mediim variate. Analizează nereuşitele din perspectivă constructivă și anticipa ce schimbare. Gândeste creativ: Abordează munca cu imaginație, insulflă spiritul inovator, asumarea de riscuri și folosirea imaginației pentru rezolvarea problemelor.

Construirea relațiilor
Construiește relații personale: Respectă sentimentele celorlalți, nu dorește să fie implicat/ă în chestiuni necinistite și critică cu tactă, își păstrează stăpânirea de sine în situații de stres. 
Facilită succesul echipi: Soluționează conflictele într-o atmosferă de cooperare. Creează consens și îndrumă echipa spre fixarea de obiective adecvate. Face angajări eficiente și folosește înțelesul grupului.

Gestionarea sarcinilor
Lucrează eficient: Folosește în mod eficient și înțeles și tehnologia actuală și resursele externe. Evită amânările și fixează priorități. 
Demonstrează competență: Posedă o cunoaștere perfectă a regulilor esențiale ale slujbei. Poate aplica repede sarcinilor corespunzătoare noi metode și informații, dând dovadă de competență.

Acțiune
la măsuri: Știe când este momentul potrivit pentru a lua măsuri. Analizează problemele cu hotărâre și ia decizii ferme, oportune.
Obține rezultate: Învinge obstacolele pentru a obține rezultate ce fixează standarde superioare pentru ceilalți și care au impact pozitiv asupra organizației.

Dezvoltarea celorlalți
Cultivă talente individuale: Este un îndrumător eficient și face ca training-ul să fie tot timpul valabil. Oferă feedback obiectiv despre performanță având o bază oportună.

Dezvoltarea personală
Manifestă angajament: Păstrează un nivel ridicat de energie, perseverare și continuă să aibă o atitudine pozitivă.
Caută să se perfecționeze: Învață lucruri pozitive din greșeli și din critica făcută în mod constructiv. Urmărește resursele cu scopul de a se dezvolta și perfecționa pe plan profesional. Nu fixează nici o limită în ceea ce privește potențialul personal.

3. Rezultatele tuturor chestionarelor sunt prelucrate într-un raport confidențial ce conține imagini și grafice care structurează informațiile în detaliu, într-o formă ușor de înțeles. Raportul prezintă o imagine echilibrata a percepțiilor asupra abilităților unei persoane.
4. Participanții folosesc informațiile din raport pentru a stabili planuri personale de acțiune continue, folosind la maxim punctele lor forte și îmbunătățind abilitățile mai slab dezvoltate. Procesul de evaluare 360° poate fi utilizat înainte și după oportunitățile de training, măsurând astfel eficacitatea lor și beneficiile obținute.

Raportul Checkpoint 360° este conceput în vederea prezentării acestor date complexe într-o manieră simplă, coerentă și organizată. Pentru a permite o folosire facilă de către orice tip de utilizator, detaliile sunt introduse progresiv, pagină cu pagină. Pentru cei care preferă formatul-sumar, paginile introductive nu prezintă decât informațiile generale. Pentru cei care doresc toate detaliiile, sunt puse la dispoziție descrieri și statisticile complete, începând cu comparațiile dintre caracteristicile candidatului și cele ale celorlalți observatori. Raportul 360° prezintă progresiv mai multe nivele, până când toate elementele sunt clasificate. La evaluările ulterioare, utilizatorul beneficiază de rapoarte comparative ce evidențiază dezvoltarea abilităților sale în timp.

După evaluarea 360, tehnologia informațională este utilizată pentru dezvoltarea competențelor manageriale, obținându-se Diagnoza Organizațională Managerială (OMA).
Aceasta furnizează atât o sinteză a punctelor forte și a domeniilor de dezvoltare pentru întregul grup de manageri al companiei, cât și instrucțiuni pentru trainingurile de dezvoltare a abilităților manageriale. Informațiile concrete furnizate de OMA sunt următoarele:

- O sinteză cuprinzătoare pentru executiv;
- O analiză a setului de abilități critice care identifică abilitățile cele mai importante specifice companiei;
- Concordanța managerilor privind abilitățile critice;
- O expunere completă a stadiului dezvoltării managementului organizației;
- O analiză comparativă a seturilor de abilități - ce identifică prioritățile de dezvoltare din cadrul companiei;
- O analiză completă a necesităților de training din cadrul organizației.

OMA este utilizată pentru centralizarea informațiilor provenite din rapoartele individuale de feedback 360° generate pentru grupul selectat. Raportul individual de feedback identifică punctele forte și domeniile care necesită perfeclionarea în cazul managerilor.


Tehnologia groupware este un alt model organizațional, dezvoltat cu sprijinul tehnologiilor informaționale multiutilizator moderne, prin intermediul unor aplicații rețea care permit echipei de lucru să colaboreze într-o manieră facilă, facilitând comunicarea (în primul rând prin utilizarea mesageriei electronice), cooperarea (prin partajarea resurselor informaționale - de exemplu, prin integrarea mesageriei electronice cu tehnologia bazelor de date) și coordonarea între membrii grupului (prin implementarea comunicării și colaborării în structura proceselor de afaceri). Utilizând această tehnologie, managerul va comunica mult mai eficient cu membrii grupului său, groupware fiind un instrument de perfeclionare a proceselor de colaborare, care înălță dezavantajele aplicațiilor utilizator simple – izolarea utilizatorului și limitarea activității la îndeplinirea unor sarcini repetitive.

Bibliografie

Rolul informațiilor în cadrul contabilității manageriale

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Keywords: managerial accounting, information, management

Abstract: Managerial Accounting is the process of identification, measurement, accumulation, analysis, preparation, interpretation and communication of information used by management. The purpose of this process is to plan, evaluate and control within an entity and to assure appropriate use of and accountability for its resources.

În a doua jumătate a secolului al XIX – lea anumite întreprinderi, mai ales cele industriale, pe lângă lucrările contabile relative la patrimoniu și venituri încep să calculeze costurile produselor lor pentru nevoie de gestiune și în special pentru a-și defini politica de prețuri. Aceasta activitate de calcul al costurilor a apărut ca o necesitate a activității industriale, din momentul în care întreprinderile desfășurau la scară mare activități de producție, fiindu-le necesară cunoașterea costurilor, mai ales în scopuri de gestiune și pentru fixarea prețurilor de vânzare.

Informațiile oferite de contabilitatea financiară prin conținut, destinație ori moment al obținerii lor, permit doar în parte rezolvarea problemelor curente ale gestiunii unităților economice. Insuficiența lor în raport cu necesitățile de soluționare rapidă a unor probleme privind gestiunea costurilor impun organizarea celui de-al doilea circuit al contabilității, contabilitatea managerială, circuit care dispune de libertatea alegerii mijloacelor și procedeelor de informare în concordanță cu particularitățile gestiunii și cerințele concrete de informare la toate nivelurile ierarhice ale managementului întreprinderii.

“Informațiile pe care contabilitatea managerială le oferă sunt destinate celor care sunt în interiorul întreprinderii, adică acelor persoane care sunt însărcinate cu conducerea, controlul și desfășurarea activității întreprinderii.”1

În teoria și practica modernă a contabilității manageriale se confruntă două concepții generale de organizare a acesteia și anume:

• concepția organizării contabilității manageriale într-un sistem integrat cu contabilitatea financiară, denumită concepția integralistă (monistă);

• concepția organizării contabilității manageriale într-un circuit complet autonom față de contabilitatea financiară, denumită concepția dualistă.

În cadrul concepției integraliste contabilitatea managerială și contabilitatea financiară se realizează concomitent, iar scindarea rigidă a acestora. Mecanismul integrării contabilității manageriale în contabilitatea financiară este destul de delicat, deoarece presupune combinarea funcționalității sistemelor de conturi specifice contabilității manageriale cu funcționalitatea conturilor de cheltuieli și conturilor de venituri ale contabilității financiare. “Sistemul a fost aplicat în țara noastră până la 1 ianuarie 1994, fiind utilizat actualmente în țările anglo-saxone și în Statele Unite ale Americii.”

Adversarii concepției integraliste sunt de părere că aceasta este greu de aplicat datorită interferiilor înregistrărilor din contabilitatea financiară cu cele din contabilitatea managerială.

Concepția dualistă presupune organizarea contabilității manageriale într-un circuit complet autonom față de contabilitatea financiară și constă în prelucrarea distinctă a cheltuielilor și veniturilor de către cele două contabilități, fiecare dintre ele urmărind validarea obiectivelor sale specifice, putându-se merge până la organizarea și conducerea fiecărei contabilități în compartimente funcționale distincte.

În cadrul concepției dualiste, concordanța dintre contabilitatea financiară și contabilitatea managerială se asigură cu ajutorul “conturilor de reflectare”, componente ale sistemelor de conturi specifice contabilității manageriale.

Contabilitatea financiară are rolul de a genera informații publice, regăsite în documente de sinteză contabilă destinate primordial utilizatorilor externi. Bineînțeles, există și situații în care aceste informații sunt interesante și pentru managerii întreprinderii. "Standardele Internaționale de Raportare Financiară și Reglementările contabile românești conforme cu directivele europene fac referiri speciale la situațiile financiare anuale ale întreprinderii.

Acestea trebuie să conțină:
• bilanț;
• contul "Profit și pierdere";
• situația modificărilor capitalului propriu;
• situația fluxurilor de trezorerie;
• note explicative la situațiile financiare.”

Așadar, contabilitatea financiară are drept obiect consemnarea tuturor operațiunilor care influențează patrimoniul întreprinderii, cu scopul de a determina periodic și în formă sintetică rezultatele obținute.

Contabilitatea managerială a fost concepută pentru a produce și transmite informații utilizatorilor interni, atât pe verticală cât și pe orizontală, în sprijinul luării celor mai bune decizii. Datorită lipsei restricțiilor și multitudine a mijloacelor aflate la dispoziția managerilor, organizarea contabilității de gestiune poate lua forme mai simple sau mai complexe, după cum se doresc făcând calitatea informației. Absența restricțiilor ține în principal de obiectul contabilității, de confidențialitatea informațiilor și de legislația fiecărei țări cu privire la sistemul de contabilitate adoptat. Cu mai multe mijloace la dispoziție ea poate produce informații la "comandă" în timp util cu privire la consumuri și rezultate pe sectoare de activitate, pe funcții ale întreprinderii, pe produse, lucrări sau servicii executate, luând în calcul elemente mai multe sau mai puține și cu referire la perioade mai mari sau mai mici.

Implicarea informațiilor contabilității manageriale, atât în deciziile curente menite să contribuie la sporirea performanțelor, cât și în stabilirea strategiilor firmei, confirmă importanța și necesitatea unor informații prelucrate la nivel calitativ superior și oportune

3 Tabără, Neculai: op.cit. p. 13.
sub aspectul operaționalității lor în timp. Din acest punct de vedere, două caracteristici ale subsistemului informațional generat de acest circuit devin fundamentale în utilizarea lor managerială:

- dinamica, caracterizată prin viteza de adaptare în timp la nevoile utilizatorului;
- adaptabilitatea la mediu, în sensul că orice schimbare în structura organizatorică sau de altă natură a sistemului întreprinderii să poată fi urmată în timp util de o restructurare a informațiilor în raport cu noile condiții concrete apărute.

Obiectivele contabilității de gestiune (manageriale) sunt multiple datorită necesităților și situațiilor diverse care pot caracteriza o întreprindere. Cele mai importante obiective pot fi considerate următoarele:

- cunoașterea costurilor pe produs;
- cunoașterea condițiilor interne de exploatare;
- furnizarea informațiilor contabilității financiare.

Primul obiectiv care a fost mult timp considerat însuși obiectul contabilității manageriale îl constituie cunoașterea mult criterială a costurilor. Cunoașterea costurilor pe produs prezintă o mare importanță având în vedere atât motivația comercială, cât și motivația gestiunii eficiente sau alte considerente.

Din punct de vedere al motivației comerciale, un argument important pentru cunoașterea costului îl constituie fixarea prețului de vânzare. Acest argument rezistă numai în anumite condiții, pentru un produs nou sau o comandă unicat, deoarece într-o economie concurențială nu costul stă la baza formării prețurilor. Când prețurile se formează pe baza mecanismului de echilibrare a cererii cu oferta, pentru decizia de gestiune cunoașterea costurilor are o altă semnificație și importanță, contribuind la determinarea rezultatelor pe produse, lucrări sau servicii și asigurând prin aceasta decizii pertinente cu privire la optimizarea structurii opțime de producție și comercializare.

Din acest motiv, implicarea informațiilor contabilității de gestiune în deciziile care privesc portofoliu de produse are și o conotație strategică. Cunoașterea costurilor are și alte motivații, cum ar fi: determinarea valorii produselor aflate în stoc, analiza comparativă în timp și spațiu a eficienței consumului de factori de producție etc.

Al doilea obiectiv, cu o recunoaștere mai largă în literatura din domeniu îl constituie cunoașterea condițiilor interne de exploatare. Pentru cunoașterea rezultatelor, agentul economic compară permanent prețul obținut pe piață cu costul privat al bunurilor și serviciilor fabricate.

Se cunoaște faptul că diferența dintre prețul de vânzare și cost reprezintă profitul aferent bunurilor vândute. Pentru a-și apori această diferență, profitul, dacă acest lucru este obiectivul organizației, agentul economic nu poate acționa direct asupra prețului de vânzare. Rămâne de acționat asupra celui de-al doilea termen al ecuației, costul, și în consecință trebuie să cunoască mai bine și în timp util structura lui pe elemente componente, pe activități sau pe funcții.

Cunoașterea cu exactitate a costurilor pe sectoare, produse, activități, funcții contribuie la localizarea în timp și spațiu a subdiviziunilor care contribuie la ameliorarea sau dimpotrivă la degradarea rezultatelor întreprinderii.

Descompunerea costurilor pe fiecare funcție este o altă modalitate de cunoaștere a condițiilor interne de gestiune. Analiza comparativă a cheltuielilor pe funcții în raport cu anumite previziuni este principala cale de identificare a centrelor de responsabilitate performante, eficiente, precum și a celor a căror funcționare este deficitară.

Cel de-al treilea obiectiv al contabilității manageriale privește furnizarea informațiilor pentru determinarea bazelor de evaluare a unor elemente din contabilitatea financiară. Evaluarea stocurilor de producție proprie și a producției imobilizate în termeni reali este o
condiție hotărătoare în promovarea consecventă a principiului “imagine fidelă” la care contabilitatea managerială își aduce o contribuție decisivă.
Îndeplinirea în condiții optime a acestor obiective creează premisele construirii unui alt subsistem de informații cu implicații majore în pregătirea deciziilor de gestiune. În acest context, controlul de gestiune trebuie privit ca un subsistem de informații care oferă sistemului decizional suficiente elemente pertinente în soluționarea problemelor de gestiune.
Din analiza obiectivelor contabilității manageriale, rezultă că acestea sunt de natură economică și sunt concepute în interacțiunea lor ca un instrument de cunoaștere și analiză multidimensională a costurilor, stocurilor și a rezultatelor, în vederea facilitării unor decizii de sporire a performanțelor întreprinderii.
Informațiile contabilității manageriale, ca suport al deciziei manageriale însoțesc procesul managerial în toată gama de acțiuni: planificarea, lansarea de noi produse sau crearea de noi activități, selecționarea de clienți sau comenzi, substituirea factorilor de producție, controlul gestiunii în toate etapele acestui proces.
Pentru cunoașterea multicriterială a costurilor și a condițiilor interne de exploatare în vedere una gestiuni riguroase a costurilor, Planul de conturi general din România a rezervat un sistem minimal de conturi (clasa 9 – Conturi de gestiune) cu care de a gestiuni riguroase a costurilor, în vederea facilitării unor decizii de sporire a performanțelor întreprinderii.
Conturile de gestiune sunt folosite “pentru a prelua cheltuielile de exploata din contabilitatea financiară unde s-au înregistrat după natura lor, pentru a le ordona după destinație în vederea calculării costului efectiv al producției obținute, decontării acestei producții și stabilirii abaterilor costurilor efective de la cele prestabilite în scopul exercitării controlului bugetar asupra costurilor. În felul acesta, se creează independența contabilității manageriale față de contabilitatea financiară.”
Conturi din clasa 9 sunt caracterizate prin faptul că la sfârșitul exercițiului financiar ele nu apar în bilanț contabil deoarece datele și informațiile pe care le reflectă au fost deja înregistrate în contabilitatea financiară pe baza căreia se întocmește bilanțul contabil. Aceste conturi au o funcționare contabilă mai elastică în ceea ce privește debitarea și creditarea lor deoarece modul de organizare a contabilității manageriale este la latitudinea fiecărei unități patrimoniale, în funcție de specificul activității și necesitățile proprii de informare ale acesteia.
Prin aceste conturi se realizează în principal următoarele tipuri de operațiuni:
- preluarea din contabilitatea financiară a cheltuielilor de producție științifico-serviciului, reclasarea acestora pe locuri generatoare de costuri, pe purtători de costuri, pe diverse structuri tehnico-productive, iar în cadrul acestora pe articole de calculație și înregistrarea lor în conturi de calculație;
- înregistrarea, urmărirea și controlul producției efectuate în costuri prestabilite;
- determinarea și înregistrarea producției științifice pentru a fi spălat perioadele de gestiune din conturi efective;
- înregistrarea diferențelor dintre costurile efective ale producției și cele prestabilite.
“Prin obiectul său, contabilitatea managerială se circumscrie deci ca sferă de aplicabilitate la nivelul întreprinderilor”
În ultimii ani, mai ales în cadrul economiilor țărilor dezvoltate, și-a făcut apariția o nouă concepție și anume “contabilitate managerială comparată”. Originea acestei noțiuni

5 Oprea, Călin și Gheorghe Cărstea: op.cit., p. 7.
poate părea destul de simplă: studiul asemănărilor și deosebirilor între sistemele contabile nu ar trebui să reprezinte numai domeniul contabilității financiare.

Sistemele contabile sunt influențate și determinate de o serie de factori, cum ar fi: mediul economic, financiar, politic, juridic, social și cultural. Fenomenele de creștere și globalizare au determinat o creștere accentuată a necesităților de informare financiară. În aceste condiții, contabilitatea diferă prin conținut și aplicabilitate de la o țară la alta. “Contabilitatea reprezintă o construcție socială și, în consecință, reflectă caracteristicile unui grup cultural, deci societatea în care operează.”


Pentru a descrie diversele culturi contabile naționale se pot utiliza o serie de criterii sau dimensiuni, care afectează fiecare decizie luată de un individ, de o societate, cu referire specială la activitatea economică:

- **Individualismul opozabil colectivismului.** Aspectul fundamental abordat de această dimensiune se referă la gradul de independență al indivizilor în cadrul unei societăți;
- **Distanța ierarhică mică sau mare.** Distanța ierarhică reprezintă măsura în care membrii unei societăți acceptă faptul că puterea este inegal distribuită în cadrul organizațiilor. Aceasta afectează comportamentul membrilor societății. O distanță ierarhică mare semnifică o acceptare a ordinii ierarhice în care fiecare deține o poziție ce nu trebuie justificată;
- **Controlul puternic sau slab asupra incertitudinii.** În acest caz este vorba de gradul în care membrii unei societăți se simt amenintați de incertitudine și ambiguitate.
- **Masculinitatea opozabilă femininității.** Masculinitatea este dată de preferința pentru realizare, eroism, hotărâre, și succes material. Prin opoziție, femininitatea constă în predilecția pentru relații umane, modestie, grijă pentru cei slabi și calitatea vieții.

Principalele provocări ale sistemului de contabilitate managerală pot fi formalizate de următoarea manieră:

- care este obiectivul strategic al organizației?
- de ce tipuri de resurse are nevoie organizația și de unde anticipează să le obțină pe termen scurt și pe termen lung?
- există un sistem în funcțiune care să alerteze organizația în dificultate că sunt necesare măsuri corrective? Cum demonstrează întreprinderea că și-ai atins obiectivele?
- cum se evaluează și recompensează performanța managerului?
- cum afectează mediul intern și extern necesitățile informaționale?

Pentru o funcționare eficientă a sistemului de contabilitate managerală trebuie să se înțeleagă în primul rând comportamentul individual și modul în care indivizii interacționează în cadrul întreprinderii. Deși întreprinderile se adaptează continuu la modificările mediului extern, acestea trebuie să aibă un obiectiv foarte clar. Activitatea de control în cadrul unei întreprinderi trebuie să corespundă cu obiectivul stabilit, să se modifice și să se adapteze acesteia. Contabilitatea și controlul manageriale nu reprezintă tot ce implică conducerea unei entități. Deși acestea sprijină atingerea obiectivului, nu indică și obiectivele care trebuie alese. De asemenea, nu poate fi împiedicată totdeauna

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adoptarea deciziilor strategice și operationale, care pot fi încorecte, ca urmare a neînțelegării obiectivelor sau a modului în care o anumită decizie poate afecta atingerea obiectivelor respective.

Impactul fiecărei variabile culturale, considerată în mod individual, asupra contabilității manageriale nu este întotdeauna clar. Studiile economice sugereză faptul că valorile de bază care afectează sistemul de contabilitate managerială sunt gradul de individualism, distanța ierarhică și orientarea pe termen lung.

Astfel, este interesant de observat că țările asiatic, care sunt mai puțin individualiste și mult mai orientate pe termen lung, manifestă tendința alegerii unor obiective ce reflectă mai puțin rezultate, efecte imediate și corespund profilului dominant al unei piețe pe termen lung. Aceste elemente sunt reflectate de primele lucrări în domeniul contabilității financiare, lucrări pe care au avut presă culturală și practică raportării financiare.

La fel ca și alegerea obiectivelor, procesul de bugetare poate varia de la țară la țară. Societățile colectiviste tină să realizeze planificări și recompensă la nivel de grup, în timp ce, în cazul culturilor individualiste, se pot stabili o serie de bugete care, împreună, devin un contract ce pune în relație performanța și recompensa la nivelul fiecărui individ.

Nivelurile de participare la procesul bugetării pot fi determinate prin ajutorul dimensiunii distanței ierarhice. O societate cu o distanță ierarhică mare este aceea în care cei conduși acceptă și așteaptă ca puterea să vină de la nivelurile superioare. Acest lucru pare să obstrucționeze procesul de bugetare participativ, mai ales în societățile unde puterea este distribuită într-un mod mai echilibrat. În această situație este posibil ca feedback-ul să fie diminuat.

În ceea ce privește evaluarea performanței, recompensarea grupului, mai des întâlnită în societățile colectiviste, apare mai greu, astfel că planificarea poate fi realizată cu ușurință pe termen mai lung. În cele din urmă, dacă necesitatea de a imputa ceva sau de a recompensa un individ anume dintr-un grup sau organizație este mai mică, atunci și necesitatea de a defini care parte a bugetului este controlabilă de un anumit compartiment sau persoană este proporțional mai redusă. Noțiunile occidentale de verificare și evaluare a contabilității manageriale se bazează pe ipoteza că individul este responsabil și poate fi culpabilizat.

Referințe
Dezvoltarea turismului în județul Bacău

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Keywords: natural and anthropic touristic potential, evolution of the tourism

Abstract: The work illustrates the natural and anthropic touristic potential of the Bacău department. Within this context there is analyzed the evolution of the tourism in Bacău during the year 2005 by comparing to the previous years.

Sitat în zona de răsărit a țării, teritoriul județului Bacău se desfășoară în bazinul hidrografic al râului Trotuș, pe cursul inferior al Bistriței și pe cel mijlociu al Siretilui, de pe culmile munților Trotuș - Oituz în vest, până pe interfluviile dintre râurile Zaleț, Pereschin și Tutova în est, ocupând aproximativ 6.606 km2, 2,8% din suprafața țării, încadrându-se din acest punct de vedere între județele mijlocii ale țării.

Structura geografică complexă reflectată în varietatea formelor de relief, a nuanțelor climatice, rețeaua hidrografică bogată și nivelul vegetal diversificat sunt doar câțiva dintre factorii naturali care, alături de cei antropici, au oferit condiții favorabile dezvoltării turismului în cadrul județului Bacău.

Dar ce este turismul?
Este o componentă esențială a sectorului serviciilor destinate populației, o ramură cu potențial foarte mare de dezvoltare. Acesta se înscrie în sectorul terțiar al economiei naționale, fiind constituit, în principal, din prestații de servicii, ceea ce determină o dinamică ridicată, firească în condițiile civilizației contemporane.

Surprinzător că astăzi, ca și altă dată, foarte puțini din cei cu putere de decizie la nivel național, precum și dintre investitorii sunt conștienți că pentru România turismul reprezintă cea mai mare afacere, o posibilitate de relansare a economiei; ar trebui învățat din experiența altor țări.

Căci nivelul de dezvoltare și civilizație este dat în mare măsură de nivelul de dezvoltare a sferei serviciilor oferite populației, dintre care evidențiez serviciile de turism ca o parte cu o pondere semnificativă în PIB-ul țărilor dezvoltate.

Iar România, în 1990, avea o bază materială creată în turism, care, pentru a fi valorificată eficient, se impunea să fie îmbunătățită calitativ, mai ales prin privatizare, din
punctul de vedere al conceptului de produs turistic și al managementului din ramura de turism-servicii. Doar prin privatizare, investiții și creșterea calității serviciilor prestate turistilor se puteau crea premisele asigurării de servicii adaptate nevoilor reale ale populației.

Realizarea unui sistem privatizat 100%, cu susținerea prin măsuri adecvate a tendinței de diversificare și îmbunătățire a calității, ar fi trebuit să constituie o preocupare permanentă a programelor și strategiilor naționale de dezvoltare a turismului românesc, având în vedere faptul că acest sector deținea o bază materială semnificativă, iar potențialul natural este foarte bine aspectat.

Dar să ne întoarcem la județul Bacău.

_Potențialul turistic_ al județului reprezintă elementul fundamental în crearea ofertei turistice.

În cadrul acestuia, _potențialul natural_ are un rol principal în dezvoltarea turismului și înregistrează o mare varietate și complexitate, dată fiind diversitatea componentelor cadrului natural, ca atracții turistice și resurse potențiale.

Relieful județului Bacău prezintă interes atât prin valoarea sa peisagistică, dar mai ales prin aceea că oferă posibilități de amenajare și dotare turistică, chiar dacă nu beneficiază de culmi muntoase cu înălțimi deosebite, cheie, litoral ori deltă.

Fără a avea pretenția că evidențiază toate atracțiile turistice generate de relieful județului, aduc ca argumente apei minerale de la Slănic - Moldova, apei minerale de tip mixt, bicarbonatate, clorurate, sodice, sulfuroase, cu o mare valoare terapeutică, mai mult decât  cea de pe litoral sau de pe munții înalți, care supune organismul unor solicitări mai mari în vederea aclimatizării. Nu poate fi ignorat bioclimatul sedativ, de cruțăre, cu ușoare nuanțe de stimulare din zona subcarpatică a județului, precum și microclimatul specific al ocni de sâră de la Târgu Ocna, recomandate în afecțiunile respiratorii și profesionale.

Vegetația și fauna se asociază altor componente de peisaj, completându-le. Astfel, în județul Bacău întâlnim unele plante și asociații vegetale rare (papucul doamnei, tulichina), precum și animale occrotite prin lege (râsul, corbul, cocoșul de munte).


În județul Bacău, în categoriile principale de potențial natural generator de turism trebuie să evidențiem Carpații Orientali și factorii naturali de cură balneară.

Alături de potențialul turistic natural, județul Bacău beneficiază și de elemente de _potențial antropic_, derivând din istoria multimilenară și bogată a populației din zonă și în realizările economice și sociale mai vechi sau mai noi ale acestuia.

Astfel, județul Bacău este deținător al unui bogat tezaur de vestigii arheologice, monumente istorice, de artă sau arhitectură, ca și al unui inestimabil patrimoniu etnofolcloric, care așteaptă a veniția și pierderea pe aceste meleaguri, dezvoltarea culturii și artei poporului român. Tot acest fond cultural – istoric formeză parte semnificativă a ofertei turistice a județului Bacău pe piața națională și internațională.
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Bacău diverse au fost preferate de 1,9% din turii au preferat acelasiul al XV-lea;
- biserici de lemn din secolul al XVIII-lea, interferență a artei culte cu cea populară, simbioze ale spiritualității medievale românești (Merișor-Scorțeni, Tisa Silvestri, Ciolpani, Tișești – Târgu Ocna, Soci, Zlătari etc.);
- castelul Ghica din Comănești, cu o arhitectură de o măreție și grandioare deosebite;
- gara Comănești – monument de arhitectură, copie fidelă a unei gări din Italia;
- castelul familiei Știrbei, situat în vecinătatea localității Dârmănești, cel mai mare monument din județ.

Dintre așezările băcăuane, Târgu Ocna păstrează cel mai bine vechile construcții orășenesti ridicate la mijlocul veacului trecut, cu arhitectură specifică târgurilor de odinioară.

Aș mai menționa și casele memoriale din județul nostru: George Bacovia, Nicu Enea, Grigore Tăbăcaru (Hemeiuș), Ion Borcea (Racova), Ion Ionescu de la Brad (Negri), Vasile Pârvan (Huruești).

În ceea ce privește lucrările de artă plastică, în județ se găsesc peste 60 de statui și busturi ale unor personalități care își au originea, au trăit sau doar au trecut pe meleagurile băcăuane.

Am prezentat doar o parte din oferta turistică naturală și antropică a județului Bacău, fără a mă opri la etnografie sau la instituțiile de cultură și aș sublinia că, formele de turism cu ponderea cea mai mare în județ sunt cele de tratament (Slănic Moldova, Târgu Ocna, Poiana Sărată și Sârata Băi), de circulație (Bacău situându-se pe artera europeană E85 care leagă sudul țării, Giurgiu - București de zona de nord, Suceava-Siret), de odihnă și de sfârșit de săptămână.

În acest context am analizat activitatea agențiilor de turism și a unităților de cazare turistică din județul Bacău, în anul 2005, folosind informații din baza de date a Direcției Județene de Statistică.

În anul 2005, în județul Bacău, au funcționat 11 agenții de turism cu licență (10 în municipiul Bacău și una în Onești). Din acestea doar 6 au oferit servicii turistice externe, numărul cel mai mare al acestora înregistrându-se la agențiile Inter Tour și Lilans Tours.

În anul 2005 numărul turiștilor participanți la acțiunile organizate de agențiile cu licență din județul Bacău, care au avut activitate turistică, a fost de 53.011 din care 48.641 au preferat acțiunile turistice interne (91,8%) și 4.370 au preferat acțiunile turistice externe (8,2%).

Acțiunile turistice interne de minim 4 zile dețin ponderea cea mai mare, de 81,7%, fiind urmate de acțiunile turistice interne între 1 și 3 zile (9,9%) și de cele fără înnoptări (8,2%). Din totalul turiștilor participanți la acțiunile turistice interne, organizate de agențiile de turism din județ, 57,8% au preferat zona litoralului românesc, 19,4% au vizat orașele din zona montană, 7,5% stațiunile balneare, 6,6% s-au orientat spre satele și traseele turistice din zona montană, 2,8% au preferat alte zone și tot 2,8% zonele istoric-geografice diverse au fost preferate de 1,9% din turii și 1,2% au preferat zonele de pelerinaj religios.

La acțiunile turistice interne de durata de minim 4 zile ponderea cea mai mare a turiștilor participanți la astfel de acțiuni s-a înregistrat în zona litorală (70,3%). La acțiunile turistice interne cu durata de 1-3 zile ponderea cea mai mare s-a înregistrat în zona montană (26,8%), iar la acțiunile fără înnoptări numărul cel mai mare s-a înregistrat în zona stațiunilor balneare (21,4%).
La acțiunile turistice externe au participat în anul 2005 un număr de 4.370 turiști. Dintre țările vizate de turiștii români cea mai preferată a fost Grecia (30,9% din numărul total al turiștilor participanți la acțiunile turistice externe), urmată de Italia (16,1%), Turcia (8,1%), Regatul Unit (7,6%), Franța (4,4%), Polonia (4,2%), Spania (2,8%), Bulgaria (2,8%), Republica Moldova (2,7%), Egipt (1,9%).

În anul 2005 durata medie a unei acțiuni turistice interne a fost de 7,0 zile, durata cea mai mare a sejurului înregistrându-se în orașele montane (13,9 zile), în zona litorală sejurul a fost de 5,9 zile, în zona stațiunilor balnear de 5,3 zile. În satele și traseele turistice din zona montană sejurul a fost de 4,7 zile, în alte zone de 2,5 zile, în timp ce în zonele istorice turiștii au stat 1,4 zile, în cele de pelerinaj religios 1,3 zile, iar în circuitele diverse 1,1 zile.

Durata medie a unei acțiuni externe în anul 2005 a fost de 7,5 zile. În Brazilia s-a înregistrat cel mai mare sejur: 25,0 zile. În Australia turișii au stat în medie 15,7 zile, în China 14,0 zile, 10,2 zile în Regatul Unit și 10,0 zile în Albania. În Egipt durata medie a unui sejur a fost de 9,4 zile, Franța a fost vizitată în medie 8,9 zile de către turiști români, 8,3 zile în SUA, 8,1 zile în Malta, 8,0 zile a fost durata medie a sejurului în Turcia, Tunisia, Elveția și Croația, iar durata medie a unui sejur în Ungaria a fost de 7,1 zile, 7,0 zile în Austria, Cipru și Maroc, 6,0 zile în Germania și Cehia, 5,5 zile în Spania. În celelalte țări s-au înregistrat sejururi mai mici.

În comparație cu anul 2004, numărul turiștilor participanți a scăzut cu 1.419 turiști (-2,6%), fapt datorat scăderii numărului de participanți la acțiunile externe cu 4,5% și la acțiunile interne cu 2,4%. Pe tipuri de acțiuni turistice se constată o scădere a numărului participanților la acțiunile turistice fără înnoptări (-54,0%), în timp ce la acțiunile turistice între 1 și 3 zile s-a înregistrat o creștere cu +17,8% și la acțiunile de minim 4 zile cu +7,6%. Durata medie a unei acțiuni turistice a scăzut în anul 2005 față de 2004 cu 7,9%, iar la cele externe a crescut cu 1,4%.

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<tr>
<th>Activitatea agențiilor de turism</th>
<th>Anul 2005</th>
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<td></td>
<td>Număr participanți</td>
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<td></td>
<td>persoane</td>
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<td>TOTAL, din care:</td>
<td>53.011</td>
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<tr>
<td>Externe</td>
<td>4.370</td>
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<td>Interne</td>
<td>48.641</td>
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<td>- de minim 4 zile</td>
<td>39.735</td>
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<td>- între 1 și 3 zile</td>
<td>4.864</td>
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<td>- fără înnoptări</td>
<td>4.042</td>
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În 2005, în județul Bacău au funcționat 33 unități de cazare turistică oferind în medie un număr de 2621 locuri de cazare lunar. Numărul cel mai mare de unități de cazare a fost înregistrat în stațiunea balneoclimaterică Slănic Moldova: 7 unități de cazare (3 hoteluri, 3 vile și o pensiune agroturistică), structuri de primire turistică ce au oferit în medie 791 locuri de cazare.

În analiza statistică a unităților de cazare turistică un indicator important îl reprezintă indiceii de utilizare a capacității de cazare turistică în funcțiune, care se calculează ca raport procentual a numărului de înnoptări realizate și capacitatea de cazare turistică în funcțiune, din perioada respectivă. Capacitatea de cazare în funcțiune (exprimată în locuri-zile) reprezintă numărul de locuri de cazare puse la dispoziția turiștilor de către structurile de primire turistică, în cursul perioadei respective, ținând cont de numărul de zile cât acestea sunt deschise în perioada considerată (sunt excluse locurile din camerele sau structurile închise temporar din lipsă de turiști, pentru reparații capitale sau din alte motive).
În anul 2005 indicele de utilizare netă a locurilor de cazare pe tipuri de structuri de primire turistică a fost pe total de 36,0%, peste acest indice situându-se hotelurile cu 42,8%, în timp ce celelalte structuri de cazare turistică au înregistrat indici mai mici. Astfel, în vilele turistice s-a înregistrat un indice de utilizare netă de 33,1%, în pensiunile turistice urbane de 31,7%, în hostele de 22,6%, în moteluri de 21,8%, în tabere de elevi de 19,7%, în pensiuni turistice rurale și agroturistice de 14,1% și în popasuri turistice de 11,8%. În ceea ce privește acest indice de utilizare netă a locurilor de cazare pe zone turistice, precizăm că în stațiunea balneoclimaterică Slănic Moldova indicele a fost în anul 2005 de 56,8%, în orașele reședință de județ 30,5%, în stațiunile din zona montană a județului nostru de 13,4%, iar în celelalte localități și trasee turistice indicele a fost de 26,7%.

În anul 2005, în județul Bacău, au fost caznați un număr de 121.449 turiști, din care 109.141 turiști români (89,9%) și 12.308 turiști străini (10,1%). Numărul cel mai mare de turiști caznați s-a înregistrat în hotelurile din județ respectiv 96.573 turiși reprezentând 79,5% din total, iar în pensiunile turistice urbane s-a înregistrat numărul cel mai mic, respectiv 999 turiști, ceea ce reprezintă 0,8% din total. Un număr mare de turiști au fost caznați în moteluri (7.092 turiși, respectiv 5,8%), în pensiunile turistice rurale, inclusiv agroturistice (6.392 turiși, respectiv 5,3%), în vile turistice (4.500 turiși, respectiv 3,7%), în taberele din județ (3.334 turiși, respectiv 2,7%), în hotel (1.391 turiși, respectiv 1,2%) și în popasurile turistice (1.168 turiși, respectiv 1,0%).

Pe localități, numărul cel mai mare de turiști s-a înregistrat în Slănic Moldova (46.183 turiși, reprezentând 38,0% din total), urmat de municipiul Bacău (41.374 turiși, reprezentând 34,1%) și la mare distanță municipiul Onești (12.812 turiși reprezentând 10,5% din total). Din categoria celorlalte localități menționăm că a fost cazat un număr mare de turiști: în Târgu Ocna (5.590 turiși), Oituz (4.370 turișă), Hemeiuşi (1.996 turiși) și Comănești (1.926 turiși).

La nivelul județului Bacău s-a înregistrat în anul 2005 un număr de 351.525 înnoptări, din care 321.274 au fost români (91,4%) și 30.251 au fost străini (8,6%). Numărul cel mai mare de înnoptări s-a realizat în hoteluri (289.945 înnoptări reprezentând 82,5% din total), în timp ce numărul cel mai mic de înnoptări s-a realizat în popasurile turistice (1.801 înnoptări, reprezentând 0,5%). Pe primele locuri se situează stațiunea Slănic Moldova cu 160.708 înnoptări (45,7% din total) urmată de municipiul Bacău cu 69.041 înnoptări (19,6%), orașul Târgu Ocna cu 47.385 înnoptări (13,5%), municipiul Onești cu 32.663 înnoptări (9,3%), comuna Oituz cu 10.460 înnoptări (3,0%), comuna Mărgineni cu 9.828 înnoptări (2,8%), orașul Dârmănești cu 6.869 înnoptări (2,0%), orașul Comănești cu 4.378 înnoptări (1,2%), comuna Hemeiușă cu 2.443 înnoptări (0,7%), ordinea descrescătoare a celorlalte localități fiind: Nicolae Bălcescu, Sânduleni, Tescani, Dofteana și Asău.

La nivelul județului Bacău s-a înregistrat în anul 2005 în medie un sejur de 2,89 înnoptări / persoană.

Pe tipuri de unități de cazare, în anul 2005, s-au înregistrat în tabere pentru elevi 6,96 înnoptări / persoană, apoi în vile turistice 3,03 înnoptări / persoană și în hoteluri 3,00 înnoptări / persoană, sejururi mai mari decât media pe județ.

Sejur mai mic decât media pe județ s-a înregistrat în următoarele unități de cazare: în pensiuni turistice urbane (2,32 înnoptări / persoană), în popasuri turistice 1,60 înnoptări / persoană, în pensiuni turistice rurale (inclusiv agroturistice) 1,50 înnoptări / persoană și în moteluri 1,24 înnoptări / persoană.

Pe localități, sejurul cel mai mare s-a înregistrat în orașul Târgu Ocna cu 8,48 înnoptări / persoană, în timp ce la Dârmănești 6,86 înnoptări / persoană, în tabăra de la Mărgineni 5,15 înnoptări / persoană, în stațiunea balneară Slănic Moldova 3,48 înnoptări / persoană și la Tescani 3,18 înnoptări / persoană. Sejururi mai mici s-au înregistrat în localitățile: Onești 2,55 înnoptări / persoană, Oituz 2,39 înnoptări / persoană, Comănești 2,27 înnoptări / persoană, Măgura 2,15 înnoptări / persoană, Nicolae Bălcescu 2,07
înnoptări / persoană. Bacău, 1,67 înnoptări / persoană, Asău, 1,13 înnoptări / persoană, Sănduleni, 1,07 înnoptări / persoană și Doftana, 1,01 înnoptări / persoană.

Comparând anul 2005 cu anul 2004 se constată o creștere a numărului turiștilor care au vizitat județul Bacău cu 7.691 persoane (+6,8%), determinată de creșterea numărului de turiști români (+9.471 persoane) în timp ce numărul turiștilor străini a scăzut cu 1.780 persoane. Creșterea numărului de turiști care au vizitat în anul 2005 județul Bacău a fost determinată în special de creșteri semnificative ale numărului de turiști care au vizitat Slănic Moldova (+13.086 persoane), în celelalte orașe înregistrându-se, în general, scăderi respective la Bacău (-2,133 turiști români).

Față de anul 2004, numărul de înnoptări a înregistrat o scădere cu 17.068 înnoptări (-4,6%).

În ceea ce privește sejurul mediu al turiștilor se constată o scădere de la 3,24 înnoptări / persoană în anul 2004 la 2,89 înnoptări / persoană în anul 2005.

S-au înregistrat scăderi la următoarele unități de cazare: pensiuni turistice rurale și pensiuni agroturistice (-21,8%), vile turistice (-12,7%), moteluri (-10,6%), tabere (-3,4%) și popasuri turistice (-1,8%). Creșterea a acestui indicator s-a înregistrat la pensiuni turistice urbane (+29,4%) și la hostel (+3,2%).

Analizat pe localități acest indicator a înregistrat scăderi în stațiunea Slănic Moldova (-31,8%), creșteri în municipiul Onești (+9,0%), pe total alte localități (+3,6%) și în municipiul Bacău (+1,8%).

### Tabelul nr. 2

**Activitatea unităților de cazare turistică**

<table>
<thead>
<tr>
<th>An 2005</th>
<th>Total județ</th>
<th>Turiști caziți</th>
<th>Innoptări</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Total persoane</td>
<td>Români</td>
<td>%</td>
</tr>
<tr>
<td>Total județ</td>
<td>121.449</td>
<td>109.141</td>
<td>89,9</td>
</tr>
<tr>
<td>Hoteluri</td>
<td>96.573</td>
<td>84.893</td>
<td>87,9</td>
</tr>
<tr>
<td>Hosteluri</td>
<td>1.391</td>
<td>1.288</td>
<td>92,6</td>
</tr>
<tr>
<td>Moteluri</td>
<td>7.092</td>
<td>7.070</td>
<td>99,7</td>
</tr>
<tr>
<td>Vile</td>
<td>4.500</td>
<td>4.174</td>
<td>92,8</td>
</tr>
<tr>
<td>Pensii turistice urbane</td>
<td>999</td>
<td>990</td>
<td>99,1</td>
</tr>
<tr>
<td>Pensii turistice rurale și pensii agroturistice</td>
<td>6.392</td>
<td>6.224</td>
<td>97,4</td>
</tr>
<tr>
<td>Popasuri turistice</td>
<td>1.168</td>
<td>1.168</td>
<td>100,0</td>
</tr>
<tr>
<td>Tabere</td>
<td>3.334</td>
<td>3.334</td>
<td>100,0</td>
</tr>
</tbody>
</table>

| | Din total județ, pe localități: |
| | Slănic Moldova | 46.183 | 45.305 | 98,1 | 878 | 1,9 | 160.708 | 156.173 | 97,2 | 4.535 | 2,8 |
| | Bacău | 41.374 | 32.140 | 77,7 | 9.234 | 22,3 | 69.041 | 50.123 | 72,6 | 18.918 | 27,4 |
| | Onești | 12.812 | 11.523 | 89,9 | 1.289 | 10,1 | 32.663 | 28.207 | 86,4 | 4.456 | 13,6 |
| | Alte localități | 21.080 | 20.173 | 95,7 | 907 | 4,3 | 89.113 | 86.771 | 97,4 | 2.342 | 2,6 |

În concluzie, deși beneficiiază de un potențial natural și antropic semnificativ, turismul băcăean a cunoscut în ultimii ani o evoluție negativă, care nu poate mulțumi, cu atât mai mult cu cât acesta ar avea condiții să concure la relansarea economico – socială a județului.

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Ethics in Efficient Management

Configuration

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Keywords: real organizational ethics, management, organization, efficiency, sustainable competitive advantages

Abstract: The paper deals with an important intersectorial aspect: ethics involved in economics, more precisely, in the field of modern management. The core of the subject regards the fact that ethics is a body of principles about human conduct governing the behavior of individuals or/and groups. Ethics arises from human nature and it is perceived as a set of main rules and norms, which a human being follows in his/her activities. In this respect, the ethics principles are very useful to defining the good and bad aspects, components within complex and various human interactions. Therefore, we consider that ethics becomes the background for the acknowledgement of human conduct in society, or in particular, within an organization. Nowadays, ethics principles have a relevant and profound influence on modern management, reshaping the management theory.

The famous Pareto Efficiency applies in managerial action and this is one argument used in our paper to explain the power of ethical principles that will improve performances in any organizational structures.

We analyze and underline that ethics is much more than a collection of values and it depends on the personality and bio-structure of each person. Exactly like in SWOT analysis, we deal with poor (weak) ethics and with good (strong) ethics. Organizations, of any kind, need ethics quality in order to inspire and improve superior reasoning, but first of all, performance. In our case, when managers understand how ethics makes them and their business better, their role changes permanently. We have real organizational ethics, representing a rational process, specific to management in order to explore the decision moment and behaviour alternatives.

Generally speaking, Ethics are considered moral philosophy, including the study of values and customs concerning persons or groups. From their composition, for our purpose, important are normative ethics (regarding how to determine ethical values) and applied ethics (the use of ethical values).

Thomas Donaldson¹ and Lee Preston distinguish between these two forms, different kinds of participative theory, such as:

- normative participating form, arguing the motives that corporate organizations would take into account about the different interests of the rest of participants;

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• *descriptive and instrumental participating* form, which are trying to establish whether corporations really take into account the interests of the rest of participants, or of the stakeholders.

Discussing about *normative ethics*, these types are an attempt to arrive at general moral standards that tell us how to live moral lives, even within an organization. This point of view may involve articulating the character of good habits that we, all of us, should acquire, the duties that we should follow, also the consequences of our behaviour in communities on ourselves and others.

Three main approaches to *normative ethics*:

1. **Descriptive ethics**, which are strictly derived from observation of actual choices made in practice. From this form emerge *Ethical codes*, important and compulsory acts applied by various organizational structures or groups. The activity of *real organizations*, the *observation of actual choices and human behaviour*, are the source for this type of ethics. In the specific literature, for a better understanding of the concept, *ethics* is more viewed as a summary of *common sense*, strictly linked to economic and social facts and decisions. This, in opposition with Bernard Crick’s opinion considering, in a social view, that *politics is the only applied ethics*, because *applied ethics* is used in determining *public policy* implementation.

**Ethics** lead to several distinct and interrelated fields of *applied form*, the most important one being *business ethics*. *Ethics* in each corporation is dealing with multiple individual characters and agendas, incorporated in the values performed by the firm (responsibility, social protection, motivation, even the interest for family and sexuality problems of the employees….), in order to accomplish the 5 *management functions* and to ensure the existence and sustainability of the firm on the market.

Continuing the logic of the facts, the social corporate responsibility is based on a *quadrupartite model* including:

a. The first level (from the basement), *economic responsibilities*;

b. The second level, *legal responsibilities*;

c. The third one, *the ethics responsibilities*;

d. The last level, the fourth, *philanthropy responsibilities*.

In the third level, the firm (corporation) is dealing with the compulsory actions of justice, equity, correctness, regarding the business and social environment, even is not obliged, by law, to do these. Important is to see and to manage all the exogeneous expections which could affect the organization.

Furthermore, exactly like in SWOT analysis, we deal with *poor (weak) ethics* and with *good (strong) ethics*. The first form can be extremely damaging to organizational performance, especially when activity is placed on risk and the organization becomes vulnerable because of the barriers existing between the organization and its environment.

**Good ethics** have a powerful and surprisingly positive effect on the organization existence and results. Communication improve, also capabilities, which coupled with additional information, is an authentic strategic advantage in any business or organizational structure.

**Organizations**, of any kind, need *ethics quality* in order to inspire and improve superior reasoning, but first of all, *performance*. All depends on human nature and, through it, we can speak about greater levels of innovation, a good teamwork, and in the final, *sustainable competitive advantages* in the open and competitive economy of today.

We have to see and managers also, an economic entity not only from the economic point of view, only by *maximization the profit* (the reason to exist of each firm), but also

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from the social and environmental points of views. **SWOT analyses** is very indicated in choosing the better strategy of the firm (corporation), when **Strengths**, determined by the values shared within the organization, overpass the **Weaknesses** and block the **Threats**.

In consequence, we have to underline, in the core of **business ethics**, that **Ethics** and **Organizational Culture** are closely related in entities with strong human interactions and with an improving **quality management**. There are of the same sense, but **Ethics** are the main factor influencing the entire set of the capability improvement process. Therefore, the organizational management succeeds only if it takes into account organizational culture and the collective efforts (or endogenous efforts).

For example, Edward Freeman\(^3\) focuses the analysis on the **Social Responsibility of Corporations**, based on participative theory. The main idea is that any corporation is managed **not only on behalf of its own shareholders, but also taking into account the interests of a large number of social groups or stakeholders, interested in the good running of the firm (corporation)**.

The human quality of the staff and personnel may lead to the improvement of the **Total Quality Management (TQM)**, because people’s integrated efforts, absorbed by organizational culture, become efficient by bringing initiatives and goals into actual facts. In this case, management gets an overwhelmed importance to ensure the well-being of entire economic and social entity.

**Quality** in this managerial form requires ethics, as a significant part of a SWOT analysis, as we already affirmed. But also technical process capability improvements can influence ethics, in some cases even disturbing communications or leading to ethics failure or destruction of the organization (see Enron or Arthur Andersen cases). A well designed and implemented ethics within a successful culture, that’s the key for progress and prosperity.

**In conclusion**, the new role and new paradigm of management (i.e. **the modern paradigm of the firm**) implies the managers’ activities on behalf of all departments, all hierarchical levels, of all employees.

But, it has to be a set of values, a model or an ethical code of corporatist governance, through which the decisional factors assure the equilibrium between the interrelations and the well-functioning of the firm and the movement and interests of the other competitors on the market. Therefore, the scope is to realize a sustainable long-run entity, rather than to pursue the simple **profit maximization**.

The real organizational ethics is slightly different from the theoretical approach, because it goes beyond personnel ethics and even values shared by organizational culture. It means the capacity of the manager or decision maker is to understand and to reveal real ethics in organizational multi-level, as a collective undertaking and to act on the behalf of entire structure and corresponding to behaviour and needs in organization. This is an efficient way, the line of action chosen, to prevent threats or bad things and to improve strong points and to attend the goals proposed.

**References**


The Decisive Factors of the Organization Culture

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Keywords: the organization culture, the iceberg concept, the determinant factors (internal and external factors)

Abstract: The organization culture is a mixture of elements, conscious and unconscious behaviours, of relations and interhuman attitudes formed along the years, which directly influence the running and the performances of the organization. We have to take into consideration that each culture reacts in a different way to the same issue, and, equally important, we have to consider that individuals can fit in a certain culture or not.

The organization culture is influenced by a series of internal and external factors; these make their important contribution to the setting and shaping of the organization’s culture.

The organization culture represents one of the management fields of present interest, with a relatively recent history. The concern for this type of culture is mostly due to the performances of the Nippon organization, performances that can be explained through their specific culture.

According to many experts in management, there can be determined four categories of cultures: national, economic, on activity branches and the organization culture. The most important and the most studied of these are: the national culture (the defining element for a nation, the element that individualizes it, marking at the same time its evolution) and the organization culture (the component and the major determinant of normality and of the organization’s evolution).

A great number of management experts have defined the organization culture in different ways.

Thus, B. Schneider argued that the organization culture is rendered by “the ensemble of strategies, techniques and ways the management of a company sends, the rules, norms and the system of values it wishes to implement”¹.

The organization culture is reflected in “the ideas and the organizations and its members’ own way of action, a commercial society, an association or a public institution.

The culture of an organization is a code of behaviours developed throughout its existence\(^2\).

Schwartz suggests the following definition of the culture of an organization: “the totality of convictions and expectations of an organization’s members that lead to the establishing of some behaviour norms”\(^3\).

It is known the fact that there is a relationship between the organization culture and the obtaining of the competitive advantage on the market and, at the same time, the knowledge of this culture’s elements is necessary in practising the modern management. Due to Nippon firms' performances, recorded after the second World War (Japan reached the highest rate of economic growth and the lowest level of unemployment after major losses during the war, without two many natural resources and with a numerous population) the American and West-European specialists interpreted the Japanese success from the cultural point of view, presenting culture as a main factor of the organization’s economic development and durability.

It is difficult to define the organization culture and for this reason there is not a unanimously accepted definition in the specialty literature; yet, all attempts to define the organization culture have as a starting point the human resource. People join within the organization, they come from different environments, with ideas, convictions and feelings that are imparted to others, enriched or replaced by means of customs and rules that exit within the organization. The organization culture is the result of the combination of ideas, feelings, convictions, beliefs, norms and rules.

Organizations must know and understand their own culture because it can help them render their activity efficient; owing to this fact, it has been discussed lately about the culture analysis (culture audit). In our country, the first study on culture research at the organization level was done in 1997\(^4\). The findings were influenced by the mentalities, values and attitudes characteristic to the transition situation.

The culture of an organization can be compared with an iceberg that cannot be seen entirely, but that must be considered as a whole, due to its visible and invisible components. Most of the times, knowing the invisible part becomes more important in order to become successful in the economic environment.

\[\text{Fig. no.1 The iceberg concept of the organization culture}\]

The organization culture is influenced by both internal and external factors, as shown in figure no. 2.

A. Internal factors:

- **The organization’s founders** – they attract persons who share their vision. With the passing of time, the organization develops, the employees’ number increases and thus the “educational learning” process takes place where there come up and there are implemented cultural elements supported by the founder. This last mentioned is the creator of the organization culture and, at the same time, he/she is influenced by the organization’s characteristics;

- **The organization’s history and tradition** – it is a powerful factor of shaping the organization culture. If the organization has a longer and more complex existence, the influence is even more visible. The organization’s members remember and tell past events, sending at the same time symbolic messages for the new employees; these messages are sent orally, from one generation to the next. History offers perenniality, image and power of influencing of the organization culture elements, giving a sense of stability to the organization;

- **The dominant leader** – he is a model for his employees. The source of his power consists of his own cultural basis, beliefs, values, norms, attitudes and behaviours he believes in and takes into account in all his actions. Due to his personal qualities (skills, competences, intuition, motivation etc.), social relationships, the knowledge of the business and people he collaborates with, the leader is a credible person, he/she inspires sympathy, tries to solve problems without blaming anyone, and, possibly, the most important aspect, “he/she draws people after him/herself”;

- **The organization owners** – can be represented by a person or by a smaller or bigger group of persons and/or organizations. When a property is owned by a person or a smaller group of persons, the influence is very powerful. If the property shared among a great number of shareholders, their influence is reduced, increasing thus the managers’ influence;

- **The organization’s managers** – influence the culture through their personality, their level of education and training, professional experience, the practiced management style, the social environment they come from. Each manager adopts all along his career diversity of behaviours and attitudes specific for business management; these are influenced by the characteristics of his personality and are perceived as such by each collaborator and employee. These behaviour and attitude particularities of managers lead to different style that have as effect, in the same environmental conditions, different performances of the competitive organizations’ functioning;

- **The organization’s human resources** – influence the culture by number, training, age, sex, social status, temperament, intellectual and physical capacities, different needs and expectations, personal objectives, etc. Organizations entail people and depend on people’s effort. The essence of each organization is the human effort, and its efficiency is greatly influenced by the behaviour of the people inside the organization. Therefore, the organizations’ success, their progress depend more and more on the quality of human resources, by their creativity level, people being the most precious asset of an organization. Thus, in the last few years many organizations have shown a high concern on the total quality of activities, as not only the quality of products and services matters, but also the quality of people in the organization. The managers’ role is to harmonize values, beliefs, individual symbols with those promoted in the organization;
The determinant factors of the organization culture

Internal factors:
- Organization's founders;
- Organization's history and tradition;
- Dominant leader;
- Organization's owners;
- Organization's managers;
- Organization's human resources;
- Organization's dimension;
- The expectations of the organization's personnel;
- The used techniques and technologies;
- The information technology;
- The offered products and/or services;
- Organization's resources;
- Management system;
- The organization's economic situation;
- The life cycle phases;
- The recruitment, selection and integration procedures of the new employees;
- The personnel professional training and development programs;
- The persistence of values, norms and conceptions.

External factors:
- The judicial-legislative environment;
- The economic environment;
- Clients and/or consumers;
- The national and/or regional culture;
- Social conditions;
- The technical and technological environment.

Fig. no. 2 Factors influencing the organization culture

- The organization’s dimension – expressed by the turnover, the capital value, the number of employees, the number of branches and or/subsidiaries. Within an organization of great dimension there are many types of cultures, while within a small dimension organization there is a more stable, homogeneous culture;
- The expectations of the organization’s staff – the employers', colleagues, subordinates behaviour and language as well as the ideas transmitted formally represent essential reference points that an employee compares with his own expectations. If there
are major differences between these two, the employee’s perception will most possibly be controversial one, with unfavourable results for the organization. Thus, the staff’s fluctuation is high because most of those who will not identify themselves with the organization’s expectations will leave;

- **The used technique and technology** – is manifested by replacing more and more the human labour with the flexible robotization and automatization of technological processes that have as an effect the growth of labour productivity, and the reduction of human density in the production rooms. Most of the time, these factors favour the organizational stress, increase competitiveness among employees, and, sometimes, they give rise to conflicts among employees;

- **Information technology** - informatization, through its software, strongly influences the content and ways of employees’ labour, reflecting itself in the system of values, aspirations and expectations, in symbols, ceremonies, roles, status, myths, etc. The computer has become easier and easier to use, with the spreading of voice commands. Communication is achieved by mail, voice mail, video-conferences, thus the time for these processes being visibly diminished. Within organizations, there have been implemented Internet and Intranet networks that have changed the characteristics of the organization’s human relationships. With the help of information technologies and telecommunications, the organizations can monitor and coordinate the activities more easily, managers can get the information they want in a shorter time, and the employees have access to a rich data base;

- **The offered products and/ or services** – the changes in the clients’ attitudes or consumers’ attitudes towards some products and/ or services influence the employees’ attitude and behaviour both inside and outside the organization;

- **The organization’s resources** – when the resources are limited, there comes the competitiveness within the organization as each department wishes to reach performances so as to attract a greater number of resources. If there are sufficient resources for accomplishing the tasks, the employees are more relaxed and confident in meeting the set objectives. Yet there is the risk to waste a part of the resources as the employees are no longer well motivated;

- **The management system** – influences the organization culture by the methodological-managerial, decisional, information and structural-organization characteristics. It is possible to form a strong culture only when a coagulated management system, with a high functionality, exists, and when it is built on a strong motivation of the employees;

- **The organization’s economic situation** – the influence is more visible when the economic situation is not too good; thus, restrictions appear that generate the organizational stress or conflicts;

- **The life cycle phases** – in each of the life cycle phase (the setting up, the youth or the rapid growth, the maturity or the valorization of investments, the old age or the economic decline) the organization culture presents several characteristics. The managers’ role is that of prolonging the maturity phase;

- **The recruitment, selection and integration procedures of the new employees** – the new employees feel the shock of changing the organization culture and try to adapt themselves to the beliefs, norms and conceptions practiced in the organization. They come from different environments, with a different education, culture, training and experience. For this reason, only those who can adapt to the existent culture should be selected. The integration of the newly employed personnel is achieved in order to facilitate the passing through the initial stage, when everything seems unknown and hostile to the newly employed; the creation of favourable attitude towards the organization, so that the newcomer would want to remain there; getting some effective results in the activity in the shortest possible time;
The personnel’s professional training and development – it is a method used by organizations to increase the employees’ ability to successfully accomplish greater duties and responsibilities; it is also a way of attracting and keeping the human capital, as well as a way of getting better results. Thus, there is professional satisfaction for the employee and performance for the organization. The cost of this process is quite high but the losses would be even higher if the organization’s actions were wrongly oriented;

The persistence of values, norms and conceptions – it helps to maintain and consolidate the organization culture.

B. External factors:

The judicial-legislative environment – laws are reflected in the organization’s way and in the nature of the activities developed by the organization, due to the decrees, decisions, methodologies elaborated by the state’s institution. Moreover, the legislation is present even in the relationships between the labour union and management; in the values it promotes; in the regulations concerning the protection of the environment, of the natural conditions defense and renewal; in the regulations concerning the protection of health and labour security. Both the above mentioned regulations and those related to the salary rights, leave, or the working hours differ from one country to another, depending on the valid legislation;

The economic environment – when the economy is in a growth period, the economic agents’ activities are developed in superior fiscal, banking, and commercial conditions. If the national economy is in a crisis, the economic environment exerts an intense economic stress on organizations and thus changes of behaviours, beliefs and values appear;

Clients and/ or consumers – influence the culture in the market sector to which the organization’s products or services address. A dissatisfied customer can create a negative state of mind to the employees; if this happens frequently it influences the organization climate. Most organizations consider as very important to grant a special attention to clients and consumers. There are many statements related to this, such as: "our client – our master", “the clients has priority", “rule no.1 – the client is always right; rule no.2 – if the client is wrong, see rule no.1". Products and services should always be improved and adapted to the new demands of the clients and/ or consumers";

The national and/or regional culture - it is well known and demonstrated the fact that there are certain cultural models that characterize different nations and regions (studies done by well-known specialists, such as Hofstede and Trompenaars). The national and regional culture influences the organization culture by the different education, ways of thinking and decision, religion, or different traditions and conceptions of the population;

Social conditions – as we know, we witness a global population growth, a fact that leads to new conditions related to the way of organizing activities, or the way of occupying the labour force. The labour force is better and better trained, so its recognition and reward are absolutely necessary. The involvement of women in the labour and management processes leads to major organization and family changes;

The technical and technological environment – the influence of this factor depends on the organization’s object of activity;

Globalization – is a present phenomenon and it forces organizations to take into consideration an amalgam of factors in an international view. Their activities are influenced by the commercial agreements set between countries, by the appearance of some competitive products imported from abroad, etc.

The presented factors leave their mark on the creation and modeling of the organization’s culture.
The number of factors influencing the organization’s culture is permanently increasing, a normal phenomenon if we think about the changes that appear after the implementation of the new information technologies, the development of telecommunications, the appearance of better professionally trained and motivated human resources, of organizations that continuously expand (the organizations get bigger, extend their fields of activity, become transfrontalier, more complex and more dynamic), the free circulation of people outside their own country, the implementation of participative management, the setting of new quality standards both to products and to services, etc. Therefore, the list of factors that influence the organization’s culture remains open.

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Environment – an Ethical Approach to Geopolitics

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Keywords: Geopolitics, Environment, Earth, Natural elements

Abstract: After an unpleasant period, the term geopolitics came back to politics and universities and it became popular. Geopolitics is a struggle between super powers and countries for gaining a specific interest or a complex of interests. These interests are basically geographical and include territory, natural resources, energy resources, and so on. This term is also based on realism, and the achieving of interests is possible by hegemony and power. Within this approach, security will be created only by power. As a matter of fact, security lies behind weapons.

The Earth is the only place for human kind to live in and nowadays there is no other place. Human society has entered a complicated situation as a result of economic, industrial and social transitions. This situation has both negative and positive results. Polluting the nature is the main negative result. This problem affects natural elements: water, soil, weather and organisms. Forest devastation has increased soil erosion and there are billions of tones of eroded materials transported into the sea annually. The mankind released millions of tones of toxic materials into the air. The environmental pollutions cross international boundaries and, despite the past strategies, this becomes a worldwide problem: on the one hand, scarcity of the vital natural components, and, on the other hand, a new approach to geopolitics has been created, namely environmental geopolitics. Cooperation between all sides is very important and without this cooperation there will be no positive results. The main difference between this approach and geopolitics is in their evaluation of interests. Every social actor promotes and searches for a collaborative context. Idealism is the main motive of this approach and it seeks to obtain the best future of the world. This is an ethical behavior. All participants in this method will try to protect environment and its elements. This is a new adjective qualifying the geopolitical thinking which bears the name of the ethical approach to geopolitics.

1. Geopolitics

According to the history of the word, Geopolitics appeared in 1899 when the word was first coined by the Swedish political scientist Rudolf Kjellen. The term Geopolitics is formed by two phrases: ‘geo’, which means the earth and which includes geographical elements, and ‘politics’ which means government, state, territory, sovereignty, and so on. This word refers to political behavior based on geographical elements and its range of usage varies from a struggle between two neighbours for a small geographical phenomenon to a complex struggle among superpowers. In fact gaining a specific or a complex of interests is the aim behind political acts.
There are two main approaches to geopolitics. The first - and the old - approach determines this term as a sacred word and idea which is only for superpowers. This means that other countries including middle and small countries cannot enter it.

The second one belongs to every country which is going to gain its national interests. There is no difference between superpowers and others in this approach. These two approaches differ somewhat from the original meaning of Geopolitics found in Kjellen’s work. Coming up with a specific definition of geopolitics is difficult because new phenomena influence the geography realm. Besides, the structures of the world order are in a constant change. Geopolitics is best understood in its historical and discursive context of use. Back in the early years of the 20th century, Kjellen and other imperialist thinkers understood Geopolitics as that part of western imperial knowledge that dealt with the relationship between the physical earth and politics (Tuathail, 1999).

Acting according to the geopolitical method had begun much earlier than the emergence of Kjellen’s term. In fact, superpowers and regional powers had chosen ways of geopolitical thinking and fulfillment.

From 1870s onward the great powers of Europe embarked upon an unprecedented program of imperial expansionism and territorial acquisition, a clamor for overseas colonies that the United States joined by the end of the century, once its own continental empire building was complete (Tuathail,1996).

The prevailing idea of the above mentioned thinking and acting on geopolitics confirms that the main trend in this approach is purposing to deliver a sacred definition for Geopolitics. So Geopolitics in this approach belongs to superpowers and regional powers and others cannot enter it. This type of Geopolitics illustrates the relationship between the superpowers. They compete to gain more interests. Geopolitics in the first approach begins from political debates, and if these debates do continue they will lead to war. There are many recordings of dramatically and bloody conflicts in the world history. Very recent examples are World War I and II and many other regional wars like Iran and Iraq imposed wars.

But it is a fact that the second approach in Geopolitics is not very customary. This approach belongs to all the countries, not only to the superpowers but also to the minor powers. According to this approach, all the countries struggle to gain their national interests that are mainly related to the territory, but other geographical phenomena and characteristics are present, and it is impossible to leave them out. This approach legitimizes the entrance of small political units within the world order because of their national interests. Thus, Geopolitics relates to territory and its character outstands the relationship between Geopolitics and geography (Lacoste, 1999). The main manifestation of the late Geopolitics is territory and territorial characteristics.

2. The Earth as the only livable place

The Earth, as a planet belonging to the solar system, has a very old history. The human race began its life millions of years ago. At the time of the agricultural revolution or of the first wave (Toffler, 1980) there were 5 million inhabitants in the entire world. In A.D. the world population was 250 million, and in 1650 - one billion and now it is more than 5.6 billion. Every year there is more than 95 million new born babies. These new inhabitants need more than 20 million tons of cereal every year (Ehrlish, 1990).

This is one of the results of the explosion of population. The unplanned expansion of cities, the elements polluting nature (water, soil and air), the deforestation and the extinction of animals and plants are the main results of population increase.

It is an unforgivable fact that the Earth is the only livable place for humans in the universe, and there is no other alternative. But at this time the conditions of the Earth, from
an environmental viewpoint, have entered in a very bad situation, and the continuation of this horrible trend will lead humankind to a dark future.

The environment is a common asset of the humans and of nature. Their relation has begun from the dawn of history and even furthermore. It is clear that, at the beginning, nature “was rolling” humankind and after thousands of years this trend has been reversed. And now humankind “is rolling” nature. The main symbols of human activities in the environment are phenomena that indicate the presence of the human being. These are phenomena such as cities, villages, factories, dams, airports, farms, and so on.

Environment basically includes two main elements: humans and nature. The nature contains all the elements including living and nonliving things. Soil, water and air are basic elements and their role in life is very important.

Water: According to a Persian proverb, water is the alphabet of life. 71 percent of the Earth’s surface is covered with water. Only 3 percent of the hydrosphere is suitable for human consumption. So it is very little in comparison to other parts of the hydrosphere. Water is the main resource of human living, and it is not only in a restricted condition, but it is also getting more limited because of the population boost which increases per capita consumption. Besides, the greenhouse effect has affected precipitation. Industrial and agricultural activities have led to a high rate of water usage. All these activities were not useful and some parts of these bustles have had negative aspects.

Some branches of the industrial activities, and also the wrong irrigation methods are wasting water. In underdeveloped countries and even in some developing countries, cities have no sewage systems and dangerous pollutants can be found in the water supplies. The population increase has caused even more water shortage. In relation to the hydrosphere, the water supply is short and industrial and agricultural activities will make this scarcity severe.

Soil: The lithosphere is one of the basic factors of life. The soil was formed by erosion and in a natural process it has experienced many physical and chemical changes and, finally, it was completed. Soil is a thin layer from the upper crust of the earth. In normal conditions its thickness is from one to two meters (Kardavani, 1990).

The necessary time for soil formation differs from one region to another because the initial elements are different. More residents need more food and so there are many programs in all countries to make progress in agriculture. Multi-cultivation and cash crop are two kinds of new approaches in order to have more production. This is possible only by using fertilizers and toxic materials. Soil, as a natural element, is giving up its fertility. Every year there are millions of acres of land left behind. Their fertility is vanishing and so farmers seek for better lands and leave them.

Air: The atmosphere is a mixture of many kinds of gases. But the oxygen is the best and the most important one. The atmosphere consists of a series of layers but the main layer to which the living things are affiliated is the troposphere. Global warming processes are active in the troposphere layer. This is an increase in the global temperature which results from the building up of the greenhouse gases, for example methane and carbon dioxide in the atmosphere. The process of global warming has become popularly known as the greenhouse effect. Carbon emissions from fossil fuels – coals, oil and natural gas – have increased the amount of carbon dioxide in the atmosphere, trapping more heat and causing the global warming (Lines & Bolwell, 1991). Plants absorb carbon dioxide, but as the rainforests are destroyed by burning, stored carbon dioxide is returned to the air and there is less vegetation to absorb CO₂. The consequences of the global warming include the melting of the ice-caps, the flooding of the low-lying land areas and the expanding of
3. Environmental crises and their worldwide expansion

Although there are many crises in the world, the most important crises are environmental and, nowadays, we have to reflect over many environmental crises. The freshness and vitality of nature are devastated by harmful activities. The evident concepts of the human overpowering of nature at the beginnings of the new millennium are: irregular extension of urban areas, dismissing landforms, soil erosion, polluting water resources, atmosphere warming, ice melting, the increasing of the sea level and, finally, the disturbing of the norms of nature. All of these environmental crises are out of the natural order of the Earth. The velocity of these crises is faster than their modifications (Rahnamaie, 2000).

The interest in the maintenance of the environment and its elements can be traced back even before the industrial revolution. Governments, at first, as administration, acted on some bases. In the early 14th century, one of the inhabitants of London was executed because of polluting the environment by coal burning. And this showed that the government is serious about its environmental duties (Muir, 1997).

As a fact, environmental crises have become international crises. And none of the countries around the world can claim that it is safe from them. Population explosion and industrial misintensifications are the main reason of these disastrous trends. 25 percent of the forests of Europe have been damaged or destroyed because of the acid rain. The devastation of forests will destroy the ecosystems' varieties. During 300 years, 1622 kinds of animals and plants have extinguished. There is evidence indicating unknown kinds of extinction.

Water shortage in some dry countries in the Middle East and the North of Africa has led them to seek for other supplies, including underground fossil water and the desalinating of the sea water. The desalinating method has its negative consequences: it will demolish coastal ecosystems. The Persian Gulf on its Southern shores, from this viewpoint, has fallen into a bad condition. All these crises are happening while the main elements of nature are scarce.

These environmental scarcities usually have complex causes. Resource depletion and degradation are functions of the physical vulnerability of the resource, the size of the resource consuming population and the technologies and practices this population uses in its consumption behavior. The size of the population and its technologies and practices are, in turn, a result of a wide array of other variables, from women's status to the availability of human and financial capital. Although these environmental scarcities do not cause wars among countries, they do sometimes sharply aggravate stresses within countries helping to stimulate ethnic clashes, urban unrest and insurgencies (Dixon, 1996).

These violences will destabilize trade and economic relations and will demolish social norms and, finally, will hinder societies from their economic, social and political goals. The scarcity of the natural resources, on the other hand, will cause poverty. African sub Sahara countries and countries in South America are facing poverty. Population growth in these countries is high and percapita share in natural resources will decrease. This unpleasant cycle in a closed system will cause even more poverty.

There is a bilateral relation between poverty and environmental crises. This relation accounts for the destruction of the environment. The World Bank has confirmed that the number of the needy people around the world is more than 1.5 million. Most of these people live in countries with a devastated environment. In addition to the above mentioned difficulties, there is also environmental racism in the world. Based on this method, the rich people are safer from the environmental crises than the poor people. Toxic waste materials are buried near poor people's residential areas. Especially in the U.S.A these
areas are ethnical minority’s residential areas (Mojtahedzadeh, 2002). According to the annual report of the World Bank, the needy people, in many cases, have a share in the environmental crises themselves (World Bank, 1992). In fact, poverty and environmental crises will cause national and even international insecurity.

The traditional concept of national security that appeared during the Cold War viewed security as a function of the successful pursuit of interstatal power competition. It took the sovereign state as the exclusive unit of analysis, and was concerned only with military threats or with those related to an enemy. National security was also used to convey the idea that a particular set of problems was most important to the state, and required the mobilization of a high level of material and human resources. Environmental security represents a significant departure from this approach to national security. It addresses two distinct issues: the environmental factors behind potentially violent conflicts, and the impact of global environmental degradation on the well-being of societies and economics. The idea that environmental degradation is a security issue when it is a cause of violent conflict appears to be consistent with the traditional definition of national security (Porter, 1995).

National insecurity will provoke international insecurity. Analyses which have been handed down by international relations experts emphasize that international conflict is unlikely a result of environmental change (Dalby, 2002).

4. Sustainable development: a neglected concept

Sustainable development is defined as the balancing of the fulfillment of human needs with the protection of the natural environment so that these needs can be met not only in the present, but also in the indefinite future. The term was used by the Brundtland Commission in 1987, which coined what has become the most often-quoted definition of sustainable development as development that ‘meets the needs of the present without compromising the ability of future generations to meet their own needs’ (United Nations, 1987).

The main goal of the Brundtland Commission was the presentation of the environmental conditions of the economic and industrial development around the world. Industrial and economic developments, as a matter of fact, have damaged the environment. The prolongation of this trend is not desirable. The term ‘sustainable development’ came to illustrate the relation between development and the environment.

The field of sustainable development can be conceptually broken into four constituent parts: environmental sustainability, economic sustainability, social sustainability and political sustainability. Sustainable development does not focus solely on environmental issues. More broadly, sustainable development policies encompass three general policy areas: economic, environmental and social. In support of this, several United Nations texts, refer to the ‘interdependent and mutually reinforcing pillars’ of sustainable development as economic development, social development, and environmental protection (Harris, 2000).

The Universal Declaration on Cultural Diversity (UNESCO, 2001) elaborates further the concept by stating that ‘...cultural diversity is as necessary for humankind as biodiversity is for nature; it becomes ‘one of the roots of development understood not simply in terms of economic growth, but also as a means to achieve a more satisfactory intellectual, emotional, moral and spiritual existence’. In this vision, cultural diversity is the fourth policy area of sustainable development (Wikipedia, 2007).

Green development is generally differentiated from Sustainable development in that Green development prioritizes what its proponents consider to be environmental sustainability over economic and cultural considerations.

Environmental Sustainability is defined by its proponents as the ability of the environment to continue to function properly indefinitely. This involves meeting the present
needs of humans as seen by the proponents without endangering the welfare of future generations. The goal of Environmental Sustainability is to minimize environmental degradation, and to halt and reverse the processes they lead to.

Proponents argue that an ‘unsustainable situation’ occurs when natural capital (the sum total of nature’s resources) is used up faster than it can be replenished. Sustainability requires that human activity only uses nature’s resources at a rate at which they can be replenished naturally. Sustainable development has both universal and local aspects. There is a reciprocal action between local and universal processes. Whereas geographical areas in the world are open systems, so we can see a convergence between these areas in the world (Shakuie, 2005).

Theoretically, the long term result of environmental degradation would be local environments that are no longer able to sustain human populations to any degree. Such degradation on a global scale could imply extinction for the humanity. Economists and industrial strategists have no upper bound on economic and industrial growth but physical scientists and ecologists are accustomed to the idea of limits (Muschett, 1997).

Ignoring the issues of sustainable development has many possible consequences, such as rising sea levels, extreme drought, erosion and loss of forests, increases in slum population, extinctions of species and collapsing fisheries. There is also increasing evidence, as mentioned in the former pages, that issues such as water scarcity play a role in internal violence and regional conflict.

It is neglected that the elements and resources of nature are limited especially some of them which are not renewable. So before taking any steps to make progress, we must construct a real logical relation between development and environmental accessibilities. Development based on programming and scientific assessments will provide a new era in the dawn of the new millennium.

**Conclusion: Environment ethical approach to Geopolitics**

All the old approaches in Geopolitics and all international theories illustrate political and military conflicts as nonethical functions which are based on realism. In these approaches security is a comprehensive objective of the societies. But now there is a new approach in Geopolitics, contrary to all past approaches, whose aim is the prolongation of life and the protection of natural vital elements in the world. In addition to all the issues concerning the security, we see new dimensions of security which relate to the environment. Many environmental issues now seem to require political attention because they are understood to be the source of threats to health and wealth which have international dimensions (Dalby, 1999). Insecurity because of natural disaster is more dangerous than other forms of insecurity. Escaping from environmental insecurity will account for next wars and blitzes among the states. The structure of the new conflicts in the Middle East and North Africa is completing. Shortages of water have placed some of these countries in a position of war. Water shortage is a worldwide problem. More than 2 billion people around the world have no access to sanitation and pure water.

Air pollution causes much death in the world. More than half a million persons die annually only in Asia because of the air pollution (Asia Development Program, 2006). Millions of tons of eroded soil are transported to the rivers and seas while farmlands give up their productivity. The erosion mechanism has its negative results and destroys the nature.

Acid rain, global warming, gas emissions, water pollution, soil erosion, deforestation and so on are part of the turmoil of humans’ thoughts to reach full industrialization and comfort. If these trends continue we will have a dark future.

Our world is tired of another war; we have to seek for a better and more peaceful world. We must start a new era for peace in the world instead of struggles. From an environmental viewpoint, security is possible only with the cooperation between all the
countries, mainly the developed countries and the developing ones. Our interests for the
prolongation of life motivate us to review our economic and social policies. Avoiding
realism and affiliating to idealism must be the next choice of the humankind. This new
approach, which is contrary to the past strategies, seeks to obtain the best future for the
world.

The pivot of the past strategies and Geopolitics was competition but today, because
of life’s values and natural scarcities, ethical behavior is our road map. It is time to
understand the environment for what it is: the national and international security issue of
the world in the dawn of the third millennium. An ethical approach to environmental crises
is inevitable. Sustainable development is the most necessary strategy in the world policies
and policy makers must pay more serious attention. This is the third approach in Geopolitics.

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Registrul general de evidența a salariatilor – o noua și importanta institutie a dreptului muncii

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Keywords: labor law, communitarian labor law

Abstract: The work aims to analyze in a scientific way a new institution of the Labor Law – The general ledger for the evidence of employees, an institution which has been introduced for the first time due to the provisions of the Law No.53/2003 of the Labor Code.

This new institution started its activity the 1st January 2007 through the Government Decision No.65/2005 and then No.55/2006 as amendments to the Law No.55/2003 of the Labor Code.

This new juridical instrument make a clear picture or evidence of the employee’s job history in order to better establish all the necessary documentation for the retirement.

Another aim of this work is to emphasize upon the importance of the professional self development.

1. Noțiuni introductive

Această nouă instituție a Dreptului Muncii a fost introdusă prin Legea nr. 53/2003, Codul Muncii1 care, prin articolul 34, aduce în sarcina fiecărui angajator obligația de a înființa un Registru general de evidență a salariaților.

Registru general de evidență a salariaților se va înregistra în prealabil la autoritatea competentă potrivit legii în căruia rază teritorială se află domiciliul, respectiv sediul angajatorului, dată de la care devine document oficial.

De menționat că autoritatea publică competentă potrivit legii2 este Inspectoratul Teritorial de Muncă.

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După cum s-a precizat în literatura de specialitate⁵ înființarea acestui registru este binevenită având în vedere abrogarea Decretului 92/1976⁴ începând cu data de 1 ianuarie 2004 și deci eliminarea carnetelor de muncă.

Referitor la afirmația de mai sus trebuie făcute două precizări și anume:

Prima precizare se referă la faptul că între timp art.298 a suferit două modificări succesive în sensul că prin articulul unic punctul 2 din Legea nr. 541/2003 data privind abrogarea Decretului 92/1976 privind carnetul de muncă a fost prorogată până la 01.07.2007, iar prin art. 1 punctul 33 din O.U.G. nr.55/2006 termenul la care va fi abrogat Decretul 92/1976 a mai fost prelungit încă o dată și anume, până la 01.01.2009

A doua precizare este cea referitoare la afirmația făcută mai sus în sensul că autorul, constatănd cu deza Strange lipsa unui temei ferm de abrogare a Decretului 92/1976 revine într-o altă lucrare de specialitate⁵ și precizează că "așa fiind, problematica registriului menționat nu pare de actualitate; este greu de acceptat, ca în paralel, să se completeze și carnetele de muncă și registru menționat"

Alți autori⁶, consideră că scoaterea din uz a carnetului de muncă nu este numai nejustificată, ci chiar o măsură cu un grav impact negativ, pe considerentul că „se înlesnește orice persoane care doresc, la un moment dat, să se angajeze, să omită din curriculum vitae, una sau mai multe perioade cât a lucrat, ca salariat, la alți angajatori, perioade care au luat sfârșit prin concedierea pentru motive disciplinare, de necorespunzător professionale etc. Și astfel pe calea dolului prin reticență să vină prețul angajatorilor cu privire la încheierea contractului individual de muncă”.

Într-o altă opinie se arată că acest lucru nu ar putea fi un inconvenient de netrecut deoarece⁷ "angajatorul în conformitate cu dispozițiile art.29 alin. 4 din Codul Muncii, poate cere informațiile în legătură cu persoana care solicita angajarea de la fostii sai angajatori. Deși textul de lege arată că asemenea informațiile nu pot fi cerute decât numai cu privire la funcții care au luat sfârșit prin concedierea pentru motive disciplinare, de necorespunzător profesională etc. Și astfel ar putea viza prețul angajatorilor cu privire la încheierea contractului individual de muncă”.

După cum se poate observa părerile sunt împărțite cu privire la modalitatea de evidențiere a activității salariaților prin carnete de muncă sau prin registre generale de evidență a salariaților. Dincolo de aceste opinii legiuitorul trebuie să aibă în vedere că mențiunile scrise din aceste documente au o importanță esențială pentru salariații întrucât aceste mențiuni sunt născătoare de drepturi cu aplicabilitate în timp și mai presus de forma de evidențiere a acestor drepturi este corectă și completa lor întocmire și mai ales păstrarea și consemnarea pe o perioadă lungă de timp dacă avem în vedere că o persoană se poate angaja în muncă începând de la vârsta de 16 ani și va ieși la pensie la vârsta standard de 65 ani și în perspectivă la o vârstă chiar mai înaintată.

2. Metodologia de întocmire si completare a registrului de evidență a salariaților

În art. 34 alin. 3⁸ din Codul Muncii se precizează că registru general de evidență a salariaților se completează în ordinea angajării și cuprinde elementele de identificare ale tuturor salariaților, data angajării, funcția, ocupația conform Clasificării ocupațiilor din

⁶ Ștefanescu, Ion Traian; Beligrădeanu, Șerban. „Prezentare de ansamblu a Codului Muncii” în Dreptul nr. 4/2003 pp.5-84.
⁸ Alin. 3 al art. 34 a fost modificat prin art.I pct. 17 din O.U.G. nr. 65/2005.
România sau conform altor acte normative, tipul contractului individual de muncă și data încetării contractului individual de muncă.

De asemenea în conformitate cu prevederile art. 34 alin. 7, metodologia de întocmire a registriului general de evidență a salariaților, înregistrările care se efectuează, precum și orice alte elemente în legătură cu întocmirea acestora, se stabilesc prin hotărâre de Guvern.

În aplicarea prevederilor de mai sus s-a adoptat inițial Hotărârea Guvernului nr. 247/2003 privind întocmirea și completarea registrului general de evidență a salariaților 9 care a fost modificată în mai multe rânduri în speranța unei simplificări a acestei activități, dar care nu s-a reușit până la modificarea adusă art. 34 prin O.G. nr. 65/2005.

Aplicarea în practică a metodologiei stabilită de H.G. nr. 247/2003 cu modificările ulterioare s-a dovedit a fi în continuare greoaită, cu destule complicații în ceea ce privește întocmirea acestor registre generale astfel încât a fost necesar un alt act normativ care să simplifice și mai mult aceste evidențe.


Potrivit art. 1 din H.G. nr. 161/2006, aceasta stabilește metodologia de întocmire și completare a registrului de evidență a salariaților, înregistrările care se efectuează precum și orice alte elemente în legătură cu acesta.

Încadrarea în muncă a unei persoane se realizează, potrivit prevederilor Legii nr. 53/2003, Codul Muncii, cu modificările și completările ulterioare, numai prin încheierea unui contract individual de muncă, în temeiul căreia persoana fizică, în calitate de salariat se obligă să presteze o muncă pentru și sub autoritatea unui angajator, persoană fizică sau juridică în schimbul unei remunerații denumită salariu.

Fiecare angajator are obligația de a înființa un registru general de evidență a salariaților, denumit în continuare registru și de a-l prezenta inspectorului de muncă, la solicitarea acestuia. Angajatorii care au înființat suscursale, agenții, reprezentanțe sau alte asemenea unități fără personalitate juridică, cărora le-au delegat competența încadrării personalului prin încheierea de contracte individuale de muncă, pot delega acestora și competența înființării registrului.

Precizăm că inițial în H.G. nr. 247/2003 nu era reglementată o asemenea situație fapt ce bună dreptate a generat o serie de observații, critice exprimate în literatura de specialitate 10. Redăm mai jos o asemenea opinie care după cum se va vedea s-a ținut cont în modificările ulterioare aduse H.G. nr. 247/2003. „Astfel, el se întocmește în regim tipizat, conform modelului prevăzut în anexa nr. 1 la H.G. nr. 247/2003 și devine document oficial de la data înregistrării (ar. 4 alin.1) la Inspectoratul de Muncă (art3).

Potrivit art. 34 alin. 4 din Codul Muncii și art. 6 din H.G. nr. 247/2003, registru se păstrează la sediul sau la domiciliul angajatorului. Așadar, rezultă că în cazul persoanelor juridice este vorba de sediul acestora, nu și de cel al subunităților - entități fără personalitate juridică (suscursale, agenții, reprezentanțe, etc.).

Problema este delicată în situația angajatorilor care au structuri în componența lor cu vastă arie de răspundere teritorială și cu mulți salariați (de ex. SNCFR). Într-o atare situație este greu de ținut o evidență cu mii de salariați la „centru”. Dificil va fi și controlul exercitat de Inspectoratul Teritorial de Muncă. Nu se știe cui îi va aparține competența controlului, celui de la sediul angajatorului, persoană juridică sau celui unde se află punctul de lucrare secundar. Dacă aparține celui de la sediu, atunci inspectorii de muncă trebuie să

se deplaseze cu registrul(registrele) de eviță în „teren” în localitățile județelor unde se află sediile angajatorului. Dacă apărîne de – ția subunitatea fără personalitate juridică, controlul nu se poate exercita deoarece registrele se află la sediul angajatorului, etc. (de unde trebuie cerute, etc.).

Indicat ar fi fost să se prevădă posibilitatea ca în cadrul angajatorilor având în componență lor structuri în alte județe (localități) cu un anumit număr de salariați registruul să se păstreze la sediul acestora.

Așa după cum se poate vedea din H.G. nr. 161/2006 în redactarea ei s-a ținut cont și de sugestiiile formulate în literatura de specialitate ceea ce poate fi apreciat ca fiind un lucrul benefic în aplicarea dreptului.

Nu au obligația de a înființa un asemenea registru misiunile diplomatice, oficiile consulare străine pentru persoanele juridice străine pentru perioadele în care contractele de muncă încheiate cu cetățenii României se înregistrează la Inspectoratul Teritorial de Muncă. De menționat că pentru prima dată o prevedere cu un conținut asemănător a fost reglementată prin H.G. nr. 290/04.03.2004\textsuperscript{12} care prin art. I pct. 1 a dat alineatului 4 al articolului 2 din H.G. nr. 247-2003 o redactare similară cu celei preluate și de H.G. nr. 161/2006, cu specificația mențiunii din final în sensul că sintagma „Inspectoratul Teritorial de Muncă al Municipiului București”, a fost înlocuită (în actuala reglementare) cu sintagma „Inspectoratul Teritorial de Muncă”. Noutatea adusă de actuala reglementare\textsuperscript{13} privind registru general de eviță a salariaților constă în faptul că acesta se va întocmi numai în format electronic. În vechea reglementare respectiv H.G. nr. 247/2003, angajatorul avea obligația să întocmească registru general de eviță a salariaților după un model stabilit printr-o anexă care la rândul ei a fost modificată prin H.G. nr. 290/2004 și care cuprinde un număr de 14 rubrici care în practică s-au dovedit a fi destul de greu de completat. Astfel acest registru general de eviță a salariaților în varianta prevăzută în Anexa nr. 1 din H.G. nr. 290 cuprinde rubricile:

- numărul contractului individual de muncă;
- numele și prenumele salariatului;
- data de încetare a contractului;
- data încheierii contractului individual de muncă;
- data începerii activității;
- durata contractului individual de muncă;
- salariul de bază;
- modificarea, suspendarea contractului individual de muncă;
- data încetării contractului individual de muncă;
- numele, prenumele și semnătura persoanei care face înscrierea.

\textsuperscript{11} Art. 2 alin. 4 din H.G. nr. 161/2006 modificată și completată ulterior.

\textsuperscript{12} Pentru modificarea și completarea H.G. nr. 247/2003 privind întocmirea și completarea registru general de eviță a salariaților (publicată în M.O. nr. 238/18.03.2004, abrogată prin H.G. nr.161/2006).\textsuperscript{13} Art. 3 din H.G. nr. 161/2006 și pct. I din Ordinul nr.20/11.01.2007 a Ministerului Muncii și Solidarității Sociale și Familiei, privind aprobarea procedurii de transmițere a registru general de eviță a salariaților în format electronic, publicat în M.O. nr. 59/25.01.2007.
Conform prevederilor actului normativ mai sus citat înregistrarea datelor și rubricile registrului se făceau într-o anumită succesiune:

a. în coloana 1 se va înscrie numărul contractului individual de muncă dat de angajator, conform normelor interne ale unității;

b. în coloana 2 se va înscrie numele și prenumele salariatului conform actului de identitate;

c. în coloana 3 se va înscrie următoarele date de identificare a salariatului: domiciliu, reședința, codul numeric personal, seria și numărul actului de identitate;

d. în coloana 4 se va înscrie data semnării contractului individual de muncă de ambele părți;

e. în coloana 5 se va înscrie data la care salariatul a început sau va începe efectiv să lucreze;

f. în coloana 9 se vor menționa secția, serviciul, punctul de lucru, etc., unde lucrează efectiv salariatul.

Pe fiecare pagină din registru vor fi înregistrate datele unui singur salariat. La încetarea contractului individu de muncă, spațiile rămase necompletate de pe pagina/paginile alocate salariatului se barează și se stâmpilează de către unitate. Pentru salariații dețașați angajatorul la care aceștia au fost dețașați va completa registrul în conformitate cu prevederile prezentei hotărâri cu menționarea la coloana 1 a denumirii unității de la care se face dețașarea.

Registrul trebuie întocmit în regim tipizat conform modelului din anexa 1 a H.G.290/2004; se numorează pe fiecare pagină și devine document oficial de la data înregistrării.

Înregistrările din registru trebuiau efectuate numai în limba română, citește, cu tuș sau pix negru, iar corectarea erorilor materiale din cuprinsul acestuia se realizau prin bararea datelor înscrise eronat, astfel încât să se poată citi vechea înregistrare și prin înscrierea dedesubt, în coloare roșie a datelor exacte. În cazul în care înscrierea nu se putea face dedesubt se bară întregul rând și se făcează trimitere la noul rând care conținea datele eronate.

De asemenea, fiecare operațiune efectuată în registru trebuia să fie certificată prin semnătura și stampilă de către persoana numită prin act administrativ de către angajator sau de către reprezentantul legal al acestuia.

După cum se poate observa din cele câteva aspecte prezentate mai sus cu privire la conținutul și modul de completare a registrului general de evidență a salariaților, atât conținutul cât și operațiunile de completare a acestui registru erau destul de grea și implicau multă birocratie.

În acest context apar ca justificate criticile aduse în literatura de specialitate și de care ulterior s-a ținut cont în modificările ulterioare aduse atât Codului Muncii cât și actului normativ guvernamental de reglementare a acestei instituții. Astfel, pe bună dreptate, un reputat teoretician 14 al dreptului muncii preciza: „Deși s-a încercat simplificarea completării registrului prin modificarea succesivă a hotărârii respective( H.G.nr.247/2003 ), toți suntem această modificare nu a fost reușită, registrul conținea numeroase rubrici dificil de completat, simplificarea s-a realizat prin modificarea art.34 din Codul Muncii prin O.U.G. nr.65/2005”

Într-adevăr, conform alin.3 art.34 din Codul Muncii 15, „Registrul general de evidență a salariaților se completează în ordinea angajării și cuprinde elementele de identificare ale tuturor salariaților, data angajării, funcția/ocupația conform specificației Clasificării Ocupațiilor

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15 Alin. 3 art. 34 a fost modificat prin art. 1 pct. 17 din O.U.G. nr. 65/2005.
din România sau altor acte normative, tipul contractului individual de muncă și data încetării contractului individual de muncă”.

În mod cert noua reglementare cu privire la registrul general de evidență a salariaților este una mult mai simplificată și mai operativă înlăturând birocratie care era instituită prin vechea reglementare.

3. Înființarea registrului general de evidență a salariaților în format electronic

După cum am precizat mai sus prin noua reglementare16 privind registrul general de evidență a salariaților acesta se va întocmi numai în format electronic. Obligația de a înființa, completa și transmite registrul general de evidență a salariaților în format electronic revine angajatorilor persoane juridice astfel cum sunt definiti la art. 14 alin. 1 din Legea nr. 53/2003, Codul Muncii, cu modificările și completările ulterioare. Reamintim că prin art. 14 alin. 1 din Codul Muncii se definește noțiunea de angajator în sensul că acesta este "persoana fizică sau juridică ce poate potrivit legii să angajeze forță de muncă pe bază de contract individual de muncă”.

De asemenea această obligație de a înființa, completa și transmite registrul în format electronic, o au și entitățile fără personalitate juridică ale angajatorului, respectiv sucursale, agenții, reprezentanțe, puncte de lucru, alte secții secundare ale angajatorilor, dacă sunt îndeplinite cumulativ următoarele condiții:

a. au primit delegare de competență pentru încadrarea personalului prin încheierea de contracte individuale de muncă;

b. au primit delegare de competență pentru înființarea și completarea registrului general de evidență a salariaților în format electronic.

Din interpretarea prevederilor de mai sus rezultă cu pregnanță că lipsa uneia din aceste conditii imperative nu va da posibilitatea entității respective de a înființa, completa și transmite registrul general de evidență a salariaților în formă electronică.

De asemenea în lipsa unei precizări exprese în actele normative privind registrul general de evidență a salariaților în format electronic delegarea competențelor de mai sus către entitățile fără personalitate juridică de angajator se poate face printr-o simplă împuternicire semnată de conducătorul angajatorului persoană juridică sau persoană fizică ce are calitatea de a încheia un contract individual de muncă, autentificată prin ștampila angajatorului, fără a avea anumit formă solemnă.

Nu are obligația înființării registrului în format electronic angajatorii menționați la art. 2 alin. 4 din H.G. nr. 161/2006, adică misiunile diplomatice, oficiile consulare străine cu sediu în România, precum și reprezentanțele din România ale persoanelor juridice străine pentru perioade în care contractele individuale de muncă încheiate cu cetățeni români se înregistrează la Inspectoratul Teritorial de Muncă17.

4. Completarea registrului general de evidență a salariaților în format electronic

Registrul se completează în ordinea angajării și cuprinde următoarele elemente:

a. elementele de identificare a tuturor salariaților: numele, prenumele, codul numeric personal(CNP);

b. data angajării;


17 Art. I pct. 3 din Ordinul nr. 20/11.01.2007 al Ministerului Muncii Solidarității Sociale și Familiei privind aprobarea procedurii de transmitere a registrului general de evidență a salariaților în format electronic.
c. funcția/ocupația conform specificațiilor din Clasificarea Ocupațiilor din România (COR) sau din alte acte normative;

d. tipul contractului individual de muncă;

e. data și temeiul încetării contractului individual de muncă.


Registru în format electronic” cuprinde contractele individuale de muncă în vigoare la data de 31 decembrie 2006, indiferent dacă acestea sunt suspendate sau nu la această dată. Contractele de muncă ale salariaților care au încetat cu data de 31 decembrie 2006 nu se înregistrează.

Spre deosebire de prevederile art 3 alin. 2 din H.G. nr. 161/2006 care prevede că registru se completează în ordinea angajării, prin Ordinul nr. 20/2007 al Ministrului Muncii Solidarității și Familiei se face precizarea că Registru în format electronic se completează în ordinea încheierii, modificării sau încetării contractului individual de muncă.

Registru în format electronic se înființează și se completează de către angajatorii cu ajutorul aplicației informatiche distribuită gratuit de către Inspecția Muncii sau cu ajutorul aplicațiilor informatiche proprii ale angajatorilor. Completarea registruului electronic prin utilizarea aplicației pusă la dispoziție de către Inspecția Muncii se face în conformitate cu instrucțiunile de utilizare obținute de pe pagina de internet a Inspecției Muncii www.inspectiamuncii.ro sau de la sediile Inspectoratelor Teritoriale de Muncă.

În situația în care, pentru înființarea și completarea registruului, angajatorii folosesc aplicații informatiche proprii de gestiune a salariaților, aceste aplicații trebuie să cuprindă și să furnizeze elementele obligatorii, similare aplicației informatiche pusă la dispoziție de către Inspecția Muncii.

Structura și formatul de fișier aferent registruului în format electronic care trebuie transmis la Inspectoratul Teritorial de Muncă, în cazul angajatorilor care utilizează aplicații informatiche proprii, se pune la dispoziție de către Inspecția Muncii. Specificațiile tehnice ale fișierului pot fi obținute de pe pagina de internet a Inspecției Muncii, www.inspectiamuncii.ro sau de la sediul Inspectoratului Teritorial de Muncă.

5. Transmiterea registruului general de evidență a salariaților în format electronic

Registru în format electronic se transmite la Inspectoratul Teritorial de Muncă prin una din modalitățile prevăzute la art. 3 alin. 3 din H.G. nr. 16172006, adică prin:

I. Completarea on-line a bazei de date existente pe portalul Inspecției Muncii

Transmiterea on-line se face după solicitarea și obținerea de către angajator a activării accesului la portalul Inspecției Muncii http://itmonline.inspectiamuncii.ro și obținerea „numelui de utilizator” și a parolei.

Activarea accesului și obținerea numelui de utilizator și a parolei se face la sediul Inspectoratului Teritorial de Muncă în a cărui rază teritorială angajatorul șîi are sediul sau domiciliul, în baza unei împuterniciri semnată și ștampitată de reprezentantul legal al angajatului, însoțită de o copie a actului de identitate, după caz.

Activarea accesului și obținerea numelui de utilizator și a parolei pentru entitățile fără personalitate juridică ale angajatorului se face la sediul inspectoratului de muncă în a cărui rază teritorială acesta șîi desfășoară activitatea în baza unei împuterniciri semnată și ștampitată de reprezentantul legal al entității fără personalitate juridică însoțită de o copie a următoarelor documente:

a. delegarea de competențe pentru încadrarea personalului prin încheierea de contracte individuale de muncă;
b. delegarea de competență pentru înființarea și completarea registrului general de evidentă a salariaților în format electronic;
c. certificatul de înmatriculare al angajatorului;
d. certificatul fiscal al entității fără personalitate juridică. Modelul de împuternicire poate fi obținut de pe pagina de internet a Inspectoriei Muncii www.inspectiamuncii.ro sau la sediul inspectoratelor teritoriale de muncă.

La solicitarea activării contului de acces angajatorul poate opta pentru atribuirea acelorasi nume de utilizator și parolă atât pentru depunerea on line a declarațiilor fiscale privind comisionul datorat, cât și pentru transmiterea on line a registrului în format electronic.Această opțiune se va face în momentul solicitării activării accesului pentru depunerea/transmiterea on line.

1. Prin e-mail pe bază de semnătură electronică

Această modalitate poate fi folosită de angajatorii care dețin semnătura electronică extinsă, bazată pe un certificat calificat.Ei pot depune registrul în format electronic la adresa de e-mail pusă la dispoziție de Inspectoria Muncii.

Modalitatea de transmitere prin e-mail și adresa de e-mail ,pot fi obținute de pe pagina de internet a Inspectoriei Muncii

2. Depunerea la sediul Inspectoratului Teritorial de Muncă în format electronic, însoțit de o adresă de înaintare semnată de angajator.

Prin această modalitate transmiterea registrului se face în, format electronic pe suport C.D., dischetă 3,5 inch/1,44MB, sau medii de stocare USB cu sistem de fișiere FAT /FAT32.

Registru în format electronic însoțit de o adresă de înaintare semnată și ştampilată de către reprezentantul legal, se depune după cum urmează:

a. la sediul Inspectoratului Teritorial de Muncă în a cărui rază teritorială persoanele fizice sau juridice își au domiciliu respectiv sediul;
b. la sediul Inspectoratului Teritorial de Muncă în a cărui rază teritorială își desfășoară activitatea entitățile fără personalitate juridică.

În situația primei depuneri la sediul Inspectoratului Teritorial de Muncă a registrului în format electronic, adresa de înaintare va fi însoțită de o copie a certificatului de înmatriculare-în cazul angajatorului persoană juridică -respectiv o copie a actului de identitate-în cazul angajatorului persoană fizică.

în cazul entităților fără personalitate juridică a angajatorilor atunci când se face prima depunere la sediul Inspectoratului Teritorial de Muncă a registrului în format electronic adresa de înaintare va fi însoțită de o copie a următoarelor documente:

a. delegarea de competență pentru încadrarea personalului prin încheierea de contracte individuale de muncă;
b. delegarea de competență pentru înființarea și completarea registrului general de evidentă a salariaților în format electronic;
c. certificatul de înmatriculare a angajatului;
d. certificatul fiscal al entității fără personalitate juridică.

Atunci când au loc modificări ale elementelor de identificare ale angajatorului sau ale entităților fără personalitate juridică ale acestuia, depunerea ulterioară a registrului în format electronic trebuie însoțită de o copie care să ateste efectuarea acestor modificări.

În situația completării eronate a registrului în format electronic sau a datelor de identificare a angajatorului Inspectoratul Teritorial de Muncă va refuza înregistrarea acestuia.

Termenele de transmitere a registrului în format electronic sunt:18

a. 20 de zile de la data încheierii primului contract individual de muncă, pentru angajatorii

care la data de 31 decembrie 2006 nu aveau salariați. În această situație se regăsesc angajatorii care nu au avut salariați până la data de 31 decembrie 2006, precum și angajatorii care au avut salariați, dar ale căror contracte individuale de muncă au încetat anterior datei de 31 decembrie 2006, inclusiv;

b. 90 de zile de la data intrării în vigoare a H.G. nr. 161/2006, pentru angajatorii care la data de 31 decembrie 2006 au salariați. În această situație se regăsesc angajatorii care la data de 31 decembrie 2006 au în vigoare cel puțin un contract individual de muncă, indiferent dacă acesta este suspenzat sau nu;

c. 5 zile de la data la care au intervenit modificări ale elementelor prevăzute la art. 3 alin. 2 din H.G. nr. 161/2006, adică: elementele de identificare a utorur salariatilor: numele, prenumele, codul numeric personal(CNP); data angajării, funcția, ocupația conform specificațiilor Clasificării Ocupațiilor din România(COR) sau altor acte normative; data și temeiul încetării contractului individual de muncă.

Registrul în format electronic, completat pe baza aplicației informatiche proprii sau distribuită de către Inspecția Muncii, se transmite la Inspectoratul Teritorial de Muncă în a cărui rază teritorială angajatorul își are sediul sau domiciliul, după caz.

Entitățile fără personalitate juridică ale angajatorilor au obligația de a transmite registrul electronic în Inspectoratul Teritorial de Muncă în a cărui rază teritorială acesteia își desfășoară activitatea.19

În ceea ce privește evidența și păstrarea registrului trebuie menționat că în conformitate cu prevederile legale, evidența registrelor, respectiv a datelor cuprinse în acestea, transmise de angajator la Inspectoratul Teritorial de Muncă, se ține într-o bază de date arhivată la nivelul Inspecției Muncii.

Un exemplar din registrul în format electronic se păstrează la sediul angajatorului sau la sediul sucursalei, agenției, reprezentanțelor sau a altor asemenea unități fără personalitate juridică.

Registrul electronic întocmit conform prevederilor H.G. nr. 161/2006, modificată și completată ulterior căt și registrele înființate și înregistrate în conformitate cu prevederile H.G. nr. 247/2003 privind întocmirea și completarea registrelor general de evidență a salariatilor cu modificările și completările ulterioare se vor păstra și arhiva de către angajatori în condiții care să asigure securitatea datelor precum și păstrarea lor îndelungată.20

Evidența salariatilor se mai asigură și prin dosarul personal al salariatului. Astfel în conformitate cu prevederile art. 7 alin. 1 din H.G. nr. 161/2006 privind întocmirea și completarea registrului general de evidență a salariatilor, angajatorul are obligația de a întocmi un dosar personal pentru fiecare dintre salariatii și de a-1 prezenta Inspectoratelor de Muncă, la solicitarea acestora.

O asemenea reglementare a fost prevăzută și în cuprinsul H.G. nr. 247/2003, dar întrucât nu era suficient de bine reglementată aceasta a fost completată prin H.G. nr. 290/4.03.2004.21

Potrivit actualei reglementări dosarul personal al salariatului cuprinde cel puțin actele necesare angajării, contractul individual de muncă, actele adiționale și celelalte acte referitoare la modificarea, suspendarea și încetarea contractelor individuale de muncă, precum și orice alte documente care certifică legalitatea și corectitudinea completării în registru.

Dintre actele necesare angajării apreciem că acestea sunt: actul de identitate, carnetul de muncă, actele de studii, avizul medical, dovada privind situația aferentă pentru caz.22

19 Art. 4-5 din H.G. nr. 161/2006, modificată și completată și art. III pct 1-6 din Ordinul nr. 20/2007 privind aprobarea procedurilor de transmite a registrului general de evidență a salariatilor în format electronic.

20 A se vedea art. 7 alin. 4 și art. 11 din H.G. nr. 161/2006, modificată și completată ulterior.

Răspunderea contravențională conform prevederilor H.G. nr. 161/2006
privind întocmirea și completarea registrului general de evidență a salariaților

A. Specificul răspunderii contravenționale

Răspunderea contravențională intervine în cazul săvârșirii unei fapte ilicite, denumită contravenție, prevăzută și sancționată de către un act normativ.22

Potrivit art. 1 din O.G. nr. 2/2001 privind regimul juridic al contravențiilor,26 aprobată cu modificări prin Legea nr. 180/200227, modificată ulterior, constituie contravenție fapta săvârșită cu intenție satabilă și sancționată prin lege,ordonanță, hotărâre a Guvernului, sau după caz, hotărârea Consiliului Local al comunei, orașului, municipiului sau al sectorului municipiului București.

Așa după cum rezultă din cele prezentate mai sus, contravenția este o faptă ilicită săvârșită cu vinovăție care prezintă pericol pentru societate și constituie temeiul răspunderii contravenționale. În cazul contravenției pericoul social este mai redus, urmările sunt mai restrânse. De regulă, răspunderea contravențională revine unui subiect determinat (persoană fizică sau persoană juridică). În raporturile de muncă subiectul este nul calificat, după caz angajator(persoană fizică sau juridică) ori salariat sau alt participant la procesele de muncă. "Pentru a exista raportul juridic contravențional de constrângere sau de răspundere contravențională, este necesar ca fapta concret săvârșită și interzisă de Codul Muncii, sau

22 Barbu Cicchina, Ioan: op. cit. pp. 50-51.
23 Art. 7 alin. 4 din H.G. nr. 161/2006 privind întocmirea și completarea registrului general de evidență a salariațului.
24 Ticlea, Al.: op. cit. p. 408.
alte legi speciale, să îndeplinească toate condițiile cerute de norma de incriminare pentru acel tip de contravenție.  

Aceste condiții se referă la valorile și relațiile sociale care sunt lezate sau sunt puse în pericol prin săvârșirea faptei.

"Dacă faptele indreptate împotriva relațiilor sociale, legate de valori de care depinde înșasă existența comunității sunt apărâte prin mijloace penale, faptele prin a căror săvârșire se pun în pericol valori de care nu depinde înșasă existența societății și a componentelor sale, ci funcțiunea normală a unui domeniu sau altul, sunt contravenții."

Gravitatea și periculozitatea socială a rezultatului faptei constituie elementul laturei obiective care exprimă diferențele de grad, de intensitate între diferite fapte care se pot constituiri în abateri disciplinare, contravenții sau fapte penale și care determină și natura sanțiunii - disciplinare, contravenționale sau penale.  

"O altă particularitate se referă la posibilitatea de restabilire a ordinii dereglate prin comiterea acelei fapte. În cazul infracțiunii este necesar să se aplice o pedeapsă cu executarea în penitenciar, pe când la contravenție se va aplica o pedeapsă mult mai ușoară facându-se apel la simțul de răspundere al făptuitorului."

Obiectul contravenției este constituit din valorile relațiilor sociale, bunurile sau interesele legitime apărâte prin normele de drept contravențional cărora li se aduce atingere sau sunt puse în pericol de fapta săvârșită.  

**B. Contravențiile la regimul privind registru general de evidență a salariaților**

După cum s-a constatat până în prezent regimul juridic al Registruului general de evidență a salariaților a fost reglementat generic în art.34 din Codul Muncii și în detalii prin H.G. nr. 161/2006, modificată și completată ulterior.

a) înălcarea de către angajator a prevederilor art.34 alin.5. Potrivit art. 34 alin. 5 din Codul Muncii angajatorul are obligația, la solicitarea salariatului, să elibereze un document care să ateste activitatea desfășurată de acesta, vechimea în muncă, în meserie și specialitate.  

Prevederile de mai sus sunt completeate cu cele cuprinse în art.40 alin.2 lit. h din Codul Muncii potrivit cărora angajatorul trebuie să elibereze la cerere toate documentele care atestă calitatea de salariat al solicitantului.

Neeliberarea documentului respectiv constituie contravenție și se sancționează cu amendă de la 300 RON la 1000 RON potrivit art.276 alin.1 lit.b din Legea nr.53-Codul Muncii.

b) neînființarea și/sau netransmiterea registruului general de evidență a salariaților în format electronic la Inspectoratul Teritorial de Muncă în termenele și în forma prezentată de H.G. 161/2006.  

Cu excepția prevăzută în art.2 alin.4 din H.G.nr. 161/2006 toți angajatorii persoane fizice sau juridice precum și entitățile acestora fără personalitate juridică împotrivnice în acest sens prin delegarea de competențe (de a încadra personal prin încheierea de contracte individuale de muncă și de a înființa registru) au obligația de a înființa registru general de evidență a persoanelor în format electronic.

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30 Țiclea, Al.: op. cit. p.712.

31 Potrivit Art. 2 alin. 4 din H.G. nr. 161/2006 modificată și completată ulterior „nu au obligația de a înființa registru misiunile diplomatice, oficiile consulare străine cu sediul în România precum și reprezentanțele din România a persoanelor juridice străine pentru perioadele în care contractele individuale de muncă încheiate cu cetățeni români se înregistrează la inspectoratul teritorial de muncă."
De asemenea, aceiași angajatori menționați mai sus au obligația de a transmite acest registru în format electronic la înspectорatele teritoriale de muncă în anumite termene și anume:

- 20 de zile de la data încheierii primului contract individual de muncă pentru angajatorii care la data de 31 decembrie 2006 nu au salarii;
- 90 de zile de la data intrării în vigoare a H.G. nr.61/2006, pentru angajatorii care la data de 31 decembrie 2006 au salarii;32
- 5 zile de la data la care au intervenit modificări ale elementelor prezente la art.3 alin.2 din H.G. nr.161/2006, modificat în conformitate cu prevederile art. 34 alin. 3 din Legea nr. 53/2007 Codul Muncii așa cum a fost el modificat și completat;

Nerespectarea obligațiilor de mai sus atrage după sine o sancțiune cu amendă contravențională.

c) refuzul de a pune la dispoziția inspectorului de muncă registrul în formă electronică precum și dosarul personal al salariaților

Această contravenție are în vedere obligația instituției pentru angajator sau entitatea împuternicită de acesta care are obligația ca pe lângă înființarea acestuia în format electronic să îl prezinte inspectorului de muncă, la solicitarea acestuia care prin atribuțiile lor de serviciu au și această calitate de a verifica legalitatea înființării acestui document.

Este iesne de înțeles că refuzul de a pune la dispoziția inspectorului de muncă întrunește elementele constitutive ale contravenției prevăzute în art. 8 alin. 1 din H.G. nr. 161/2006, modificată și completată și în consecință angajatorul în culpă va suporta consecințele sancțiunii cu amendă contravențională prevăzută de actul normativ ce o încriminează.


Regulile generale de evidență a salariaților se completează conform prevederilor art. 3 alin. 2 din H.G. nr. 161/2006, dar și în conformitate cu prevederile art. 34 alin. 3 din Legea nr. 53/2003 Codul Muncii așa cum a fost el modificat și completat prin art. 1 pct. 14 din O.U.G. nr. 65/2005.

Potrivit acestei reglementări registru se completează în ordinea angajării și cuprinde elementele de identificare ale tuturor salariaților, data angajării, funcția ocupată conform specificației Clasificării Ocupațiilor din România sau altor acte normative, tipul contractului individual de muncă și data încetării contractului individual de muncă.

Nerespectarea acestor prevederi de către angajatori sau împuterniciții acestora în cazul entităților fără personalitate juridică atrage după sine o amendă contravențională.

Contravențiile prevăzute mai sus se sancționează cu amendă de la 2.000 lei la 5.000 lei conform art. 8 alin. 2 din H.G. nr. 161/2006 modificată și completată ulterior. În toate cazurile prezentate mai sus constatarea și aplicarea sancțiunilor se fac de către inspectorii de muncă.

Contravenientul poate achita pe loc sau în termen de cel mult 48 de ore de la data încheierii procesului verbal ori după caz de la data comunicării acestuia, jumătate din minimul amenzi, inspectorul de muncă făcând mențiunea despre această posibilitate în procesul verbal.


33 Art. 3 din H.G. nr. 161/2006 prevede:.;registru se completează în ordinea angajării și cuprinde următoarele elemente: a) elementele de identificare ale tuturor salariaților nume, prenume, CNP; b) data angajării; c) funcția/ocupația conform specificațiilor COR sau altor acte normative; d) tipul contractului individual de muncă; e)data și termenul încetării contractului individual de muncă.
Concluzii

Tratarea lucrării cu subiectul „Registru general de evidență a salariaților” a scos în evidență pe de o parte atât necesitatea unei noi reglementări juridice în ceea ce privește obligația angajatorilor de a organiza și realiza o evidență mult mai operativă a salariaților, adaptată la cerințele dreptului comunitar al muncii, dar și exigențelor izvărâte din raporturile juridice de muncă tot mai dinamice.

Totodată prin problematica abordată în lucrare am dorit să scot în evidență faptul că vechea formă de evidență a raportului de muncă în întreaga derulare a lui prin „Contractul de muncă” nu trebuie aruncată la „lada de gunoi” a istoriei dreptului muncii, această reglementare continuând să producă efecte juridice încă mult timp de acum înainte în ceea ce privește calcularea drepturilor la pensie și mai ales pentru recalcularea acestora.

Pentru aceste motive mă raliez cătră păreri exprimate în literatura juridică care susține necesitatea convituirii celor două forme de evidență a muncii.

Astfel potrivit celor relatate mai sus ”Carnetul de muncă reprezintă un document individual ce are în vedere datele aferente unui salariat, în vreme ce Registru originează o evidență a raportului de muncă, privitor la toți salariații care au fost sau sunt încadrați la un angajator.”

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The Global Perspective of the Environmental Principles

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Keywords: environment, environmental principles, globalisation, ecological crisis

Abstract: The ecological crisis that started powerfully due to the continuous, sometimes uncontrolled use of the natural resources, the numerous and more and more disastrous consequences of the environment pollution and degradation, imposed the acceptance of some common action measures concerning the protection and preservation of the environment. From the incipient stage of interstate cooperation, the field has evolved to a superior form of cooperation – globalization. More than ever, the solving of environmental problems requires universal, global solutions. In the highlights, there is the future of the human species. Even if man has greatly contributed – directly or indirectly – to the creation of the actual environmental situation, he is the one to find viable solutions for the prevention or even for the cessation of nature degradation. By common efforts, having the vocation of globalization, the owners of the right to a healthy environment – that is the present and next generations – have the responsibility to protect and preserve the gifts nature offers us gratuitously: resources.

A more balanced human action, or a more restrictive one as far as nature exploitation is concerned will lead to the desiderate of having a cleaner, more ecological, healthier and durable environment. Within this context, the new world order will have to line up to present day tendencies, that is it will be either ecological or it will not be at all!

The universalization of the environmental problems, as a result of the ecological crisis and of the growth of accidents number with impact on nature, has made the environmental protection become a globally high priority objective.

As humankind confronts itself with a high proportion challenge – globalization – as a process of creating globality, that is of the global ensemble state, we can also speak about the globalization of some subsystems belonging to the whole, such as those belonging to the economy, technology, culture and to the environment.

The transfrontier and “chain” character of pollution, as well as other phenomena with impact on the environment, have led to the appearance and recognition of some global ecological problems, metaphorically called “Terra’s wounds”, such as: acid rains, climate changes, global warming, the damaging of ozone layers, of biodiversity, the irrational desertification, water pollution, soil degradation, etc.

At the level of the three judicial systems: national, community, international measures have been imposed to solve the environmental crisis, starting from the premise that all peoples have contributed to the appearance and affirmation of some global ecological problems.

Leaving aside the delimitation realized between states through borders, the environmental problems (such as the air, water, soil pollution, waste) defy any rule of geopolitical division, shortcircuiting the entire world. *What force could stop the spreading of pollution from one state to another? None!* The only efficient ways are the common environment strategies and policies, based on international, interstate cooperation, on reciprocity and information exchange, that should at least forestall, if not even stop the spreading of the harmful effects of pollution of any kind.

The highlighting of the world states’ efforts of having a global environment policy has as primordial argument the integrated approach of the general, basic environment principles, on which the universal strategy of the analyzed field is based. We talk about the consecration and guarantee of some general principles, guiding ideas of the field concerning nature’s protection, preservation and development that exist both at an international, community level and at a national one, such as:

- The principle of the environmental degradation prevention;
- The principle of prudence;
- The principle of preservation;
- The environmental protection principle;
- The environmental improvement principle;
- The “polluter pays” principle.

Although each state has created its own national environmental policy, no matter how comprehensive it may be, it cannot solve problems that exceed the power of solving of a single country. It has become more and more obvious that the numerous ecological problems cannot be treated efficiently at a local, regional, not even at a community level. Some of these problems reveal, through their nature, a global character.

The international judicial system, starting with the two conferences, taken as model and starting point of the global environmental policy – The Stockholm Conference (1972) and the Rio de Janeiro Conference (1992) – has gradually made progress in the fight for the prevention and control of any forms of aggression on the environment.

It is considered that the results of the Stockholm Conference consisted in approaching the environment protection issue and the “pro-environment” action methods at a global level in all meanings of the terms. Globality – meaning a planetary conception of the environment, but also concerning the world’s institutional structures. Globality – as all themes have been approached and have constituted the object of more or less thorough reflections.

The second crucial moment for the environmental issue at an international level is the Rio de Janeiro conference (1992) that establishes, among others, as an objective, “the setting up of a new and equitable world alliance, through the creation of new cooperation levels among states, the key sectors of society, and persons”.

These two well-known reference points of the field have had as a result a series of regulations that outlined the fundamental principles of the international policy:

- Sovereignty of states and the environmental protection;
- The principle of international cooperation in solving the environmental preservation problems;
- The neighbourliness in preserving and protecting the environment.

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Together with these principles having specific significations in the environment field, there are recognized some characteristic international law obligations and norms, such as\(^3\):

- The obligation of states to preserve and protect the environment and its natural resources;
- The obligation of states to assess the consequences on the environment;
- The public information and participation;
- The principle of states’ responsibility for ecological prejudices;
- The principle of international cooperation adaptation to the nature of pollution or to the characteristics of the geographical areas under protection.

Conjugated, all these principles converge towards the idea of respect among states, of mutual support and consultancy in order to solve environmental problems that affect many countries. The internal action within a state is often inefficient in solving some global impact problems, so that the collaboration between states through common, conjugated measures is the solution to the crisis of the present day environment.

Within the international globalization, the community globalization has been highlighted, which is part of the whole, and at the same time, through its characteristic elements, it is considered a type of globalization, specific to the European Union.

Thus, for the states members of the European Union, so for Romania as well, the environmental policy is as active as the international one, with the mention that there are specific problems that must be solved within this area, through the corroborations of the six basic (general) principles of the three judicial systems with a series of principles specific to community law, such as:

- The principle of correction with priority to the source of the environment pollution;
- The principle of the ecological considerations integration in all the community policies;
- The principles formulated in the jurisprudence of the European Union’s Court of Justice (1. The environment protection shows an essential and priority interest; 2. The states’ liberty of setting their own norms; 3. The judicial fundament of environmental community directions).

Water, air, soil pollution are three basic problems in the community common policy. The new action program for the environment called: **“The environment. Our future. Our choice”** begins with a question that we all should reflect upon:

“In what kind of environment do we want to live? What kind of environment do we want our children and grandchildren to inherit?”

The answer to such a question is difficult to resume in a few words. We can see that there have been made progresses in the last thirty years, especially concerning the improvement of air and water quality, but there are still many aspects to realize.

It is evident that at the community level, too, only the common action and cooperation, beyond any economic or other nature interests, can have as a result the improvement of the environmental situation.

The constant concern of the European Union towards the solving of ecological problems is materialized, among others, in five ways of approaching the environmental policy, such as:

- Putting laws into practice;
- Setting the environment in the foreground;
- Helping people in taking decisions for the environment’s benefit;
- A better use of land.

By reading the content of these policies one can outline the image of a community of mature states that are aware of the environmental situation, of its suffering and that look a way out of this deadlock.

“Setting the environment in the foreground” instead of other interests is a modern and salutary principle that shows a favorable evolution of the problems appeared in this field.

Romania has a well-defined domestic environment legislation, by taking over the community and international regulations, by putting them into practice, wherever an environmental problem demands it.

The ruling programme includes, in chapter 18, “The policy concerning the environmental protection”, the following points of action⁴:

- The integration of the environment policy in the elaboration and implementation of sectorial and regional policies;
- The assessment of the environmental factors’ actual situation and the substantiation of a long term development strategy in the environment field, of the renewable and non renewable resources;
- The strengthening of the institutional capacity in the environment field;
- The improvement of the environment factors quality in urbane and rural areas;
- The extension of the national network of protected areas and natural reservations, the rehabilitation of coast infrastructure of the Romanian seacoast, the ecological redimensioning of the Danube Delta;
- The consolidation of the international and transfrontier partnership with the similar institutions in order to monitor the implementation stage of international agreements;
- The elaboration of citizen protection strategies against natural calamities, ecological accidents and the exposure in ecological risk areas;
- The consolidation of the partnership with non governmental organizations in the process of elaboration and implementation of public policies in the field.

The analysis of the environmental policy measures and policies that are at its basis at the level of the three judicial systems: national, community and international, emphasizes the globalization of the field, the necessity of their no-frontier approach, for the benefit of humankind.

From the lowest level – that of the individual – to the maximum accepted one – the human species – each of us has a role to play. The goal of the natural inheritance transmission, with all its renewable and non-renewable resources, to the next generations, must become a reality.

The recognition and guarantee of the fundamental principles within the three judicial systems underlines the global dimension of environmental problems that have only one solution: the worldwide cooperation.

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⁴ Government Environmental Strategy, in Chapter 18: “The policy concerning the environmental protection”.
La jurilinguistique.

De quelques modifications actuelles dans l’analyse linguistique du droit

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Keywords: juridical linguistics, discourse, society, multiculturalization, translation

Abstract: It is, generally, considered that law can be translated through words, sentences and text which regulate man’s behaviour within the society. The juridical norm should comprise, within its linguistic aspect, many social aspects linked to its application, selection and use within the social environment. It is a difficulty that the present researchers are trying to solve, taking into consideration the necessity of adapting the national legislations in order to achieve the communitarian acquis. Jurilinguistics (a term coming from Canada) propose itself, therefore, to combine the linguistic aspects with the juridical ones. In the present work we are trying to bring new arguments favourable to this method of analysis of the juridical phenomenon.

Dans une acception commune, le droit « se traduit » par des mots, des phrases et des textes, censés exprimer l’ensemble des règles qui régissent la condition de l’homme en société (nous avons énoncé ici la définition traditionnelle du droit). A y mieux regarder, une première difficulté qu’on doit surmonter se fait jour : aux problèmes soulevés par la substance de la règle (choix, élaboration et application, adaptation du droit aux traditions politiques et culturelles de la société, etc), s’ajoutent ceux que propose la langue.

Une collaboration du linguiste et du juriste s’avère indispensable, et le présent travail s’efforce de la signaler comme une nécessité, vu l’effort d’adaptation de la législation roumaine à l’acquis communautaire. Si en France et au Canada la préoccupation date depuis quelque temps (Cornu, 1990 – « Linguistique juridique »), Jean-Claude Gémar, 1982, la « jurilinguistique » ou « juristylistique »), en Roumanie elle est souvent réduite à des approches isolées, embrassant soit la perspective juridique, soit celle linguistique. Nous adoptons donc, afin de formuler nos observations, le terme de jurilinguistique, qui nous semble refléter le mieux, d’une manière synthétique, la possibilité de la collaboration.

La tâche n’est pas aisée et le premier pas est, à nos yeux, la prise en compte de l’aspect social, vu que le phénomène juridique, tout comme celui linguistique, en est empreint. Le langage du droit ne saurait ignorer la portée sociale du droit, il a une
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structure complexe, voire composite : en tant que langage de spécialité, on va reconnaître des usages spécifiques de la langue commune, mais aussi des éléments extérieurs, en accord avec la réalité extra-linguistique.

Nous avons remarqué, à travers les ouvrages consultés, que les linguistes et les juristes ont eu tendance à négliger l’usage social de la langue et à privilégier les aspects formels, historiques ou étymologiques. Dans le présent travail, notre propos est d’examiner de plus près le conditionnement social auquel le langage du droit est soumis.

Bref, la thèse que nous défendons est que la prise en compte des facteurs socio-économiques propres à chaque culture est indispensable pour saisir la richesse de la dimension linguistique du droit. Ainsi, le terme jurilinguistique, récemment créé, nous fournit un bon point de départ pour argumenter l’idée que le phénomène juridique a, dans sa dimension linguistique, une forte existence sociale.

Nous nous appliquons à enrichir le concept de nos propres observations et jugements, qui trouveront un appui nécessaire dans un corpus de lois communautaires.

Notre étude privilégie une perspective interdisciplinaire : les observations de nature proprement linguistique (sémantico-pragmatiques, analyse du discours, problèmes de traduction) rejoignent les aspects philosophiques et logiques du droit.

L’existence sociale de la langue et du droit est une réalité qui nous fait remarquer les ressemblances qui les rapprochent. Chaque individu apprend, depuis la plus tendre enfance, les règles contraignantes de sa langue et de son droit. Chaque société les forge dans des actes normatifs (Codes, Dictionnaires) ; si l’on s’en éloigne, on éprouve des punitions, bien que de nature différente. On parle donc du caractère normatif, commun à l’une et à l’autre. Ubi societas, ibi jus, mai aussi verbum – ainsi on pourrait suggérer l’universalité du droit et de la langue. Les deux sont aussi des phénomènes coutumiers, issus d’un comportement populaire, et qui sont réglés par l’usage. Une langue existe seulement dans et par son usage : le droit, lui aussi, est toujours ouvert au caractère imprévisible de la réalité sociale. Notons aussi le caractère évolutif commun : la langue est vivante, le droit l’est aussi, ils ne sont pas des objets dans un musée, mais sont toujours ouverts aux emplois, aux contestations, aux enrichissements. Parfois, les écarts constatés par rapport à ce qu’on considère comme norme, apportent, dans les deux cas, des décisions d’autorité de la part des institutions. Et, ce qui est le plus important, la langue et le droit évoluent l’un par l’autre. Voilà autant de raisons qui encouragent les rapprochements et les études interdisciplinaires.

Dès le commencement de notre propos, nous voulons préciser que le mot composé présent dans le titre de l’intervention (jurilinguistique) témoigne d’un changement de perspective dans ce qu’on appelle, généralement, la linguistique du droit. C’est vrai, les préoccupation concernant la manière dont le droit s’énonce à travers la langue ne manque pas, bien qu’en Roumanie les études soient plutôt rares et concernant en général la classification des styles fonctionnels. Un bref aperçu du domaine du langage juridiques nous montre qu’il y a une vraie fixation pour le lexique juridique, pour « la vie des mots », pour la mise en évidence des usages les plus divers et de leur étymologie, pour les caractéristiques fonctionnelles des termes.

La jurilinguistique, terme introduit par les linguistes et juristes français et canadiens, autour des années 1990, offre une perspective plus moderne à l’étude du soi-dissant « langage juridique », en lui ouvrant la voie, plus généreuse, du discours. Premièrement, le Centre de traduction et de terminologie juridique de l’Université de Moncton conçoit « Le guide du jurilinguistique », qui se veut un instrument de travail destiné à son personnel, pour des services de traduction, de révision et de terminologie. Les questions de bon usage, de graphie, de syntaxe ou de traduction étaient abordées dans le cadre de la francisation de la commun low. Bientôt, la nécessité de développer les études au niveau social ont mené à l’apparition du Juridictionnaire (le premier numéro étant diffusé en 1991). Il faut donc retenir que c’est la nécessité de mettre en contact les langues et les
cultures à travers la traduction celle qui a donné naissance à la jurilinguistique. La prise en compte des aspects interculturels du langage juridique constitue aussi le changement de perspective proposé par la jurilinguistique. La jurilinguistique a pour objectif de mettre en évidence le pouvoir ou les propriétés de la langue dans le contexte du langage du droit, de décrire les moyens lexicaux et syntaxiques auxquels fait appel le droit pour formuler ses règles et ses énoncés et d’élaborer un système de procédés propres à assurer que l’expression de la pensée soit conforme au registre dans lequel s’expriment les spécialistes du droit

Par conséquent, il faut tenir compte des deux aspects, le vocabulaire juridique et le discours juridique, qu’il faudrait voir en interrelation. Le discours juridique, défini comme “la mise en œuvre de la langue, par la parole, au service du droit”, s’ouvre, maintenant vers la pragmatique, vers les aspects sociaux de la langue, et il implique deux actes à la fois, un de nature linguistique, et l’autre d’inspiration juridique. La spécificité du discours juridique ne consiste pas dans son vocabulaire, puisqu’un discours peut être juridique même s’il n’utilise aucun terme d’appartenance juridique (Témoin, levez-vous ; Faites évacuer la salle)

La prise en compte de la dimension sociale, qui caractérise en premier lieu l’objet de la juristystique, n’est donc pas possible si l’on s’arrête seulement à l’étude du vocabulaire juridique. On remarque que, parfois, le langage juridique n’est pas compris par le profane, qui subit un “sentiment d’étrangeté” (cf. Sourioux et Lerat), et la communication se heurte à un “écran linguistique” (selon Cornu). Comme dans toute langue, en français il y a des termes qui n’ont d’autre sens que leur sens juridique. Ce sont les termes « d’appartenance juridique exclusive » et c’est par leur existence qu’on justifie l’emploi du syntagme « langage juridique », vu au sens de « façon particulière de s’exprimer » (cf. Robert).

La jurilinguistique opère avec une telle conception sur le discours juridique, en proposant d’y délimiter trois champs discursifs, chacun avec ses particularités : le discours législatif (le texte de loi), le discours juridictionnel (une analyse de la décision de justice) et le discours coutumier (les maximes et les adages du droit), qui jouent sur le rôle pragmatique de l’énonciation juridique, en fixant le cadre de l’interaction, les acteurs et les relations qui s’établissent avec le milieu social. Cette dissociation est opérée dans les travaux de G. Cornu, celui qui a inspiré d’ailleurs, avec sa Linguistique juridique, la création de la jurilinguistique.

Il est à remarquer que même dans les études de logique et de sémiotique juridique plus anciennes, on parle du langage juridique ou langage du droit tout en reliant le vocabulaire juridique à l’emploi discursif de la langue. Chaïm Perelman, dans sa Logique juridique, Nouvelle rhétorique (1979) insiste sur le raisonnement judiciaire, qui a la tâche de faire accepter la règle de droit dans le milieu social, parce qu’il n’est pas rare se constater des divergences entre la lettre des textes, leur interprétation et leur application. Le raisonnement juridique est presque toujours controversé, ce qui oblige, le plus souvent, à imposer une solution par voie d’autorité. C’est, d’ailleurs, la principale différence qui sépare le droit d’autres sciences. On cite le cas des sciences déductives, ou il est possible d’aboutir à un accord, ou des sciences humaines, telles la philosophie, où il n’y a pas de juge et chacun reste sur sa position. Le raisonnement juridique, qui repose sur une la tension entre des parties opposées, ne pourra être jamais considéré comme correct ou incorrect, mais acceptable ou non acceptable : « le droit se développe, en équilibrant une double exigence, l’une d’ordre systématique, l’élaboration d’un ordre juridique cohérent, l’autre, d’ordre pragmatique, la recherche des solutions acceptables par le milieu, parce que conformes à ce qui lui paraît juste et raisonnable »

Le côté pragmatique intervient donc de préférence dans l’activité du juge, c’est l’idée soutenue par les sémioticiens du droit. Le juge s’intéresse à l’efficacité du raisonnement, à son action sur les receleurs, à la pragmatique juridique, dont l’importance est essentielle compte
Les jurilinguistes, appelés parfois juristylistes, s’intéressent attentivement aux emplois stylistiques de la langue dans le domaine juridique. L’accent tombe sur deux aspect : le style des lois et le style des jugements. Sans doute, l’idée classique de clarté et de concision de la langue française a-t-elle toujours été une source d’inspiration dans la rédaction des lois. Les plus courantes marques de style sont les inversions (Ne peuvent être saisis… C.civ., 2092), le choix entre la voix active et la voix passive, l’insistance par répétition (Toute altération, tout faux, ...toute inscription..., C. civ., art. 52), les redondances, l’économie par élision de l’article ou par raccourci du sujet. On est devant un vrai art législatif qui est légué par la tradition et qui veut que la langue du législateur soit sobre, dépouillée, sans emphase ou fioriture. L’ironie, la plaisanterie, le sarcasme, la polémique ou l’humour n’y ont point de place. G. Corru identifie, quand même, certaines situations où le législateur sort de sa réserve, et il emploie, par exemple, des verbes d’image, soit qu’ils expriment un mouvement (porter, entrer, courir – L’action est ouverte au ministère public, C. civ. Art 339), soit une référence à la réalité, sur le vif, lorsque l’acte juridique est visualisé : « on voit le locataire garnir la maison, (C. civ., art. 1752), le preneur tondre (art. 1814), ou nourrir ou loger le bétail (art. 1851). Les branches de l’arbre avancent sur la propriété d’autrui (art. 673), les époux vivent séparés (art. 237) ».

Beaucoup plus nuancé est le style des jugements, dont l’analyse a été entamée par Pierre Mimin (dans la seule étude systématique portant sur ce sujet, à notre connaissance), Le style des jugements. Le livre se veut une sorte de guide à la portée des juriste, où l’on déconseille tout mot ou construction qui menace la clarté parfaite : l’opulence de l’argumentation, l’impropriété des mots, les obscurités dus aux mots ambigus, aux enchevêtrement des propositions, aux phrases gigognes à l’abus des conjonctions, des incidentes, des tournures passives, l’accumulation des verbes à l’infinitif et au participe présent, en somme, tout ce qui pourrait nuire à l’équilibre de la pensée.

La dimension linguistique de la réalité juridique ressort lorsqu’on se confronte à l’expansion d’une Europe plurilingue et multijuridique. On organise des réseaux d’informations juridiques à l’échelle européenne, des colloques réunissant des spécialistes du droit et de la traduction juridique. Lors de la manifestation Le français juridique et la science du droit (1995), par exemple, on s’est proposé de créer un « trésor du langage juridique », qui contienne les différents sens des mots, selon les pays et les régimes juridiques, accompagné d’informations grammaticales, stylistiques, étymologiques ou même pragmatiques, concernant leur utilisation. Les rencontres entre linguistes et jurilinguistes deviennent, dorénavant, indispensables, et leur multiplication prouve que le français assume avec responsabilité, sur le terrain de la pratique juridique, l’enjeu de la multiculturalité.

L’étude du droit, comme discours du pouvoir, est empreint d’une forte dimension interdisciplinaire et interculturelle. La dimension linguistique de la réalité juridique cesse, de nos jours, de concerner seulement les linguistes. Dans la nouvelle configuration politique et culturelle de l’Europe, le problème de l’unification législative surgit, en entraînant des débats déjà anciens au Canada. En effet, c’est le système bivjuridique et bilinguistique qui s’y manifeste celui qui a donne naissance aux caractéristiques les plus spécifiques de la jurilinguistique. Les problèmes liés à la traduction au Quebec (où, bien que le français soit la langue officielle, on constate des contacts étroits et constants avec la langue anglaise) conduisent à la nécessité d’établir les critères qui permettent d’évaluer la qualité linguistique de la documentation juridique. Cela n’est pas une tâche facile, vu que chaque système législatif préserve, ne fût-ce qu’implicite, une certaine image des valeurs nationales, qui s’appuie sur des représentations particulières des sujets sur l’autorité juridique.
La situation actuelle de l’Union Européenne confrontation les juristes et les linguistes avec les mêmes provocations. La jurilinguistique dispose des instruments capables de donner des réponses à certains d’entre elles. Nous allons montrer, en ce qui suit, que la traduction, vue dans le contexte social qui l’engendre, comme activité au centre d’intérêt des jurilinguistes, devient un point central d’intérêt pour l’Union européenne.

Puisque cette forme d’organisation transnationale possède déjà 23 langues officielles, sa législation doit devenir accessible à chaque pays partenaire ; évidemment, cela devient possible grâce à la traduction. C’est, premièrement, un problème de communication : l’UE, comme organisme collectif, doit pouvoir établir des contacts avec la population et les autorités des États membres dans leur propre langue. Récemment reçues dans l’Union, la Bulgarie et la Roumanie ont été obligées de forger un cadre institutionnel à même d’assurer la transposition des documents officiels dans leurs langues nationales, dorénavant langues officielles de l’UE. La difficulté, la beauté, l’enjeu de la traduction juridique ressortissent d’un coup ; le traducteur, retiré généralement dans l’ombre, à l’abri des disputes politiques ou sociales, acquiert une position privilégiée, ne fût-ce que purement symbolique – rapprocher les gens, rendre possible le projet européen. Unité dans la diversité – cette idée se trouve, on le sait bien, à la base des efforts communs des européens, qui unissent leurs actions « en faveur de la paix et de la prospérité ». Loin d’être un obstacle, les nombreuses cultures, traditions et langues différentes que compte l’Europe constituent un atout qui est rendu accessible grâce à l’effort et à la compétence du traducteur, en double sens : les documents et la législation de l’UE doivent être traduits dans les langues nationales, alors qu’il est souvent nécessaire que les lois nationales soient transposées dans les langues d’autres pays. Une Constitution unique pour l’Europe est en train d’être forgée, et chaque pays en jouira dans sa propre langue.

Pour celui qui a tenté de se pencher, dans ses études, sur la spécificité du langage (ou mieux – discours) législatif, cette tentative n’est pas des plus commodes. Si l’on admet que la traduction est souvent une sorte de trahison, on se pose le problème de son efficacité dans l’effort de création d’un droit commun, transnational. Le problème se complique davantage si l’on considère, à la suite de nouvelles théories linguistiques et pragmatiques du discours, que la langue ne décrit pas seulement la pensée du locuteur, elle ne sert pas à une simple représentation de la réalité, mais qu’elle est entraînée pleinement dans la (re)construction de cette réalité. Comment donc le droit national, dont l’existence dépend étroitement de la langue qui l’énonce et qui véhicule ses contenus symboliques, saurait-il gagner la dimension européenne et quel est le rôle du traducteur dans cet effort ?

Nous avons démontré dans une étude plus étendue que le discours juridique a une forte dimension implicite. Enonçons-y tout simplement les idées qui nous semblent plus importantes en liaison avec l’activité traduisante dont nous nous occupons. Traduire un énoncé juridique ne suppose nullement s’attacher seulement à la forme de celui-ci. Une loi, une disposition, un acte administratif ou un arrêt ne sont pas uniquement un enchaînement de mots, mais supposent un protocole discursif complexe, une mise en discours où la scène sociale et ses acteurs se donnent en spectacle. Législateur, Juge, Avocat, Intimé, Citoyen, etc., tous y concourent pour énoncer implicitement les règles sociales et instaurer la figure de l’Autorité, que chaque culture considère d’une manière particulière.

Ainsi, le traducteur d’un texte législatif est censé transposer non seulement des contenus explicites, mais aussi des contenus implicites, ceux qui s’avèrent beaucoup plus attachés au spécifique national, aux représentations sociales et culturelles de chaque pays. La question est encore plus sensible lorsqu’on se propose de traduire des décisions de justice, puisque le discours juridictionnel représente aussi un milieu d’interaction discursive, se présentant comme une sorte de « carrefour discursif ». 
En droit aussi, la traduction est une *activité créatrice*, si l'on pense surtout au fait que le texte de la loi fait appel à des termes souvent imprécis, parfois ambigus, qui s'offrent au déchiffrement. L'interprétation juridique elle-même suppose un va-et-vient constant entre les lois et les faits, un arbitrage entre les exigences du passé, celles du texte et les conditions du présent. La complexité de cette démarche est d'autant plus évidente dans une Europe plurilingue et multijuridique. Les équipes communes de spécialistes, linguistes et juristes, ont été créées, afin de mettre à profit leurs compétences, comme à l'Université de Poitiers, par exemple, à la Faculté de droit et de sciences sociales, où on a mis sur pieds un réseau d'informations juridiques à l'échelle européenne. Les *Jurilinguistes* se rencontrent dans des colloques et formes des équipes pluridisciplinaires ; on a avancé même l'idée d'une œuvre lexicographique monumentale, appartenant à la Francophonie, qui ait la possibilité d'unir des spécialistes pour réaliser « un trésor du langage juridique qui, s'appuyant sur une méthodologie scientifique, recenserait les différents sens qu'ont les mots selon les pays et les régimes juridiques, mais qui contiendrait aussi les informations grammaticales, stylistiques et étymologiques, ainsi que beaucoup d'exemples d'utilisation. »

La pluralité des droits, tout comme la pluralité des langues est celle qui déclenche la vue comparative. Mais on pourrait très bien se demander comment pourrait-on accéder à des normes qui soient communes à des pays dont certains ne connaissent qu'un droit dans une langue, d'autres le même droit en deux langues, d'autres deux droits qui coexistent, chacun porté par une langue différente. La Suisse, la Belgique, la Roumanie ou la Bulgarie présentent des situations différentes. L'idée de la corédaction des normes semble buter aussi des difficultés concernant le manque de personnel qualifié, de moyens matériels, déséquilibre entre les partenaires, inégalités des connaissances linguistiques, même des droits en contact. Les réflexes de défense, les réactions identitaires peuvent surgir et s'imposer parfois avec plus de violence que le sentiment d'enrichissement mutuel entre les cultures différentes. C'est pour cela que, lorsqu'il s'agit de faire passer un droit dans une langue autre que celle dans laquelle il est né, l'effort peut être considérable. Le traducteur devrait établir l'harmonie, ou mieux – la construire pour sembler acceptable. Pour entrer dans un tel projet, plusieurs décisions sont possibles.

Premièrement, il est nécessaire de simplifier le texte de la loi. Le rêve d'une communication juridique des plus claires hante depuis toujours juristes et linguistes à la fois. Dans les pays de common law, les équipes de spécialistes, dans un effort pluridisciplinaire, se proposent de trouver des solutions pour aboutir à une langue juridique usuelle et simple. Les juristes francophones constatent aussi l'évolution du style de la rédaction juridique anglaise ; la Communauté européenne, qui suppose la libéralisation des échanges commerciaux, la coopération internationale dans le cadre de l'Organisation des Nations Unies, en est la raison. Le français a déjà une longue tradition là-dessus, à partir de François I-er qui avait banni l'usage du latin dans les textes juridiques en 1539, en passant par la codification napoléonienne, jusqu'aux lois simplifiées sur le divorce du président Giscard d'Estaing en 1975. Selon N. Fernbach, les conditions qu'on doit respecter pour qu'un texte juridique soit simple et clair en français sont bien définies. Le texte juridique, s'il est bien rédigé, se distingue par son adéquation aux règles et principes de rédaction spécialisés « élaborés au fil des siècles, lesquels sont garants de la continuité, de la prévisibilité et de l'efficacité dans l'expression juridique. »

En plus, la langue courante à la base de laquelle est constitué le langage juridique offre les prémisses pour une compréhension satisfaisante, même si d'autres couches lexicales y concourent (archaïsmes, néologismes, latinismes, etc.). Français juridique et anglais juridique mènent même un combat sourd, basé sur des arguments d'ordre linguistique, mais pas seulement. Citons-y seulement quelques idées : « Les habitants de droit civil en général semblent penser différemment de ceux des pays de common law. Les Anglo-Saxons tendent à penser de façon pragmatique, tandis que les peuples latins raisonnent par
concepts ; la pensée anglaise est concrète et vague, la pensée française est abstraite et précise ; les textes juridiques anglais sont des labyrinthes de mots que seuls les spécialistes peuvent explorer ; la pensée française est fortement analytique, alors que l’anglais fonctionne par énumération et par inventaire 

Le « génie linguistique » de chaque peuple laisse des traces dans la traduction juridique, et cela à plusieurs niveaux. Quand même, il y a des États qui ont adopté des lois en ce qui concerne la rédaction juridique et qui supposent quelques principes simples. La rédaction doit se faire en langue courante, qui évite les mots longs, les mots nouveaux, les archaïsmes, les emprunts. Pour que l’effort du traducteur soit allégié, on préfère les phrases courtes, articulées dans une syntaxe prévisible – sujet+verbe+complément. On emploie plutôt des verbes que des noms, la voix active au lieu de la voix passive, on évite les doubles négations et les tournures impersonnelles (si présentes d’ailleurs dans le style juridique). La concision supposerait aussi d’éviter les redondances, les clichés, les pléonasmes, les énumérations superflues, etc. L’énoncé qui résulte doit être logique, bien formé du point de vue de l’énonciation, le destinataire doit s’y retrouver, selon le principe de l’effort moindre. Ainsi, on s’est aperçu que la distance entre l’auteur du texte juridique et le lecteur est appréciée de façon différente dans le style juridique français et anglais, le français ayant une plus grande tolérance pour l’abstraction. Les textes français manquent souvent de convivialité, puisque le style français, plus neutre et solennel, est empreint de sobriété. Le rédacteur français est moins dogmatique et systématique. Dans la phrase française, on ne peut pas renoncer à la voix passive (des effets de style s’y rattachent), ni à de certaines répétitions qui ont une fonction emphatique. Certains principes de rédaction en langue anglaise ne peuvent donc pas être importés dans le style français, même si on le voulait. Le problème du marquage du genre, par exemple, est révélateur. En anglais, il est possible de dire « The accused shall retain his or her right to remain silent », or en français ces procédés seraient bizarres, sinon impossibles, comme dans ce fragment « Le supérieur ou la supérieure immédiat(e) informe l’employé(e) qu’il ou elle aura le droit de prendre son repas quand il ou elle le désirera ». C’est pourquoi l’attitude conseillée est celle de prudence face à l’intégration trop rapide des tendances nouvelles de la rédaction juridique anglaise : « le droit tend à être exprimé en français dans un style visant l’universel et le général. C’est l’homogénéité du langage du droit qui a donné au français cet héritage enviable de concepts et de tournures classiques qui garantissent la survie du système et sa pérennité ». La qualité de l’expression devrait néanmoins rester comme une constante dans la traduction juridique.

Il est évident donc que, dans le domaine du droit, le passage d’un système à l’autre suppose une réflexion de la lettre et de l’esprit à la fois. La nature contraignante du droit fait en effet ressortir le caractère singulier de l’opération traduisante dans ce domaine. Parfois, ce processus est alourdi par l’absence de correspondance entre les concepts et les notions des divers systèmes linguistiques. Les traditions sociales et culturelles des pays peuvent être fort éloignées les unes des autres, et la terminologie juridique subit elle-même les échos. Certains proposent, afin de rendre possible l’approche comparativiste en droit, d’établir une grille commune de lecture ; premièrement, il fallait renoncer aux termes plus sophistiqués ou d’en atténuer la signification ou la portée pour arriver à une « terminologie moyenne, à un langage sui generis ». Mais le risque est toujours présent : le juriste italien, par exemple, peut se trouver démuni devant un tel langage, car, même s’il reconnaît des termes de son droit, il n’en reconnaît les fond. « La grille de lecture engendre un effet d’aliénation ou de déformation qui peut rendre la communication plus difficile mais qui paraît indispensable pour corriger les illusions d’optique ou l’effet d’emprisonnement de l’appartenance à une culture juridique nationale ». Comme nous le disions au début de nos considérations, le langage du droit face à la traduction est censé rendre aussi ce « droit muet » dont on parle souvent, la part de l’implicite, de non dit, même du subconscient, sans laquelle la compréhension mutuelle serait mise en doute.
Même l'idée de « communication interne » xxxvi des systèmes juridiques avancée par certains spécialistes semble se heurter des barrières culturelles spécifiques, lorsque, par exemple, dans de différents espaces, on ne dispose pas de termes équivalents, lorsque les signes linguistiques diffèrent notablement. Si on voulait comparer l'idée de « l'Etat de droit » en France, en Allemagne et au Royaume-Uni, on s'aperçoit de l'existence des difficultés dans l'équivalence des termes tels rule of law britannique, Rechtsstat allemand ; en France, même si l'idée existe depuis la Déclaration des droits de l'homme et des citoyens, elle n'a pas reçu d'appellation spécifique. Néanmoins, il serait hâtif de conclure à l'impossibilité de la traduction entre les différents systèmes juridiques, mais il serait plutôt utile de constater et valoriser la diversité des systèmes linguistiques. L'exemple de la traduction juridique au Canada est pour nous révélateur. Le début de l'histoire se trouve en 1759, au moment de la victoire des troupes anglaises sur l'armée française xxxvii. Même s'il a été sauvé de l'extinction, le conquérant anglais accordant aux habitants le droit de conserver leur langue, leurs coutumes et leur droit, le système juridique en français a subi incessamment les assauts de la langue dominante, l'anglais. De toute façon, la cohabitation s’est faite aux dépens de la qualité de la langue française, laquelle avait subi une forte contamination de la part de l'anglais (anglicismes, calques, etc). Quelques exemples nous sont fournis par L. Beaudoin xxxviii, et il sont retrouvables dans les textes de loi, les ouvrages de doctrine et les recueils de jurisprudence de l'époque: « offense » au lieu s' « infraction », « acte » au lieu de « loi », « papier-nouvelles » (de l'anglais newspaper) au lieu de « journal », « mérite (de l'anglais merits) au lieu de « fond », « évidence » (calque de l'anglais evidence) au lieu de « preuve », etc. On peut révéler aussi le procès inverse (la langue anglaise a subi les assauts du français, langue dominante au Québec) : « rente » (du français rente) au lieu de « annuity », « hypothec », « procès-verbal », « cadastre », « delay » (en français délai de rigueur au lieu de absolute deadline).

Dans le monde actuel, on constate une préférence pour l'anglais dans les documents juridiques francophones. Au moment de la traduction de la common law, on tente d'entourer les termes anglais d'un prestige exagéré. Par exemple, la notion de hardship a été transposée telle quelle par les traducteurs xxxix. L'usage des prépositions soulève, lui aussi, d'autres questions intéressantes, notamment dans le discours judiciaire. Sous l'influence anglaise, on s'est aperçu que certains traducteurs emploient à tort les prépositions. On pourrait signaler, à titre d'exemple, les situations suivantes : le recours s' « infraction », « acte » au lieu de « loi », « papier-nouvelles » (de l'anglais newspaper) au lieu de « journal », « mérite (de l'anglais merits) au lieu de « fond », « évidence » (calque de l'anglais evidence) au lieu de « preuve », etc. On peut révéler aussi le procès inverse (la langue anglaise a subi les assauts du français, langue dominante au Québec) : « rente » (du français rente) au lieu de « annuity », « hypothec », « procès-verbal », « cadastre », « delay » (en français délai de rigueur au lieu de absolute deadline).

Voilà pourquoi le traducteur doit-il être doublé d'un jurilinguiste. Il est obligé de tenter parfois l'impossible – en droit, cela signifie trouver les équivalences linguistiques pour obtenir des effets juridiques semblables dans deux cultures différentes, et cela à travers des textes organisés selon des règles linguistiques précises. Le jurilinguiste aura comme but de réconcilier l'optique du traducteur, avec celle du juriste, souvent différente : alors que le premier visera plutôt la juste équivalence linguistique, qui est censée entraîner, à ses yeux, celle juridique, le second cherchera à réaliser l'équivalence juridique, étant parfois convaincu que les signes linguistiques doivent s'y conformer. Il y a
aussi des opinions selon lesquelles l’équivalence à travers la traduction n’est qu’un mythe, et que l’exemple des grands textes internationaux n’est pas relevant puisqu’ils sont acceptés uniquement par volonté (législation) étatique ou politique. Toutefois, si aléatoire qu’elle soit, l’activité du jurilinguiste propose une interprétation indispensable du droit, basée sur une vraie traduction intersémiotique, puisque le message doit circuler d’un système symbolique à un autre, d’une culture à l’autre : voilà, selon nous, le plus important enjeu de la traduction dans l’Europe Unie.

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xxi Cornu, p.19.
xxii Chaim Perelman, Logique juridique, Nouvelle rhétorique, p. 173.
xxiii Claude Dubouchet, Sémiotique juridique, p. 27.
xxiv G. Cornu, Linguistique juridique, p. 327.
xxv Selon Gérard Snow, dans l’ « Introduction » aux « Actes du deuxième colloque international du Centre international de common low en français » (CICLEF), Français juridique et science du droit.
xxvi Simina Mastacan, Discursul implicit al dreptului, 2004 (thèse de doctorat publiée aux Editions Junimea, Iași).
xxix Ibid., p. 111.
xxx Plain Language Drafting Act, par exemple.
xxxi Quand même, des constructions telles “Sont nulles de plein droit, non avenues et de nul effet… » seront évitées.
xxxi Les adjectifs français s’accordent avec les noms, et non pas avec le sujet; le français ne connaît que le genre non marqué au masculin.
xxxi N. Fernbach, op. cit., p. 121.
xxxiv Constance Grewe, « Les problèmes du (des) langage(s) du droit comparé », in La théorie et la pratique des politiques linguistiques dans le monde, Actes de la 8-ème conférence sur le Droit et la langue, Iași, Université M. Kogalniceanu, 2003, p. 52.
xxxv Ibid.
xxxvi Le langage du droit s’adresse premiers aux récepteurs nationaux.
xxxvii La bataille des plaines d’Abraham, à Québec.
xxxix Cette tendance est jugée dangereuse et prise pour une attitude snobe de la part de ceux qui voudraient à tout prix émailler leurs discours de termes anglais, ce qui pourrait aboutir « à un droit dénaturé, pâle reflet du vrai et unique modèle, le modèle anglo-saxon » (L. Beaudoin, op. cit.).

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The Evolution of Environmental Regulation: Can Developing Countries Learn from Developed Countries?

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Abstract: Economists agree that, in environmental policy, economic instruments are more flexible and efficient than direct regulation. In practice, OECD-countries have applied the command-and-control method of direct regulation to control air pollution from its beginning in the early 1970s on. Only after 1990 economic instruments, such as emission trading, have begun to find some application. The history of environmental policy instruments in the US serves to illustrate the development. Developing countries have made a start with their environmental policies after 1990. It appears that they are deploying the command-and-control method of direct regulation as their main instrument of air pollution control. Why is this so? We use environmental policy in Vietnam as the case to illustrate the development and to answer our question. The fundamental question is whether it is a good idea that developing countries in their application of environmental policy instruments ‘copy’ the developed states. Should their governments not be advised to skip inefficient direct regulation and go straightforward for the efficient economic instruments?

1. Introduction

From the standard textbook in environmental economics the reader can learn that economic instruments, such as environmental taxes and tradable pollution permits are more efficient than the command and control instrument of direct regulation. And some of these economic or market-oriented instruments, in particular emission trading, are also more effective in realizing the target of emission reduction.

In contrast, looking at how environmental policy evolved in OECD-countries, from about 1970 on, one sees that direct regulation has been the main approach. In air pollution control the introduction and in a later stage the strengthening of emission standards sets a
clear example. It is only in the last fifteen years that economic instruments have begun to find some application. It is tempting to see these changes as an evolution from inefficient and not very effective instrument towards more efficient and, possibly, more effective instruments. Section 2 gives a short survey of how instruments in air pollution control developed in the US and we shall explore the forces that made them change.

In developing countries, environmental policy made a start after 1990. It can be observed that similarly to the OECD states, they have started with direct regulation as the main approach in tackling their pollution problems. The question arises whether developing countries will follow the same path in their application of environmental policy instruments as OECD countries, with a partial switch to the economic instruments in a later stage. In section 3 we discuss how instruments in air pollution control in Vietnam evolved from 1994 on. We shall investigate whether there are parallels with instrument change in the US. From the case histories of the US and Vietnam we can learn whether indeed one can interpret the changes as a development from more primitive towards more sophisticated instruments and why it is occurring or not.

The last and also the key question of this paper is a normative one. What policy recommendation should be made? Can developing countries learn from the experience of countries in a more advanced stage of economic development? The major issue is here whether there exists a fixed pattern of stages of environmental policy development, comparable to Rostow’s (1960) *Stages of Economic Growth*, from which the environmental authority could not or should not diverge and that determines that direct regulation is the instrument to start with and economic instruments are only feasible in a later stage. Or, can developing countries, having learnt from the experience of OECD-countries, jump the earlier stage(s) of instrument application and go straight for the more advanced efficient economic instruments, such as emission trading and taxation of pollution?

We shall discuss these questions using the environmental policy of the US as a case to illustrate the progress and refinement of instruments of economically advanced countries (section 2) and environmental policy of Vietnam as the case representing the developing countries (section 3). In the final section 4 we give our view on what developing countries can learn from the developed countries, or not, on how to design and implement the instruments of environmental policy.

2. Four decades of environmental regulation in the US

The development of environmental policy instruments over the past four decades in the US can be viewed as sequence a of ‘challenge and response’. The challenge being the emergence of environmental problems and failure in conquering them; the response the deployment of instruments to overcome the environmental threat. Failures in solving the problems and emergence of new environmental problems were the upbeat for a next round in adjusting old and forging new instruments. The following periodisation can be fitted on the challenge and response scheme:

- Legislation and implementation before 1970;
- The 1970 Clean Air Act Amendments and their implementation;
- The 1977 Clean Air Act Amendments and their implementation;
- The 1990 Clean Air Act Amendments and their implementation.

The successive Clean Air Act Amendments can be viewed as the political responses to the challenges emerging from failures in implementation and from the emergence – that is the political perception of new environmental problems. In this section, we shall discuss separately four themes which have formed the case of the development of policy instruments in air pollution control of stationary sources over time. The key issues are:

- Centralization in design and implementation;
• Increasing stringency and refinement of direct regulation;
• the emergence of economic instruments;
• the strengthening of implementation of and compliance with existing legislation.

2.1. Centralization

The US is a federal state. Historically environmental tasks such as environmental tasks such as waste disposal, restriction of nuisance etc. were tasks of the local governments in the first place; for the problems of larger spatial scale the state intervened. Until deep in the twentieth century the federal government did not have any authority in the domain of environmental policy.

The change came in the 1960s. From that time on, the government in Washington has extended and intensified the federal environmental legislation. The two major driving forces have been the emergence and growth of interstate air pollution and even more, so it seems, federal dissatisfaction with the progress state governments did make in designing and implementing state air pollution control legislation. Pollution crossing the boundaries of the states is a typical example of external diseconomies that requires a higher level of decision making than the state government: a classical case for centralization (Tinbergen 1952). Air pollution by cars offers a most appropriate illustration. Cars are produced in one state (or abroad) and are owned, used and causing pollution in other states. So there is economic logic in that the first important federal piece of environmental legislation in 1965 was setting emission standards for motor vehicles for HC and CO, thus restricting the scope for future state legislation in this domain. When the federal Environmental Protection Agency (EPA) was set up, in 1970, the bureau was mandated to set national emission standards for cars and to oversee their implementation. Many rounds of setting emission standards for mobile sources have followed; extending the range of pollutants and types of vehicles covered by environmental regulation and also making the earlier emission standards more stringent EPA has also overseen the introduction and implementation of inspection and maintenance programs.

In the decades of strong economic growth and with the increase of scientific knowledge of pollution (sources, transport and environmental impacts) stationary emission sources have also been identified as contributing to interstate pollution. The outstanding example is here the phenomenon of acid rain: damaging acidification effects on nature caused by emissions of SO2, Nox and NH3, which are released when fuels are burnt. The federal acid rain legislation was part en parcel of the 1990 CAAA. One of its main pillars is the sulphur allowance trading program. The program is geared to reducing and stabilizing the total volume of SO2 emissions generated in the US by electricity producers. Companies have received per year a total of allowances equal to the cap on total annual SO2 emissions. Single sources have flexibility by trading allowances. For example, an electricity generator situated in California, which has emitted less SO2 than its allowances permit, may sell its surplus allowances to a power generator in Washington DC which needs them to cover SO2 emissions in excess of the allowances it has received. It is a federal program with distinct features of centralization: a national cap on SO2 emissions, federal rules for allowances allocation to sources and federal rules for monitoring and sanctions. In the 1980’s it appeared that ground ozone targets were not attained and that the persistent ground ozone problem was very much a problem of interstate pollution. The 1990 CAAA included the basis for a federal program. The centralization appeared in its federal determined emission cap per state and in the authorization of EPA to shutdown or to set compliance schedule for major stationary sources in upwind states if they interfered with downwind state’s air quality standards. On the other hand authority was left to state governments. States had the right to establish and adopt their own regulations to meet the cap. They were free to select their own methodology in allocating emission allowances to sources in accordance with the state’s portion of the regional budget. States also played a
role in monitoring the program and they were responsible for ensuring that sources are in compliance with the requirements of the program.

Next to pollution spillovers between states dissatisfaction in Washington about the environmental performance of states dissatisfaction in Washington about the environmental performance of states has been the motive for federal legislation. From an economic point of view, there are no decisive arguments why the preferences of the federation should overrule the priorities of the state; but politically it happened. The federal Environmental Protection Agency (EPA), responsible for all federal environmental-related functions and as established in 1970 was authorized to set National Ambient Air Quality Standards (NAAQS) as the minority minimum air quality to be achieved in each state. Setting the emission standards for all new and modified existing stationary sources was also centralized. From 1978 on EPA was to set the New Source Performance Standards (NSPS). Although in 1970 the responsibility for establishing emission standards for existing stationary sources was left to the states that would not last long. In 1977, that authority was abolished for regions where the national ambient air quality standards were not met. In these non-attainment areas, existing stationary sources were required to take measures to meet de federal Reasonable Available Control Technology (RACT) standards set by EPA at a level less stringent than NSPS.

To make sure that states would not forsake their tasks of prescribing NSPS and RACT for sources and would take all other measures necessary to obtain their NAAQS the 1970 CAAA obliged each state to draft and implement a State Implementation Plan (SIP). Plans needed approval by EPA, which would also oversee their implementation. EPA was also equipped with teeth. From the start in 1970 it had the authority to act directly against violators of state implementation plans. In 1977, sanctions were added.

The 1990 CAAA brought further strengthening of the federal hold on states’ policies, in particular on their procedures of granting license, or operating permit. Federal minimum requirements regarding the application for and renewal of operating permit, its public notification and opportunities for the public to comment, etc. were imposed. In case state or local authorities failed to design and implement their operating permit programs properly EPA from 1990 on had the authority to have the federal operating permit program applied.

Despite the trend towards centralization over the past forty years of air pollution control policy in the US one can also observe that a state with a progressive policy such as California, which in its regulations was ahead of the federal government, had scope for regional initiative, as is demonstrated by the RECLAIM program, which started in 1990. California could also follow its own more stringent policy with regard to mobile sources. From the 1960s on California had more strict emission standards for cars and in the 1990s it applied the requirement for car makers to manufactures and sell a certain number of zero emission vehicles if they wanted to sell cars in California. Since 1990 federal legislation formally accepts that states set more stringent emission standards for vehicles than the prevailing national standards. This feature underlines that driving up states with lagging environmental policy has been a main driver of US federal legislation, more than to slow down states which were forerunners in the environmental field.

### 2.2. Developing direct regulation

Federal environmental policy in the US has taken the form of direct regulation from its first beginning on. The federal government, which task it was to coordinate the states’ policies, had to craft federal legislation on the legislation of the states which had been controlling air pollution of stationary sources by way of direct regulation in the foregoing decades of the 1950s and 1960s. Direct regulation is giving orders to the source owner to take specific control measures. When the federal government made its first move into air pollution control it took the command and control methods, which had evolved in the states for granted and tailored its approach to their needs. At first, it was by providing information
about available control technology, but from 1970 on increasingly by setting federal emission standards.

Following the approach developed by local authorities the federal emission standards focused on new and modified pollution sources. Sources already in existence had not to comply with the federal standards. A major reason for such a policy is avoiding excessive cost. Adding pollution control technology on already installed operating machinery is more complicated and costly than investment in pollution control complementary to or integrated with the investment in new capacity or renewal of machinery. The federal New Source Performance Standards (NSPS) for common air pollutants set for the first time in 1970 were minimum requirements which states had to respect when setting emission standards for sources; they had the authority to set more stringent standards. Actually, they hardly did so. Next to federal emission standards, the 1970 legislation created a battery of flanking regulations which should be of help to achieve the environmental objectives. Amongst them are the obligation for states to draw up state Implementation Plans (SIP) showing how the state was going to achieve the National Air Quality Standards (NAAQs) and the New Source Review (NSR) procedure to establish whether a new or modified source would inhibit attainment or maintenance of NAAQs near its location. Halfway the 1970s it became clear that many states would not attain their air quality goals and that they never would do so unless emission standards were made stricter. The concept of attainment and non-attainment areas was defined. In attainment areas the federal air quality standards are met; in non-attainment areas they are not. The 1977 CAAA required that new/modified sources that wished to locate in non-attainment areas had to install technology meeting the Lowest Achievable Emission Rates (LAER); which is stricter than NSPS. On top of that the New Source Review introduced in the 1970 legislation required sources to demonstrate that they would not inhibit attainment or maintenance of NAAQS. Strictly interpreted it meant that in non-attainment areas the new sources should not add to the existing level of emissions.

In attainment areas requirements became more stringent as a consequence of the EPA's introduction of Prevention of Significant Deterioration (PSD) in 1974. Sources that wished to locate in PSD areas, where air quality is better than NAAQS required, had to install Best Available Control Technology (BACT) which is a stricter and therefore more costly technology than NSPS, although less strict and costly than LAER which as demanded in non-attainment areas.

The 1970 CAAA left states the authority to establish and impose emission standards on existing stationary sources. In fact, states must demonstrate in their State Implementation Plans (SIPs) how existing sources would be controlled. It left states the option to require low cost solutions, such as fuel substitution, instead of more environmentally effective and more costly control technology. It also could mean that states did nothing to reduce emissions from existing sources to avoid additional cost for their incumbent industries. A 1976 decision of EPA formalized in the 1977 CAAA, eliminated that option by requiring that in non-attainment areas existing sources must apply Reasonable Available Control Technology (RACT). RACT is less strict than NSPS and BACT and therefore less costly.

A part of the new legislation to counter the problem of acid rain, which did come into force in 1990, extended direct regulation further by setting new and more stringent Nox emission standard for new and existing sources in the electricity generating industry.

So far the story of direct regulation of stationary sources is one of increasingly stringent requirements, necessary to attain air quality goals. Making standards more and more stringent and extending them from new an modified sources to existing sources tended to raise the cost of pollution control for industry. The federal authority was not blind to that problem and has tried to mitigate the increase in cost in several ways. In the first place, it differentiated its emission standards by tailoring them to the attainment situation in
the area, requiring lower emission reduction from sources in attainment areas than in non-attainment areas. Setting less stringent standards for existing sources than for new and modified sources is another example of differentiation in requirements to keep costs low.

The 1977 Act introduced more flexibility by authorizing the administrator to grant waivers: instead of applying NSPS a new or modified source was permitted to use innovative emission control technology to achieve the required emission reductions or perhaps even more. The 1990 CAAA brought further flexibility by introducing the general permit as an option. Traditionally the operating permits granted by the states were issued for individual existing operations, often resulting in a single plant holding numerous operating permits. The general permit brought in more flexibility and lower compliance cost in meeting the NSPS by allowing a single standardized permit covering numerous similar sources or units of a large source within the same category.

The Nox emission standards for electric utilities (based on the 1990 CAAA) had inbuilt flexibility by prescribing an average standards for new/modified and existing units within a plant. The regulation therefore accepts intra plant compensation of emissions.

The developments in federal legislation presented here all illustrate that failure to achieve the pre-determined air quality targets and the emergence of new environmental problems have challenged the federal government and EPA to introduce and accumulate more and more direct regulation: more stringent, more extensive, more refined and detailed. That development tended to reduce the scope for states to make their own policies and it also stifled the actions of plant owners and managers. All that drives up the cost of air pollution control. The federal authority did react to that, not by abandoning direct regulation, but by introducing new interspaces of flexibility, to increase efficiency where that seemed possible without undermining the environmental effectiveness. Tuning emissions standards to the regional air quality, introduction of the waiver, of the Title V general permit and the plant average.

Nox emission standard demonstrate the quest for efficiency while staying within the compound of direct regulation. There are no signs here of adding some type of economic instrument (in the sense of paying for pollution, or being paid for reducing pollution), or of bringing it in as a substitute for direct regulation.

### 2.3. The emergence of economic instruments

Yet tensions were generated by increasingly tighter regulation; they did grow and in the end it turned out that from the efforts to solve the problems an add-on economic instrument had emerged.

In its basic form, regulation by way of emission standards has the flexibility that there is open access for new sources through the entry of new firms or expansion of existing industry. If the new source meets the emission requirements it must be allowed to start its operations. However, the New Source Review (NSR) procedure introduced in the 1970 CAAA, interfered with that type of flexibility. The NSR should establish whether a new source that a firm was planning to construct at a certain location would inhibit attainment or maintenance of NAAQS. If it did, the source would not get permission to be constructed. In the 1970s, it became clear that this additional restriction was going to be a serious bottleneck in non-attainment areas and might bring industrial expansion in such areas to a halt. A way out was found by EPA in 1976 in a new type of flexibility, the offset. It allows entry of new and modified sources in a non-attainment area if, next to installing LAER, its emissions are offset by existing sources in that area. The sources that make the offset could be a source controlled by the applicant for a new source permit as well as sources not controlled by him. That last option introduces emission trading: the permit applicant pays the other party for reducing its emissions more than the prevailing emission standards require. A new way of complying - and one within the class of economic
instruments – had been born. Not as a substitute for, but as an addition to the existing system of direct regulation, which through its increasing stringency had become untenable.

In the next years, the emission trade options were stepwise widened. In 1979 banking of emission reduction credits (ERCs), created by reducing emissions from existing sources below levels required by prevailing emission standards was allowed. Such banked ERCs could be used in the future to offset emissions from new/modified sources. The bubble policy generalized the offset approach, allowing existing sources to create, acquire and use ERCs to meet emission requirements. Netting is an important offset mechanism for modified and expanded sources. They can avoid the burden of NSR requirements if internal offsets (netting) enable them to keep the increase in plant wide emissions insignificant.

In 1986, ten years after the first beginning of emission trading, EPA codified the trading system by formulating a set of generic rules. States were free to adopt them and apply them in interstate trade.

The many details of EPA's emission trading scheme should not distract us from what it basically is. A firm which can reduce its pollution to a level below what is required by the emission standard at low cost, i.e. below the ERC market price will do so and save (bank) its surplus emission reduction (ERC) or sell it to an other, party, which could only realise the regulatory required emission level at high reduction cost and therefore prefers to buy ERCs to cover its gap in emission abatement. The development of emission trading had been one of gradual extension: at first only new and modified sources were included, later on also existing sources, from trade only in attainment areas it extended to non-attainment areas, from temporal trade it came to intertemporal trade (by allowing banking) and from intra state trade it came to interstate trade.

Although the emission trading program introduced considerable flexibility in the originally very rigid system of regulation and thereby speeded up compliance with and reduced the cost of compliance with the requirements of the Clean Air Act, it basically left in place a considerable part of the direct regulations on which it had been crafted. For example ERCs cannot be used to avoid NSPS for new sources, emission reduction from plant shutdown cannot be traded and most trades must pass the ambient NSR test. Another bottleneck was that a plant’s baseline emissions for existing sources were not always sharply delineated in SIPs. Such remaining regulatory restrictions, uncertainty on ERCs and high transaction costs have made the emission trading market more illiquid by lowering the number of trades, thus undermining the functioning and consequently the efficiency of EPA’s emission trading program.

Parallel with the development of the EPA emission trading program EPA introduced in 1982 lead quota trading between refineries to provide additional flexibility and cost effectiveness in meeting the deadlines in phasing out lead in gasoline. The market functioned well with low transaction costs. The program was completed in 1987 and was assessed as environmental effective and cost efficient.

In 1987, EPA established tradable quota for chlorofluor carbons (CFCs) and halons to meet the requirements of the Montreal Protocol. The program was quite successful. The relatively low transaction costs associated with trading in the CFC market suggest that the system was relatively cost-effective.

Both programs were added to a system of direct regulation geared to phasing out the pollutants. They left sources more flexibility by having less restrictions on emissions trade than the earlier EPA emission trading scheme.

At the end of the period 1977 to 1990 the picture of achievements was mixed. Regulation had become more demanding in terms of abatement effort. Stricter enforcement discouraged non-compliance of sources as well as states. And technology forcing emission standards for cars came into effect from 1981 on. In principle, this would
lead to higher costs for sources, but increased flexibility in the regulation of stationary sources – such as waivers, treating plants as a source, shifting of deadlines and the administrative penalty – tended to lower costs. EPA emission trading and quota trading represented an even more radical innovation in instruments, promising more flexibility, lower costs and possibly even faster attainment of the air quality goals. Against all this good news stood the experience that EPA emission trade did not realize its full potential, due to remaining obstacles to trade.

However, a much bigger challenge for environmental policy loomed up in the 1980s in the form of a new, politically perceived environmental problem: acid rain. Deposition and accumulation in soil and water of substances of air pollutants SO2 and Nox cause degradation of flora in regions where soils are poor in lime. Containment of damage from acid rain asked for new, more stringent control of SO2 and Nox emissions than was necessary to attain NAAQS for SO2 and Nox. Based on the on protection of human health. The acid rain program focused on the electricity generation sector. The original plan was to set new federal emission standards, more stringent than NSPS and RACT for all sources in the sector. Cost calculations brought out that the costs of complying with such stringent standards would be formidably high. The search for more flexibility to lower the total cost brought two different types of solution. The approach for Nox stayed within the existing framework of direct regulations, including EPA emission trading. Electricity generators were allowed to meet the Nox emission standard by averaging the emission rates of units within a utility. Basically, this does not differ from ERC (credit) trading within a firm.

Really innovative was the instrument chosen to cut back total SO2 emissions of the electricity sector: the sulphur allowance trading program (SAT). The political ground had been prepared in the 1980’s. The attitude of most politicians in Washington had become more positive with regard to market-based instruments. Apart from the general political climate of the Reagan era, the negative experience of high and increasing cost of direct regulation and the positive, although modest results of EPA-emission trading contributed to the change in attitude. The innovation of SAT comes mainly from three new elements.

1. In the first place the program places a clearly defined cap on total sulphur emissions of the electricity sector.
2. Secondly, the total allowed (annual) emissions have been distributed among the incumbent firms of the sector at the start of the program in 1995. To comply with the programs, at the end of each control period, each affected source must demonstrate that its actual emissions do not exceed the amount of allowances held for that period.
3. Thirdly, firms are allowed to trade their allowances and do so independent of where their units are located within the US. For example a utility that plans to expand its production capacity and therefore potentially its SO2 emissions, has to cover the extra emissions by reducing emissions of other units it operates by, using banked allowances, or by buying allowances from other firms. The essence of SAT is that expansion of incumbent firms and entry of new firms will not change the total cap on emissions. It implies that firms which suspend operations can sell allowances they do not need anymore to cover emissions.

Because allowance trade, similar to ERC or credit trade, tends to concentrate pollution control where it can be done at lowest cost the SAT program did promise and bring enormous cost savings, from 30 to 40 percent compared to the originally planned direct regulation by way of SO2 emission standards. A sine qua non for the development of a well functioning allowance market was strict monitoring of actual emissions of all sources and administration of (change in) who holds the allowances. Actual emissions had to be covered by allowances on a yearly base. Penalties for non-compliance were draconian and could be cashed without delay (Klaassen and Nentjes 1997). The SO2 trading
program has shown that efficient, competitive private markets for tradable permits can develop. The SO2 allowance trading program is one of the most innovative provisions in the 1990 CAAA and its emergence is to be considered as a crucial step in the evolution of environmental policy instruments.

Another environmental problem of the 1980’s was ground ozone. It is mainly a threat to human health. Earlier policies to reduce Nox and Volatile Organic Materials (VOMs) which are the precursors of ozone had been insufficiently effective. The approach of the 1990 CAAA was partly traditional direct regulation - setting more stringent emission standards for Nox and VOM in non-attainment areas – but there was also scope for market based policies. The 1990 Act recognized that ozone non-attainment was very much an interstate problem, due to interstate transport of Nox and VOM emissions, and could only be solved by a common approach, in particular in the states in the North East of the US. An interstate trading scheme to NOX and VOM emission allowances was designed and introduced that in many respects followed the example of sulfur allowance trading. The basic characteristics were an emission cap per state, distribution of allowances, in total equal to the cap, to sources by grandfathering emission allowances, free trade in allowances intra state as well as interstate and use of allowances to cover emissions of affected sources within the group of affected states.

The allowances market mechanism is available for existing facilities that want to obtain extra allowances if they lack allowances to fulfill their obligations or for new entries that need allowances. EPA does not review or need to approve sources’ decisions, allowing them to tailor and adjust their compliance strategies to their particular economies. In addition, any person may acquire allowances and participate in the trading system. Allowances allocated to shutdown sources are allowed to remain in the market; usually for 100 percent.

2.4. Implementation and compliance

When the federal government embarked on air pollution control, states had the primary responsibility for monitoring and enforcing air pollution regulations. Since 1970, the federal government has become increasingly involved in enforcement issues. Presently the division of tasks is that the federal EPA has the authority to oversee state enforcement acts and next to that has concurrent enforcement authority; typically, it takes the lead role in the most difficult enforcement activities at the state level. The general picture is that over the past thirty years enforcement of compliance has evolved from lax to quite strict. Federal legislation and EPA action have been instrumental in the development.

Before 1970, states had all authority to monitor sources and enforce them to comply with air pollution control regulation. Traditionally, states relied upon industry self-monitoring and infrequent governmental inspections. Sources were expected to comply voluntarily with their obligations. When it was discovered that they did not an order or compliance schedule would be sent to the violating source. The approach implied that non-compliance was next to costless for firms. The strongest compliance enforcement action available to states was to bring the case to court to obtain compliance or to have the source pay fines. The federal government could only take action by bringing a non-compliance case to federal court when states requested it or in case of interstate air pollution. It was a long and cumbersome three-step enforcement process which had hardly any effect.

Realizing the weakness of the enforcement process the 1970 Act repaired that weak spot by allowing EPA to act directly against violators of state plans, either by issuing a cease of violation order or by direct court action. However, the 1970 Act omitted to change earlier clean air legislation which did not permit the administrator himself to directly impose civil penalties on violators. Thus, the problem continued that efforts to impose sanctions took the time consuming and costly way of taking a violating pollution source to state or federal court. To eliminate this bottleneck the 1977 amendments allowed EPA to
apply administrative penalties to violating sources without involving the courts. The 1990 CAAA exploited the new enforcement instrument by embedding it in its legislation for acid rain: administrative fines apply automatically to sources which exceed their allowed emissions of SO2 and Nox.

From the point of view of the federal government, a major bottleneck in the implementation of air pollution control policy in the early nineteen seventies was the lax way in which at state and local level the authorities implemented their task of sources monitoring and enforcing compliance. For that reason, the 1977 CAAA introduced new strong sanctions (highway or sewage construction fund banning) to punish states that failed to submit or implement their SIPs. The treat was effective in activating states and local authorities and urging them to devote more effort to monitoring and enforcing source compliance. Some states even innovated in pollution monitoring for example by using new laser scanning technology.

The new Title V operating permit program of the 1990 CAAA brought improvement in the process of permitting by specifying the minimum requirements state operating permits have to meet. Next to that enforcement of sources’ compliance was shifted from the regulators to the facilities themselves.

### 2.5. Discussion

Looking at the development of environmental policy instruments in the US its most striking feature is the persistence of the so-called command and control approach of direct regulation. It started at local level in the late 19th and early 20th century when firms which could cause nuisance and harm were required to apply for an operating permit and comply with the environmental requirements attached to it.

That type of direct regulation was also the base for state policy and from its start on in the late 1960’s on for federal environmental policy. In the decades that followed the history of federal air pollution control is predominantly one of making the requirements more stringent and pressing the states to incorporate them in their regulations and to enforce compliance by sources. That development implied increasing centralization, both in setting emission standards and enforcing compliance with the regulations. Therefore, states experienced ever-decreasing flexibility to draft and implement less tight policies of their own. For business, it also meant less flexibility in its choice from pollution control options (including the option to comply partly or even not at all). Together with increasing stringency of environmental requirements in the form of emission standards, it did raise the costs of pollution control.

**The quest for efficient regulation**

Hand in hand with the federal efforts to strengthen the effectiveness of its pollution control policy EPA has tried to find ways and means to mitigate the rise in costs caused by its regulation. From the first beginning on those efforts were focused on adjusting direct regulation itself, to make it less expensive without compromising the air quality targets. At the start of federal clean air legislation such efficiency was found by applying the emission standards only to new and modified sources, exempting sources that were in existence before the introduction of legislation. In the next stage, after it had turned out that NAAQs would not be achieved in non-attainment areas without the contribution of existing sources to emission reduction, instead of exemption the lighter RACT standards had to be applied, but only in non-attainment areas. For new and modified sources, the new LAER standards were set, which were more stringent than the earlier uniform NSPS, but again they only applied in non-attainment areas. The differentiation of emission standards over time illustrates the effort to attain the NAAQS at all places while avoiding costs of pollution reduction in places where NAAQS did not require such far-reaching reduction of emissions.
In non-attainment areas, where air quality standards could not be met in the 1970 and 1980s, even when applying all applicable stringent standards, and where further expansion of industry was under threat, the EPA emission-trading scheme was born out of need. It is not a substitute for existing stringent regulation but a complement to it. A firm can meet its legal emission reduction requirement by acquiring emission reduction elsewhere (internally or externally) at sources where emissions are reduced more than legally required. By allowing external compensation and payment to whom performs the compensation a type of economic instrument emerged. However, the type of flexibility is so much embedded in the whole pre-existing scheme of direct regulation that one can better conceive it as a further step in the process of refinement indirect environmental regulation than understand it as the introduction of the economic instrument in the US environmental policy, as is usually done.

In hindsight, the introduction of the general permit in the 1990s, which allows intraplant compensation between emission sources and also the NOx emission standard which has to be met as an average of all sources of a company are no more than varieties of the EPA emission trading although with much more clarity about base line emissions than in the original credit trades of the 1970’s and 1980s.

**The emergence of cap-and-trade**

Emission trading as a full-blown economic instrument on its own and as a real alternative to regulation has developed there where new environmental problems appeared form the 1980s on and the bottleneck of crafting new approaches on old established practices did not exist. The reduction and ultimately removal of lead from the gasoline production of refineries and similarly the phase out of production of CFCs and halons were such new policy areas. No less important is that they were perceived as problems on a national scale and therefore required a federal scheme geared to a stepwise reduction in total quantities of the pollutants. Baselines for firms of lead, respectively CFCs and halons were fixed and lead use quota, respectively CFC and halon production quota could be traded freely between the participants in the program.

The sulphur allowance trading program that had its start in 1995 was the real breakthrough. Here it was policy for a type of pollutant that traditionally was covered by the command and control method of direct regulation through emission standards. Such an approach sets only a relative limit on emissions, for example maximally \( x \) microgram’s of sulphur emitted per tonne of coal burnt. But the government explicitly decided to abandon that option and instead establish a scheme aiming at absolute limits on emissions of sulphur, with total national emissions as the target and baselines per firm adding up to the national total. Firms were free to let their emissions diverge from the baseline, on the condition of buying allowances that ultimately only could only be on offer because a number of firms had decided to emit less than their baseline. The economic instrument of emission trading in its form of a cap and trade program is a clear-cut substitute for traditional direct regulation of emissions.

The new approach was feasible because the acid rain problem and the emissions causing it could be conceived as a national problem: emissions on a large (national) scale also allow sulphur allowance trade on a large scale. No less important is that emissions are monitored constantly and with extremely high penalties for not complying, while all holdings of emission allowances are also registered minutely.

Without such strict rules for enforcement and the administrative conditions to guarantee their implementation, the cap and trade scheme could not function. Where selling allowances without concurrent reduction of actual emissions would be a real option, with a zero probability of being detected and punished, the whole cap-and-trade scheme would break down: with permit prices spiralling down to zero and actual emissions far exceeding the cap on total emissions. Actual experience has been the opposite of this
The Evolution of Environmental Regulation …

The gloomy scenario thanks to the high quality of the program and thorough implementation and enforcement.

**Institutional path dependency and lock-in**

Until today, we have not spotted one cap and trade program developed and introduced as a substitute for an established, to be abandoned policy of direct regulation. There are plausible explanations why this is so. Following such authors as David (1985) and Arthur (1989), who have introduced the terms path dependency and technical lock-in to analyze technical development, Woerdman (2004) uses the terms institutional path-dependency and institutional lock-in to explain why new policies, which make a clear break with traditional ways of doing things, hardly make a chance to start. Even if the new policy looks very promising in terms of expected benefits (think of estimated high cost savings from cap and trade compared to direct regulation) policymakers could prefer to stick to the traditional policy instrument because of the uncertainties and perceived high introduction cost of venturing into something new. Do not forget the bureaucracy has had a long learning period and experience with the established policy. Learning by doing has brought down costs (see the differentiation of emission standards and the flexibility of internal and external compensation for surplus emissions). Such institutional path dependency can create an institutional lock-in. The political and bureaucratic barriers against the new policy are too strong. The history of instrument choice in US environmental policy provides support for the theory.

Despite the troubles and inconveniences of the traditional approach of direct regulation it remained in place, institutionally path dependent as it was. It should be remembered that federal environmental policy started hesitantly and modestly in the late 1960s and early 1970s. Only in time and in successive steps did it get more clout. These were exactly the conditions where path dependency exerts its influence strongest. Since federal policy had no more pretension than being supportive and complementary to state policy the federal government had no other choice than crafting its policy as the established state approach of direct regulation.

The new approach and institutional break-out of cap-and-trade got only a try in new domains of environmental policy. Path dependency here still played a role, among others because bureaucracies will prefer to apply the approach they know top the new issue the urge, but is much weaker, since it is not necessary to take down on established policy.

**Policy instruments and administrative infrastructure**

Institutional path dependency and lock-in are useful concepts to illuminate the development of environmental policy instruments in the US. To get the full picture particularities have to be added about the administrative environments in which specific instruments of environmental policy can thrive. Environmental regulation, in its form of prescribing citizens what kind of actions are forbidden and which actions are obligatory, has an history of ages. The pollution activities to which the regulations referred were very visible, therefore easy to monitor by the policing force and easy to sanction by the courts. The regulations and their implementation did not require a sophisticated administrative infra-structure. Containment of air pollution asks for technical provisions (such as filters, scrubbers) or a switch to less polluting fuels.

When environmental technology develops and offers a wider variety of options the technical expertise in the bureaucracy, which grants operating permits and monitors compliance has to grow pari-passu. Still, the administrative demands remain simple. The bureaucracy should know which technical provisions to require and it can monitor on the spot whether they have been installed and are operating. As long as the environmental problem is only location-specific, there is no need to have a picture of total pollution caused by all sources and no need for air quality targets. The administration can simply
prescribe what is technical feasible without being too expensive. We can conclude that direct regulation is in itself a rather primitive instrument of environmental policy and is suitable to be applied under primitive administrative conditions.

The political authority can tune the stringency of its environmental policy in different ways. Not only by instructing the bureaucracy which level of pollution control costs it thinks to be politically acceptable but also by deciding on the size and quality of staff and equipment in the bureaucracy for the tasks of granting permits, monitoring and penalizing non-complying sources. In the end it also determines with how much direct regulation is that its stringency is variable, even after the regulations formally have come into force. In systems of political and administrative hierarchy, such as federal states, the variability of implementation also offers an escape route for lower level governments unwilling to bear the full economic brunt of a national pollution control policy. As we have seen in section 2.1 and 2.4 the ongoing centralization of environmental regulation in the US came very much about as the federal reaction to the intransigence of state authorities.

In the past decades, US environmental policy has evolved. Scientific knowledge of environmental and health impacts of pollution has increased, economic growth has immensely increased potential pollution, perceived environmental problems have extended from local to regional, to state, to national and in some cases even global scale. The number of relevant pollutants has increased. In the wake of that development national air quality standards have been drawn up and established, total acceptable emissions (national, state and sometimes even regional and local) have been established. The technical measures, such as emission standards are to be calibrated capable to meet the environmental targets of higher order. Over time, the tasks for the regulator have become much more complex. The tasks of designing regulation, implement it, monitor implementation of direct regulation and penalize non-compliance have raised the demands on the environmental bureaucracy, both in size and quality. With retardations, such growth in staff and its performance has taken place in the US. The outcome of the development has been that nowadays the sources of pollution are known (place, category, owner) and how much they are allowed to emit. Actual emissions are monitored and sanctions for non-compliance are applied. Regulation has become much more complex indeed and so has its administrative environment. Most relevant for our analysis is that the administration of sources and their baseline emissions is in order good order, the quality of monitoring (a.o. thanks to obligatory self monitoring) is so much better now and legal and administrative obstacles to penalizing non compliance have been lowered, making strict enforcement of compliance an administratively feasible option. Exactly these conditions are the sine qua non for the feasibility and effectiveness of an economic instrument such as cap-and-trade schemes. For example, the sulphur allowance trading program could not have worked from 1995 on without a full inventory of sources in the electricity sector, information to establish baseline emissions, installed technology for continuous monitoring of emissions, a system for tracking allowances and an administration to pinpoint and penalize allowance deficits at the annual closing date.

These administrative conditions were simply not three in 1970 or in 1980 and that was in itself a sufficient reason to make cap-and-trade schemes not feasible in the 1970s or 1980s. If the administration had given the instrument a try it would have ended in a fiasco, due to failures in enforcement of compliance caused by the defects in the administrative infrastructure. Without high quality monitoring malafide firms have a strong incentive to sell allowances, without reducing emissions, to bonafide firms which use them for legally increasing emissions. This feature of tradable permit schemes brings home that, in contrast with direct regulation, the stringency of enforcement of compliance is not available for political manipulation. It is black or white, the shades of grey between no and full compliance, typical for direct regulation, are lacking when cap and trade schemes are applied. During the development of EPA emission trading, embedded in established direct
regulation, EPA and state authorities learned about the necessity of making and maintaining a complete and reliable inventory of sources, clear baselines, reliable monitoring and simple trade rules. The evolution of EPA-emission trading depended greatly on the co-evolution of its administrative context. These basics can be summarized in the slogan: sophisticated instruments require a sophisticated administrative infrastructure.

**Conclusion**

The above observations on the conditions in which primitive and sophisticated instruments can function, do contribute additional materials to extend and further underpin the theory of institutional path-dependency and institutional lock-in.

At its start, environmental policy was locked-in the instrument of direct regulation. It was not purely a matter of path dependency in the sense of going on, more or less blindly in the old ways and of distrust of new approaches. There were more compelling reasons. Given the administrative infrastructure of that time established direct regulation indeed was the most appropriate approach. One may even say: the only feasible instrument. Primitive circumstances asked for a primitive policy instrument. Only in the later stage when together with regulation the administrative environment had evolved to a sophisticated infrastructure it was ripe to support the application of the economic cap-and-trade instrument. Moreover, in the later stage we usually see a stronger public and political support for a stringent, consistent and well-enforced environmental policy. Therefore, it is more probable that the political authority is willing to give up the option of soft enforcement, which direct regulation offers and the economic instrument of cap-and-trade has not.

Still, although the obstacles in administrative infrastructure and political unwillingness are declining when environmental policy comes of age the types of bottleneck analyzed by Woerdman (2004) remain. Therefore the institutional lock-in in direct regulation may continue. Institutional break-outs, such as the partial one in US cap-and-trade programs, are not a necessary outcome.

### 3. Environmental policy instruments in Vietnam

In Vietnam authorities started to become concerned about ongoing environmental degradation in the 1990s, a period of strong economic growth after the government had reformed the economic system in 1986, allowing more private economic activity and private property in what until then had been a centrally planned economy based on public ownership. The Law on Environmental Protection, which came into force in 1994, marks the beginning of a Vietnamese national environmental policy, among others in the domain of air pollution control. In the next subsections, we shall discuss how air pollution control policy evolved from 1994 on, up to 2003 indicating similarities and differences compared to the history of air pollution control in the US. Subsection 3.1 is on the organizational framework. 3.2 and 3.3. focus on the instruments for air pollution control policy: setting and implementation of emission standards (3.2) and the procedures for firms to comply with air pollution control requirements (3.3). Subsection 3.4 reports on compliance. Discussion and evaluation of the Vietnamese policy is presented in 3.5

#### 3.1. The organizational framework

Politically, Vietnam is a unitary, centrally governed state. That political structure is reflected in the organizational three-layer structure for environmental policy. At the highest level of the national government the Ministry of Science, Technology and Environment (MOSTE) promulgates regulations, sets national ambient air quality standards, national
emission standards for stationary sources and, in cooperation with the Ministry of Transport, national emission standards for mobile sources. The executive department for MOSTE is the National Environmental Agency (NEA). In 2002 MOSTEs environmental tasks went to a new Ministry of Natural Recourses and Environment and NEA was renamed Vietnam Environmental Protection Agency. MOSTE monitors and penalizes non-compliance of the largest plants in the most polluting types of industry. For the other categories of stationary sources and for mobile sources MOSTE delegated implementation to the second layer of regional authorities (DOSTEs), which were authorized to draft and issue regulations supporting their implementation tasks. DOSTEs could even set and implement regional standards more stringent than the national standards. Less stringent standards are forbidden. MOSTE monitors how DOSTEs implement the national regulations and instructions. The third organizational layer is the district level to which a DOSTE can delegate a part of its environmental protection tasks.

Different from the US, which is a federal state and a market economy, the central government’s task in Vietnam is not meant to be complementary and supportive to the environmental initiatives taken by the regions. Instead, it takes the initiative and regions have to follow the orders coming from the top. The scope for lower level initiative is narrow. As we have seen in section 2 the trend in US environmental policy has very much been towards centralization, thus establishing a type of hierarchy which in Vietnam was there, in blueprint anyhow, from the start on. In practice, it has turned out that the organization of environmental policy has its defects. The bottlenecks do not pertain so much to the vertical relation between MOSTE, DOSTEs and local environmental bureaucracies, but to the horizontal relations between departments of government in the same layer of the bureaucratic hierarchy. The difficulties arise because decisions involving environmental issues are made not only by MOSTE and DOSTEs, but also by other Ministries, in particular Industry, Construction and Transport. And regional and local agencies of those Ministries also make decisions involving environmental issues. It leads to competition and conflicts between MOSTE and other Ministries and between DOSTE and local environmental agencies on the one side and the agencies of the other Ministries at the other side. There are no mechanisms to overcome such disputes. The result is deadlock in environmental policy implementation.

The Law on Environmental Protection of 1994 was phrased in very general terms and left room for different interpretations about competencies. Later regulations seem not to have been able to solve the problem. For example, formally MOSTE has the authority to shut down a plant that is not in compliance with environmental regulation. However, if the plant is part of a state owned enterprise MOSTE needs the consent of the sector Ministry of Industry, which usually refuses to do so.

For the US, we did not find this type of conflict on the national level. Evidently, EPA was given a sufficiently strong position from its start on. Conflicts on competency between the Environmental Ministry and other Ministries responsible for economic sectors were however a very serious problem in the former communist, centrally planned Soviet Union. They did arise because sector Ministries, which had the task of realizing and even better exceeding the annual production targets, perceived environmental investments as an interference with and a barrier to their proper functioning. Even in European countries with market economies – The Netherlands for example – sector ministries, such as transport, agriculture, industry and energy took the same position in the 1970’s and 1980s. We therefore see these conflicts on competency (and the statement arising from them) as typical for economies where sector Ministries have strong positions, general public and political support for environmental protection is (still) weak and where the legislation has not had the courage or capacity to carve out for the new Ministry of the Environmental and its agencies a position with a clearly demarcated and strong authority in environmental protection.
3.2. Direct regulation

The 1994 Law on Environmental Protection gives only a broad outline of organizational structure and policies. Those were to be worked out in regulations that followed in later years. From the Law itself it is clear that direct regulation was to be the instrument of air pollution control policy. A regulation of 1995 established ambient air quality standards, emissions standards and technical standard for stationary sources. All this resembles developments in the US twenty-five years earlier. There are also differences. Unlike US, policy the 1995 emission standards were uniform for all types of stationary sources and locations. They did not make a distinction between existing sources (with no or weak emission standards) and new modified sources (with more strict standards); neither did they differentiate between regions and areas according to attainment status. It means that ambitions were high and that in setting the emission standard costs were hardly taken into consideration.

The error made was recognized and partly repaired in 2003 when emission standards were revised and a differentiation according to location – industrial zones, urban regions, rural regions – was introduced, with the most stringent standards for sources located in the most polluted areas, i.e. the industrial zones.

3.3. Permitting procedure

Formally, firms which are in the polluting category of industry need permission from the environmental authority to operate their installations. Basically, such permission is granted if the firm does comply with the environmental requirements of the authority. As we have seen the operating permit procedure in the US works in this way. In the US, the firm has to apply for a (new) operating permit when it plans a new source or substantially modifies an existing source. In exceptional cases, a permit for existing sources (renewal or a first permit) can be demanded. By proceeding this way, the introduction of (new) emission standards has been a relatively gradual process in the US.

The Vietnamese approach differs from the American procedure in a number of respects. In the first place the procedure, which came into force in 1994 is much more heavy handed. A firm that needs an environmental license has to submit an Environmental Impact Assessment (EIA), which states the (potential) negative environmental impacts of its activities and what the firm can and will do to mitigate those effects. Obviously, the mitigation efforts have to comply with the emission standards for air pollution that are enforced. The EIA report needs approval of the environmental authority. Next, after compliance with the approved EIA report has been demonstrated, the firm gets its environmental license (the equivalent of the US operating permit) and can start operations.

Next to being more lengthy and complicated than the US operating permit procedure, the Vietnamese procedure pertains to all sources in the relevant categories of industry; not only to firms with new or modified sources but also to all established firms with unmodified sources. This implies a much more ambitious target than the gradual introduction in the US.

There have been many complaints about the procedure. It is highly bureaucratic and costly, requiring a large and competent staff in the environmental authority to implement the tasks properly and in time. But such personnel was lacking and the policy became a big failure. For example, it frequently occurred that firms could already start construction before the EIA procedure had been completed. And even when all the steps in the procedure were made in the right order pollution control investments could stay far below the legally required level, due to false EIA reports, glaring gaps in the quality of the EIA report reviews and absence of monitoring after approval whether pollution control investments had been carried out as stated in the EIA.

In 1998, a first step was made to correct flaws in the design of the procedure. Industrial zones could submit and get approval for an EIA for the industrial zone as a
whole. Firms established in such zones, or planning to establish there were exempted from the EIA part of the permitting procedure. However, this reparation of legislation was far from perfect, since it shifted the responsibility of controlling air pollution of individual plants and sources to the authority in charge of the zone without proper instruction of how to act. The ‘Regulation on the Protection of the Environments in Industrial Zones/Estates’, is needed in August 2002, did not solve the bottleneck. However, the National Strategy for Environmental Protection for the period 2001-2010 (NSEP), submitted by MOSTE at the end of 2002 (and had still to be approved by the government early 2004) did recognize the problem. NSEP announced that technical guidelines for environmental management in industrial zones as well as targets for maximum total emissions in the zone (to be achieved in 2005) were to be issued. NSEP also identified the other major shortcomings in implementation of the EIA and licensing procedure and gave indication how to mend them: the review process was to be strengthened and permission to start construction would in the future only be given after approval of the EIA report. Public participation in EIA reviews was to be improved.

It is quite clear that in the first stage of Vietnamese air pollution control policy the command-and-control method of direct regulation of stationary sources did not function properly, due to flaws in the design of the procedures (too complicated, too ambitious) and due to shortcomings in implementation (lack of quantity and quality of staff). However, we want to remind here that defects in implementation of the procedure of granting operating permits was also a feature of the environmental policy of states in the US in its earlier stage of development. The federal government of the US intervened by giving guidiness in 1990 to bring order and transparency. Deficiencies in qualified personnel were also an important bottleneck in the US; in particular in the early years.

3.4. Compliance

At the national level, MOSTE is in charge of inspection of the largest emission sources and DOSTES do so at the regional level for the other stationary sources. If a source does not comply with the legal requirements administrative or criminal sanctions can be applied. In practice, enforcement of compliance was very weak. Inspections infrequent, administrative fines for non-compliance were hardly applied and where they were used they did not bite because the fine was so low. Criminal sanctions were even never imposed. In particular foreign or joint venture companies and state-owned enterprises were left an almost free hand with regard to their air pollution control investments. The policy failure was not only a consequence of personnel shortage in quantity and quality, but even more so the unwillingness of the highest political authorities to apply sanctions for fear that it might hurt employment and economic growth.

NSEP recognized the enforcement problem and proposed remedies. Administrative fines were to be raised and the regional capacity for monitoring and inspection was to be strengthened. Medium and large enterprises would have to install and operate self-monitoring systems to report their emissions.

We observe that the shortcomings in the enforcement of compliance in Vietnam resemble the deficiencies of enforcement policies in the US in its first stage. In both cases deficiencies in policy design were a caused of failure, but much more so the major bottleneck was a lack of sufficient and competent staff and political unwillingness to play it hard when it comes to enforcement. Similar to the US the shortcomings in design and capacity have been perceived and reparations have been proposed.

3.5. Discussion

From sections 3.3 and 3.4, we can learn that a new and young policy, such as environmental protection tends to have a troublesome start. For its implementation, a new bureaucracy has to be built up in a relatively short time, with people who have little or no
experience where and how to act and without clear-cut instructions. We have argued that direct regulation is a simple instrument compared to the economic instrument of emission trading. Nevertheless, the young environmental bureaucracy in Vietnam was not even capable to apply that simple instrument adequately.

Understaffing and weak public and political support for their tasks added to the difficulties. Over the years learning by doing, improvement of instruction and hopefully more public and political support, showing up in, among others, a larger budget to improve staff quantitatively and qualitatively, should help to conquer the starting problems. In the US, it took twenty years (1970 to 1990) to come to age. For Vietnam our research covers the period 1994 to 2003, no more than nine years and we venture that for the years up to 2010 and possibly even longer air pollution control policy in Vietnam will have to ‘muddle through’ before its organizational infrastructure is fully up to the task of applying direct regulation adequately.

Compared with the US, the progress of environmental policy in Vietnam has more handicaps. The country is much poorer than the US and its economic growth is much faster. In poor countries, priorities are different and environmental protection gets a lower rank than it gets in rich countries. Fast economic growth means that the pollution itself tends to increase rapidly. Environmental Policy in the US and its organizational infrastructure developed within an established market economy, with a long history. This was easier to do than it is to build up policy and infrastructure in Vietnam: an economic system in a process of transformation from a communist centrally planned economy to a more market oriented economy with scope for private property. Crafting an environmental policy on a market economy is different from integrating environmental considerations in the central planning of sectors in a communist economy. So, in Vietnam political decision makers and bureaucracy were involved in a double learning experience. Therefore, one would expect here more and more severe errors in the process. Finally yet importantly, the experience in the US and other Western democracies learns that in its early stage environmental policy could only emerge and grow under the pressure of public opinion, the media and environmental pressure groups. Politicians had to take into account how the views, the media and groups express, might affect the political vote and their prospects of staying in office. Such groups were rooted in a civil society thriving in a political democracy with a long history. The communist regime of the past in Vietnam has blocked the developments of such a civil society. To express views dissenting form what is deemed politically correct by the political top, such as criticizing environmental policy for its failures, may be felt as being too risky. Even if such views are brought out the politically powerful do not have to worry very much on how it may affect the choice of voters. Low public pressure on politicians to go green will hamper progress in air pollution control in Vietnam.

3.6. The prospect for emission trading

From our account on air pollution control in Vietnam, it is clear that up to now direct regulation through emissions has been the sole instrument to reduce emissions. In urban areas air quality standards are not attained, but there is still much scope for their improvement by making direct regulation better: a more simple and transparent procedure for granting the operating permit, a larger and better qualified staff to carry out permitting, plant a inspections. And enforcement of compliance and last but not least less corruption. All these steps should result in an administrative infrastructure that has a complete registration of sources of air pollution that are formally covered by the regulations, of the maximum emission allowed by the applicable emission standards and the quantities of pollutants actually emitted. Excess emissions can then be determined and the administration should be capable and willing to penalize excess emissions with administrative fines high enough to have a preventive effect on firms. In the real serious cases of pollution the criminal sanctions should be applied.
It looks as if Vietnam still has a long way in developing an adequate administrative infrastructure, necessary for effective direct regulation. Once this stage of sophistication in administrative infrastructure has been reached there will be scope for making direct regulation more efficient by allowing intraplant compensation of emissions between sources and interplant by accepting and interfirm emission (reduction credit) trading within industrial zone and urban air quality control regions. As we have argued before and as experience in the US has demonstrated, such compensation of emissions is only effectively feasible when baseline (=regulatory allowed) emissions are indisputably clear, actual emissions are monitored, excess emission without adequate compensation are penalized and penalty and probability of being detected are sufficiently high to make the sanctions preventive. Where these conditions are not fulfilled adding emission trade to direct regulation will tend to increase illegal excess emissions and thus increase total pollution.

When after all such progress, there still are urban areas where air quality standard are exceeded the emission standard can be made more stringent. For efficiency reasons, a differentiation should be made between very strict requirements for new and modified sources and less strict standards for existing sources. In Vietnam DOSTEs have the authority to set such more stringent regional or local emission standard standards thus deviating from the national requirements. However, the worry that it would deteriorate the region's competitive position relative to other economic centres may withhold DOSTEs. Therefore, there are arguments for national differentiated, more stringent standards for emissions, issued by MOSTE. Mind that such stringent national standards are only effective if MOSTE can trust that DOSTEs are really willing to implement them or when MOSTE strengthens its positions and can enforce cooperation of the regions. The experience in the US did show the necessity and also how to work out the policy.

The reader may wonder whether we see a place for emission trading in the form of cap and trade programs in Vietnam, once its administrative infrastructure has evolved to the necessary stage of sophistication. From what has been said in section 2 it follows that, yes, technically introduction of cap-and-trade would be feasible, effective and efficient. The most suitable moment for an overhaul of the existing instrument of direct regulation would be when a drastic increase in the stringency of emission standards is deemed necessary. In a fast growing economy such as Vietnam, with output increasing about 7 percent per year emissions will double every decade if existing emission standards are not revised; and air quality will certainly drop below what is required. The virtual new stringent emission standard and information on the plant’s use of the polluting input on a base date in the past can be used to calculate baseline emissions per plant and firm in the future cap-and-trade program. The other conditions for an effective and efficient program have been spelled out in section 2 and are not repeated here. Of course, only pollutants which are suitable for the cap-and-trade approach should be included. From the US experience, we have: lead in petrol and production of CFCs and halons, but these problems have already been solved), sulphur or SO2 emissions, NOx-emissions, VOM. The list of Vietnam’s major air pollutants consists of SO2, NOx, PM (fine particles) and CO. These are exactly the type of bulk pollutants suitable for cap-and-trade programs.

Even the problem of institutional lock-in may become surmountable once the administrative infrastructure needed for a cap-and-trade system is in place and authorities have gained experience with credit trading in the stage of direct regulation. They had to monitor surplus emissions (negative and positive) and transfer of emission reduction credits and had to check whether surplus emissions and credit transfers matched. Penalizing non-compliance should by then be standard practice within the framework of direct regulation. From such a starting point cap-and-trade as an alternative instrument does not introduce radical new elements. The major difference is that monitoring surplus emissions and transfer of credits (both based on self-monitoring and self-reporting of firms)
and checking whether the two match will become a routine, periodically at fixed dates, instead of irregular, depending on credit initiatives of sources. The second major difference is that baseline emission for firms for every year (or other time period) in the future are fixed and don not have to be calculated every year anew as they are in case of emission standards complemented with credit trade. Here the bureaucratic work becomes simpler and more transparent.

With an eye to bureaucratic barriers, a rather smooth transition from emission standards with credit trade to a cap-and-trade scheme looks therefore quite feasible when the conditions of a sophisticated organizational infrastructure are met. But the question is how the highest political authorities will judge such an openly market oriented instrument in environmental policy. Their decision in 1986 to allow the development of a private sector coordinated by a market system in Vietnam is one thing, to set up and accept a market for such a public sector activity as pollution control is something different. However, it does not make sense to try now to make predictions on decisions which will not appear on the political agenda for the next decade at least: years (and perhaps even more) that will be needed to build up an organizational infrastructure capable to implement the system of direct regulation through emission standards adequately.

**Conclusion**

Should developing countries in their environmental policy follow the same cumbersome road covered by the economically more advanced countries and start with the inefficient command-and-control method of regulating air pollution through emission standards? Or would they do better to skip that stage and go directly for efficiency by applying economic instruments in particular emission trading-from the start of their environmental policy on. Or, if they did already make a start with direct regulation, should they switch to cap-and-trade programs immediately?

After reading our account of the development of environmental policy instruments in the United States and in Vietnam it cannot come as a surprise that we conclude that such a short-cut should in no way be tried. The organizational infrastructure in the environmental bureaucracy that should make the system function is simply not there. Its major elements (we repeat) are registration of sources, criteria to distribute baseline emissions among sources, measurement of emissions, strict administrative enforcement with high penalties for non-compliance.

Imagine what would happen if a cap-and-trade program was set up and started when the administrative conditions are not, or only imperfectly present. Some sources are not included in the programme while they should, others are in that should remain outside the programme, baseline emissions per firm are arbitrary. Yet these potential bottlenecks are irrelevant since the equipment and expertise and probably even the personnel in the bureaucracy to take care of measurement of emissions is lacking. Requiring that firms self-monitor and self-report emissions does not help, since it cannot be checked whether the figures provided are correct. In the worst case – where the administrative infrastructure is in the most primitive condition possible – firms with excess emissions compared to their baseline emissions see no need to buy emission allowances. They can simply report emission equal to their base line emission equal to their base line emissions, which are covered by the allowances handed out to the firm. Non-compliance cannot be detected and consequently not be enforced. Of course this is the extreme end, but as long as gaps in emission monitoring and penalizing remain the cap-and-trade system will be less effective (higher emissions) than direct regulation without credit trading. Total costs may be lower, but mainly due to the lower level of emission control. Therefore, low costs are not a proof of efficiency here.

Primitive administrative conditions ask for a primitive instrument: direct regulation. That stage will give the environmental bureaucracy and its political commanders the time
to learn by doing and establish and master the elements mentioned above of a well-functioning, sophisticated organizational infrastructure. There is no guarantee that such a learning process will end up with all things well. Much depends on political will and public support. But only when all the elements of a sophisticated administrative organization or infrastructure are in place the next step to emission trade: credit trade and ultimately cap-and-trade, can be made with sufficient certainty that indeed it will surpass direct regulation by far in efficiency and with cap-and-trade also in effectiveness. Yet, such an evolution is not a natural necessity. Even with a sophisticated administrative infrastructure, direct regulation can stay in place for an indefinitely long time.

References


Generalități privind răspunderea penală

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**Keywords:** the general principles, the subjects, the content and the object of penal responsibility

**Abstract:** The life of human communities should be conceived within some behavioral rules which should be obeyed by all the individuals. This paper is meant to offer some general considerations regarding the penal responsibility. The Romanian penal code is the supreme “power” which stipulates the legal frame which the Romanian citizens should respect.

1. Noțiunea și caracterizarea răspunderii penale

Viața oamenilor și a colectivițăților umane nu poate fi concepută în afara unor reguli de conducță ce trebuie respectate de către cei cărora îi se adresează. Realizarea ordinii de drept penal are loc, de regulă, prin conformare, adică prin adoptarea de bună voie sau din teama pedepsei, în cadrul raportului juridic penal de conformare. Există întotdeauna un anumit număr de cazuri în care membrii societății nu se conformează exigențelor legii penale și săvârșesc infrațiuni, iar în aceste cazuri realizarea ordinii de drept penal este posibilă numai prin constrângere, adică prin aplicarea sancțiunilor prevăzute de normele încălcate (pedepsă sau măsuri educative) pentru cei ce au săvârșit faptele interzise prin normele incriminatoare.

**Definiție**

În sensul strict al cuvântului, răspunderea penală reprezintă obligația unei persoane fizice de a răspunde de consecințele actelor sale ilicite. În dreptul penal răspunderea penală reprezintă obligația infractorului de a răspunde de actele sale delictuoase și de a suferi pedepsa prevăzută de lege pentru ele. Având în vedere complexitatea răspunderii penale, aceasta poate fi definită ca fiind dreptul statului de a trage la răspundere penală pe infractor, de a-i aplica sancțiunea prevăzută de lege și de a recurge la forța sa de constrângere în vederea executării ei, precum și obligația infractorului de constrângere în vederea executării ei, precum și obligația infractorului de a suporta consecințele faptei sale și anume aplicarea și executarea pedepsei în vederea asigurării respectării legii.

În concluzie, vom defini răspunderea penală ca fiind aceea formă a răspunderii juridice care se naște prin săvârșirea unei infracțiuni și care constă în obligația făptuitorului de a se supune procesului penal și de a suporta consecințele prevăzute de legea penală.
2. Temeiul instituirii răspunderii penale

Temeiul răspunderii penale îl constituie săvârșirea unei infracțiuni concrete prevăzută de dreptul penal român în articolul 17, alin. 2 Cod penal. În sistemul nostru penal răspunderea penală capătă un inevitabil caracter coercitiv, devine necesară și este instituită în vederea apărării ordinii de drept, împotriva infracțiunilor. Instituirea răspunderii penale răspunde în același timp cerinței asigurării reeducării morale și reinserției sociale a persoanelor care au încălcat cu vinovăție normele de drept penal; infrațiunea constituie unica bază pe care se poate naște răspunderea penală, reprezentând temeiul ei unic și exclusiv.

3. Realizarea răspunderii penale

Ordinea de drept penal se realizează prin respectarea din teama, prudența sau din convingere de către majoritatea destinatarilor legii penale a dispozițiilor sale, în cadrul unor raporturi juridice de conformare, ce se nasc din momentul apariției regulii de conducă impusă de norma de drept penal. Pentru cei care nu se supun normelor penale, săvârșind fapte interzise de acestea, ordinea de drept trebuie asigurată și realizată prin tragerea la răspunderea penală a infractorilor, aceasta luând naștere sub imperiu unor raporturi juridice penale de conflict sau de constrângere. În cadrul raporturilor juridice de tip conflictual participă subiecți cu interese, poziții, drepturi și obligații diferite, obiectivul constituindu-1 stabilirea răspunderii penale concrete a făptuitorului și supunerea lui legii penale, printr-o hotărâre judecătorească definitivă.

Înlăturarea răspunderii penale prin căile prevăzute de lege conduce la stingerea implicită a raporturilor juridice de orice fel, funcție de executarea hotărârii de condamnare, folosit pentru susținerea punctului de vedere că răspunderea penală nu poate fi redusă și nici identificată cu raportul juridic penal.

4. Subiecții răspunderii penale

Chiar dacă deținătorul obligației de a răspunde penal este infractorul, titularul dreptului societății de a aplica constrângerea penală este statul, prin organele sale (organele de urmărire penală, instanțe penale, organe de executare-penitenciarie). Statul este unicul titular al dreptului la acțiune penală, exceptând cazul când aceasta este lasată la latitudinea părții vătămate (care poate condiționa tragerea la răspundere penală sau poate stinge raportul juridic penal prin împăcare).

Astfel, statul este considerat atât ca subiect pasiv general al raportului juridic penal, cât și ca subiect activ general al tragerii la răspundere penală a infractorilor, fiind singurul ce poate exercita constrângerea penală. Deși prin plângerea sa prealabilă, persoana vătămată apare ca un subiect activ în procesul penal de conflict, ea nu face altceva decât să deschidă calea exercitării statului a dreptului de a trage la răspundere penală pe infractor, el realizând în final ordinea de drept.

În ce privește subiectul pasiv al răspunderii penale acestea este întotdeauna subiectul activ al infracțiunii, adică persoana fizică chemată la răspundere penală indiferent de forma de participație la săvârșirea unei infracțiuni (autor, instigator sau complice), ori de modalitatea de executare a acesteia (tentativă, infracțiune consumată). Pentru existența subiectului pasiv al răspunderii penale, care este și subiectul activ al infracțiunii, se cer aceleasi condiții de existență necesare pentru orice delict: => cerința unei vârste minime prevăzute expres de legea penală => cerința responsabilității => cerința săvârșirii faptei cu libertatea de voință și acțiune

În cazul infracțiunilor determinate, nu pot fi trasă la răspundere penală decât acele persoane fizice care întrunesc și anumite condiții speciale prevăzute expres de lege. Subiectul infracțiunii și al răspunderii penale nu poate fi confundat cu subiectul unei fapte prevăzute de legea penală prin a cărei săvârșire nu sunt întrunite toate elementele constitutive ale infracțiunii.
5. Conținutul răspunderii penale

Dacă prin răspunderea penală se întelege obligația infractorului de a se supune tragerii la răspundere penală (implică stabilirea răspunderii penale cât și executarea pedepsei), notiunea de conținut a răspunderii penale vizează în principal aceste obligații. Infractorul se supune întâi în cursul desfășurării procesului penal tuturor obligațiilor ce decurg din starea de infractor și apoi din aceea de învinuit sau inculpat. După ce a fost constatată pe cale judecătorească, răspunderea penală determinându-și întinderea și conținutul, infractorului îi revine obligația de a supune executării hotărârii de condamnare și de suporta pedeapsa sau măsurile cu caracter sancționat or luate împotriva sa.

În cadrul procesului penal inculpatului trebuie să i se asigure atât drepturi cu caracter substanțial cât și procesual, de natură a asigura legalitatea imparțialitatea și echitatea tragerii la răspundere penală.

6. Obiectul răspunderii penale

Obiectul răspunderii penale este același cu al raportului juridic penal de conflict și anume: sancțiunile penale-pedeapsa principale, complementare și măsurile educative. Sancțiunile de drept penal au câteva trăsături prin care se deosebesc de celelalte sancțiuni de drept, imprimând răspunderii penale caracteristici distinctive, și atribuindu-i statutul de cea mai grava formă de constrângere juridică.

Raportul juridic de răspundere are ca obiect sancțiunea juridică pe care statul, subiect activ al răspunderii, o aplică subiectului care a săvârșit fapta ilicită. Obiectul răspunderii penale îl constituie stabilirea și aplicarea sancțiunilor de drept penal (pedeapsa, măsuri educative, măsuri de siguranță, măsuri de ocrotire).

Răspunderea penală poartă în statutul său trăsăturile sancțiunii penale și anume:
- este prin excelență etatizată, fiind instituită în interesul apărării sociale contra criminalității, și se realizează prin intermediul unor organe și autorități specializate ale statului;
- este prin vocație preventiv-educativă, având finalități de factură formativă și pedagogică și teleologică;
- este prin natura sa o răspundere specifică, complexă ale cărei rigori tind să atragă suferințe morale sau fizice infractorului;
- este eminamente personală și deci netransmisibilă sau extensibilă;
- este obligatorie sau inevitabilă, în afara cazurilor prevăzute de lege este nedisponibilă;
- este neuniformă, neegalitaristă și strict individualizabilă. Trăsăturile răspunderii penale nu pot fi separate de caracterale sancțiunii de drept penal și se reflectă în materia principiilor care stau la baza răspunderii penale.

Prin realizarea obiectului răspunderii penale, a pedepselor și măsurilor educative, se urmărește reeducarea infractorilor având ca finalitate reincadrarea lor în societate, asigurarea unei conducte viitoare conformă cu normele juridice în vigoare,

7. Răspunderea penală ca instituție fundamentală a dreptului penal

Specialiștii în domeniul sunt de acord cu ideea că răspunderea penală este o instituție juridică fundamentală a dreptului penal, care alături de infracțiune și sancțiune constituie componente de bază ale întregului sistem de drept penal. Cele trei instituții fundamentale ale dreptului penal, ar trebui să beneficieze de reglementări succesive, care sa înceapă cu determinarea statutului juridic al infracțiunii, să continue cu reglementarea statutului răspunderii penale și să se încheie cu determinarea sistemului, felului și duratei sancțiunilor.

Răspunderea penală se pune în discuție după și pe baza săvârșirii unei infracțiuni concrete, pedeapsa reprezentând o încheiere firească a procesului de individualizare a
răspunderii penale. Fără infracluine răspunderea penală ar fi lipsită de temeiul care să-i legitimeze existența, iar pedeapsa în afara răspunderii penale ar fi lipsită de rațiunea care să-i justifice incidența și finalitatea. Ca instituție fundamentală, răspunderea penală trebuie să cuprindă un ansamblu de dispoziții privitoare la realizarea prin constrângere, fără de care celelalte reglementări ale dreptului penal privitoare la infracluine și pedeapsa nu s-ar putea finaliza.

Înstituția răspunderii penale trebuie să beneficieze de dispoziții privitoare la regimul general și conținutul răspunderii penale, la cauzele de înălțatul, agravare sau atenuare a răspunderii penale și la regimul înlocuirii răspunderii penale cu alte forme de răspundere juridică.

Dreptul penal nu reglementează drepturi subiective și obligații correlative pentru ca nu „reglementează infracluine”, ci doar o interzice și o sanctionează. Pedeapsa își are izvorul în lege și nu în infracluine, iar infracluine produce vătămări sau urmări dăunătoare și nu răspundere juridică.

Dreptul penal elaborează și impune norme de conduită obligatorii, instituind drepturi și obligații extrem de riguroase tuturor membrilor societății pentru a se realiza ordinea de drept penal.

8. Cadrul reglementărilor (sediul normativ al materiei)

Răspunderea penală reprezintă o instituție fundamentală a dreptului penal Codul penal român îi alocă un număr de reglementări restrânse, incomplet și vizibil dispersat. Ca instituție cuprinde un ansamblu de dispoziții privitoare la modul cum ia naștere, la realizarea dreptului statului de atrage la răspundere, a obligației infractorului de a răspunde penal, precum și la înălțatul răspunderii penale prin amnistie și prescripție.

În alcătuirea sa actuală, cadrul reglementărilor cuprinde:

\> Dispozițiile din articolul 17 alin. 2 Cod penal referitoare la temeiul răspunderii penale: „infracluine este singurul temei al răspunderii penale”;\n
\> Dispozițiile din Titlul al IV-lea al Părții generale a Codului Penal privitoare la „înlocuirea răspunderii penale” (art.90-98 inclusiv)\n
\> Dispozițiile din titlul al VII-lea al Părții generale a Codului Penal privitoare la „Cauzele care înălță răspunderea penală” (art.19, 121-124, 128-129, 131-132)\n
Cadrul reglementărilor se completează cu dispozițiile privitoare la aplicarea legii penale în spațiu și timp și în mod indirect cu dispozițiile inscrise în titlul III, Capitolul V, din Partea generală, intitulat „Individualizarea pedepelor”.

Dreptul penal elaborează și impune norme de conduită obligatorii, instituind drepturi și obligații extrem de riguroase membrii societății pentru realizarea ordinii de drept penal. Se detașează aici puterea și dreptul organelor judiciare ale statului de a trage și supune la răspundere penală pe infractori și obligația acestora de a se supune consecințelor juridice ale faptelor sale.

Principiile răspunderii penale

1. Noțiunea și cadrul principiilor răspunderii penale

Răspunderea penală este guvernată de anumite principii care, deși sunt strâns legate de principiile dreptului penal, nu se identifica cu acesteia. Principiile reprezintă acele idei de bază, călăuzitoare, ce se regăsesc în normele ce reglementează întregul sistem al dreptului

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1. N. Giurgiu, Drept penal partea generală, p.442
Aplicarea de procedură penală. De asemenea acest principiu presupune un și un stem de norme legale cuprinse în Codul regulamentar stabilirea de lege a infracțiunii antisociale sau numai o parte a acestuia. Printre principiile fundamentale ale răspunderii penale amintim:

- Infraclujia este singurul temei al răspunderii penale
- Legalitatea răspunderii penale
- Fără vinovăție nu există răspundere penală
- Personalitatea răspunderii penale
- Unicitatea răspunderii penale
- Individualizarea răspunderii penale
- Inevitabilitatea răspunderii penale
- Promptitudinea răspunderii penale
- Principii ale răspunderii penale

Infraclujia este singurul temei al răspunderii penale. Răspunderea penală se naște în cadrul raportului juridic penal, iar nașterea răspunderii juridice coincide cu momentul nașterii raportului juridic. La originea nașterii oricărui raport juridic stă un fapt sau un act juridic, iar faptul ce stă la baza nașterii raportului juridic penal și a răspunderii penale este infracțiunea. Acest principiu este consacrat de legislația în vigoare în Codul penal articolul 17, alin. 2, care prevede că „infraclujia este singurul temei al răspunderii penale”\(^3\); Aceasta poate fi tradusă prin faptul că nimeni nu poate fi tras la răspundere penală decât în măsura în care a săvârșit o infracțiune.

Nu orice fapta antisocială atrage răspunderea penală, ci numai infraclujia. Altfel spus, fapta antisocială trebuie să întrunească cele trei trăsături esențiale ale infraclujii prevăzute expres în art. 17, alin.1, Cod penal:

- să prezinte un anumit grad de pericol social
- să fie săvârșită cu vinovăție
- să fie prevăzută de legea penală

De asemenea trebuie verificat dacă nu există o situație sau împrejurare care să înlăture caracterul penal al faptei, precum și faptul că infraclujia a fost săvârșită de către persoana susceptibilă de a fi trasă la răspundere penală.

**Legalitatea răspunderii penale**

Răspunderea penală ca instituție fundamentală a dreptului penal, este guvernată și ea de principiul legalității, în sensul că drepturile și obligațiile ce constituie conținutul răspunderii penale se întemeiază pe lege. Legalitatea răspunderii penale este asigurată pe mai multe căi.

În primul rând legalitatea răspunderii penale se asigură prin reglementarea precisă prin lege a infraclujii ca temei al răspunderii penale. În al doilea rând, legalitatea se asigură prin stabilirea de către lege a sistemului de sanctiuni penale, a limitelor generale și speciale a sancțiunilor penale și a criteriilor după care sancțiunile se individualizează. În legea penală sunt reglementate și alte aspecte cu privire la nașterea, modificarea sau stingeră răspunderii penale. De asemenea acest principiu presupune un sistem de norme legale cuprinse în Codul de procedură penală, competențele de tragere la răspundere, drepturile și obligațiile pe care le au cei care participă la desfășurarea procesului penal în vederea realizării unei justiții dreptate. Aplicarea și executarea sancțiunilor se face în conformitate cu legea.

Codul penal și Legea privind executarea pedepselor stabilesc toate condițiile de aplicare și executare a sancțiunilor.

**Fără vinovăție nu există răspundere penală**

O fapta nu poate atrage răspundere penală oricât de periculoasă ar fi pentru societate și indiferent de urmăriile pe care le produce, numai în măsura în care a fost săvârșită cu vinovăție. Infraclujia nu poate exista fără vinovăție. Lipsa formeii de vinovăție, cerută de lege, nu

\(^3\) Codul Penal Român, art 1.7, alin.2.
constituie infracţiune, iar acţiunea penală nu poate fi pusă în mişcare sau exercitarea acţiunii este împiedicată.\(^4\)

**Personalitatea răspunderii penale**

Nu poate fi tras la răspundere penală decât cel care a săvârşit în mod direct, nemijlocit, infracţiunea ca autor al acesteia sau care a participat indirect la săvârşirea ei în calitate de instigator sau complice. Conform art. 10 lit. C, acţiunea penală nu poate fi pusă în mişcare sau exercitată, decât dacă fapta nu a fost săvârşită de învinuit sau inculpat. În articolul 72, Codul penal se menţionează că la stabilirea şi aplicarea pedepselor se va ţine seama şi de persoana infractorului. Nu se poate admiti răspunderea penală pentru fapta altuia, după cum nu se admite nici răspunderea penală colectivă.

Răspunderea penală nu poate fi transferată unei alte persoane nici în timpul vieţii infractorului, nici după moartea sa.

**Unicitatea răspunderii penale**

Unicitatea se referă la faptul că săvârşirea unei infracţiuni atrage o singură dată răspunderea penală pentru fapta comisă, prin aplicarea unei singure pedepse principale sau complementare sau a unei măsuri educative. Acest principiu nu exclude posibilitatea ca pentru o fapta antisocială săvârşită, alături de răspunderea penală să fie angajată şi o altă formă a răspunderii penale (cazul infracţiunilor care produc prejudicii materiale sau răspundere disciplinară în cadrul raporturilor de muncă).

**Individualizarea răspunderii penale**

Prin individualizarea răspunderii penale se înţelege aprecierea răspunderii penale în funcţie de fapta săvârşită, de conţinutul concret al acesteia, de urmăriile produse, de mobilul şi scopul săvârşirii, de circumstanţele şi cauzele de agravare, de circumstanţele atenuante, de gradul de participare, individualizare care se face potrivit dispoziţiilor legale.

**Inevitabilitatea răspunderii penale**

Acest principiu presupune că o dată ce o persoană a săvârşit o infracţiune, ea nu mai poate evita răspunderea penală. Răspunderea penală trebuie să intervină pentru sancţionarea celuilalt vinovat, pentru restabilirea ordinii publice tulburate şi asigurarea sentimentului, de linişte şi siguranţă. De regulă acţiunea penală se pune în mişcare din oficiu, cu excepţia unui număr redus de infracţiuni, când este necesară plângerea prealabilă a persoanei vătămate.

Există anumite cazuri de înlaturare a răspunderii penale, când făptuitorul este exonerat (amnistia\(^5\), prescripţia\(^6\), lipsa plângerii prealabile, împăcarea pătrilor\(^7\), desistarea şi împiedicarea producării rezultatului\(^8\), retragerea mărturiei mincinoase\(^9\), denunţarea din partea mituitorului\(^10\)).

**Promptitudinea răspunderii penale**

Cu cât răspunderea penală este mai rapid angajată, cu atât finalitatea ei şi a legii va fi mai bine realizată. Principiul presupune descoperirea infracţiunilor şi infractorilor cât mai aproape, de momentul săvârşirii, desfăşurarea operativă a urmăririi penale, a judecăţii şi punerea de îndată în executare a pedepsei sau a celorlalte sancţiuni.

Promptitudinea dă o întârire a sentimentului de siguranţă victimelor, iar pentru cei care săvârâsc în infracţiuni, reprezintă un mijloc de descurajare.

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\(^4\) Art. 10, litera d, Cod procedură penală  
\(^5\) articolul 119 Cod penal  
\(^6\) articolul 121 Cod penal  
\(^7\) articolul 131 Cod penal  
\(^8\) articolul 22 Cod penal  
\(^9\) articolul 260, alin 2, Cod penal  
\(^10\) articolul 255, alia 3, Cod penal
Generalități privind răspunderea penală

Prescriptibilitatea răspunderii penale

Potrivit acestui principiu se înălțură răspunderea penală prin trecerea unui anumit interval prevăzut de lege, de la data săvârșirii infracțiunii sau a hotărârii definitive de condamnare, fără ca infractorul sau condamnatul să fi fost supus răspunderii penale sau executării pedepsei stabilite în hotărârea definitivă pronunțată. Este prevăzut în articolul 122 Codul penal.

Durata și etapele răspunderii penale

a. Durata răspunderii penale

Durata sau perioada de existență a răspunderii penale nu a făcut și nu face obiectul unei reglementări exprese în legislația noastră penală. În literatură juridică penală, nu a fost abordată în mod direct problema momentului care marchează începutul respectiv sfârșitul răspunderii penale.

Momentul care marchează începutul răspunderii penale este iară însoțită, momentul în care norma de incriminare intră în vigoare. Momentul în care această răspundere încetează coincide cu momentul în care norma de incriminare iese din vigoare, și își începează activitatea.

Conform articolului 17 alin. 2 Cod penal „infracțiunea este singurul tenie al răspunderii penale”; rezultă că răspunderea penală ia naștere, există, din momentul în care infracțiunea a fost săvârșită. De regulă, momentul încetării răspunderii penale coincide cu momentul în care intervenie reabilitarea, dar nu întotdeauna; în multe cazuri răspunderea penală încetează din motive objective cum ar fi moartea persoanei ce a săvârșit infracțiunea sau dezcriminarea acesteia. În alte cazuri răspunderea penală este înălțurată din alte considerente întemeiate și preciz reglementate de lege, cum ar fi: lipsa plângerii prealabile sau retragerea acesteia, împăcarea părților, amnistia, prescripția.

b. Etapele răspunderii penale

Pe întreaga sa durată de existență răspunderea penală parcurge anumite etape în realizarea sa. O primă etapă este cea cuprinsă între momentul săvârșirii infracțiunii și cel al începerii urmăririi penale. În această etapă organele judiciare competente întreprind acțiuni în vederea identificării faptei și a făptuitorului, pentru a edifica dacă faptă are caracter penal și dacă există tenie pentru răspunderea penală. Aceste acte realizate de organele judiciare se numesc acte premergătoare.

O altă etapă este din momentul începerii urmăririi penale și până la terminarea acesteia. În această etapă apare primele forme ale constrângerii, pe care răspunderea penală îi presupune, cum ar fi: reținerea sau arestarea, sechestrul penal sau dispunerea provizorie a unor măsuri de siguranță care reprezintă sancțiuni penale.

O nouă etapă începe din momentul terminării urmăririi penale și a sesizării instanței de judecată și până în momentul în care hotărârea de condamnare rămâne definitivă.11 Această etapă se materializează în sancțiunea concret aplicată în cauză prin hotărâre de condamnare. Momentul în care hotărârea de condamnare rămâne definitivă reprezintă un punct final atât în ceea ce privește constatarea existenței răspunderii penale, cât și în ceea ce privește forma pe care răspunderea o îmbracă, forma ce constă într-o anume sancțiune sau pedeapsă.

Următoarea etapa a răspunderii penale începe, de regulă, din momentul în care hotărârea de condamnare rămâne definitivă sau mai precis din momentul începerii executării pedepsei sau a sancțiunii penale și durează până ce această sancțiune a fost executată efectiv, sau considerată executată în temeiul legii.

Ultima etapă a răspunderii penale este cuprinsă între momentul terminării executării pedepsei și momentul în care intervenie reabilitarea, care face să dispară antecedenta penală și toate celelalte consecințe ale condamnării. În această etapă răspunderea penală există atât sub forma unor interdicții pe care persoana care a fost condamnată le suportă, chiar după

executarea sancțiunii penale, cât și sub forma asistenței pe care respectiva persoană trebuie să o primească de la societate, societate ce are menirea să faciliteze o reintegrare socială deplină.

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Self-Ownership, Social Justice and World-Ownership

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Keywords: self-ownership, libertarianism, capitalism, exploitation

Abstract: This article intends to demonstrate that the concept of self-ownership does not imply a justification of inequalities of condition and a vindication of capitalism, which is traditionally the case. We present the reasons of such an association, and then we specify that the concept of self-ownership as a tool in political philosophy can be used for condemning the capitalist exploitation.

Introduction

The issue of individual freedom as a stake went through the philosophical debate since the Greek antiquity. We deal with that issue through the concept of self-ownership. It is traditionally used in defense of capitalism, on the name of freedom, and it states that human beings master their own body and the products that stem from the use of their body, namely from their labour. This concept returns to Richard Overton\(^1\), for whom “to every individual in nature is given an individual property by nature not to be invaded or usurped by any. For every one, as he is himself, so he has a self-propriety, else could he not be himself” (Overton, 1646, stress in the original). John Locke (1632-1704), who is considered now as a reference for the libertarian writers, was especially explicit on the issue. He stated, against any kind of slavery, that everybody is the only owner of his/her own person, and of the labour which stems from it. From that point of view, the birth of the concept corresponds to a fight for individual freedoms.

Though the earth, and all inferior creatures, be common to all men, yet every man has a property in his own person: this no body has any right to but himself. The labour of his body, and the work of his hands, we may say, are properly his. WHATSOEVER then he removes out of the state that nature hath provided, and left it in, he hath mixed his labour with, and joined to it something that is his own, and thereby makes it his property. It being by him removed from the common state nature hath placed it in, it hath by this labour something annexed to it, that

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\(^1\) Richard Overton (1625-1664) was, together with John Lilburne (1614-1657) and William Walwyn (1600-1680), a leader of the urban movement the nivellers (1646-1650), which demand was sovereignty for people only and equality for goods and lands.
excludes the common right of other men: for this labour being the unquestionable property of the labourer, no man but he can have a right to what that is once joined to, at least where there is enough, and as good, left in common for others. (Locke, 1988, stress in the original)

Most of the libertarian thinkers, among which we use Robert Nozick’s work as an illustration, systematically use such a concept as the core of their argument. Our point refers to a debate that occurred on this issue between Gerald A. Cohen and Robert Nozick, and we discuss the possibility to separate the concept of self-ownership from its unequal conclusions. Whereas the concept is advocated by the champions of capitalism against welfare state, we deal with the possibility for radicals, including Marxists, to use it as a critique against capitalism, in the aim of social transformation. Rather than a straight rejection of the concept, we question the causation between self-ownership and the inequality of condition. First, we display the central features of the concept, and then we show how it can be used as a moral justification for the inequalities of condition and for capitalism (1). Then, we discuss the extent to which self-ownership can be used as a standard for differentiating the existing paradigms in political philosophy, and we deal how it can be included in a Marxian framework in terms of exploitation (2).

1. Self-ownership and libertarianism

Self-ownership can be defined more precisely: everybody is entitled to the private ownership of his/her own person, everybody has moral rights on the products of the use of his/her body, and it is forbidden to oblige somebody to serve somebody else or to give him/her the product of his/her labour. The concept is traditionally used by the libertarian authors as an ideological device for advocating capitalism.

"The foundational claim of libertarianism is the thesis of self-ownership, which says that each human being is the morally rightful owner of his own person and powers" (Cohen, 1985, p. 89). Everybody is morally entitled to a full private ownership on his/her person and powers, namely that everybody has moral rights on the use and products of his/her body and of its abilities. The issue is to consider everyone as allowed to enjoy the benefits of his/her activity. Now we display how the link between libertarianism and self-ownership got developed. It rests upon the entitlement theory (1.1), which corresponds to a peculiar interpretation of self-ownership (1.2), and its association with a thesis on the original appropriation of natural resources, on the basis of a specific interpretation of the Lockean proviso (1.3).

1.1. The entitlement theory for advocating full market

For this theory, market exchange respects the individuals as equal, that is as an end in itself, as it is proposed by the Kantian categorical imperative. Market tradings are justified on a moral ground, even if they do not lead to the best results. This claim rests on three principles:

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2 This is not necessarily consensual but our point is that the epistemological foundations of Nozick’s approach are the libertarian ones, and his questions correspond to the issue of the paper. Cohen’s preference for Nozick does not fit to all the libertarians – “unfortunately, Cohen selects Nozick as his standard libertarian” (Gordon, 1998) –, which corresponds to some discrepancies within libertarianism, among which the issue of the ownership of repressive functions minarchists vs anarcho-capitalists. Nevertheless, we assume that Nozick’s thought can be used, as well Kirzner’s and Rothbard’s, as a representation of the foundations of the libertarian thought and that, as far as this issue is concerned, the discrepancies between authors are secondary.

3 The issue of self-ownership is denied by some libertarians, including the consequentialist ones, as unclear.

4 "Act only according to that maxim whereby you can at the same time will that it should become a universal law" (Kant, 1993, p. 30).
The acquisition principle claims that someone becomes the legitimate owner of an unowned resource if he/she brings his/her labour to it, and if he does not harm the situation of someone else.

- The transfer principle claims that someone becomes the legitimate owner of an unowned resource if it results from a voluntary transaction with the previous legitimate owner.

- The rectification principle consists in correcting the violations of the first two principles.

If the current holdings have been acquired on a fair basis, only the transfer principle decides whether the resulting distribution is fair\(^5\). As a result, any taxation which is intended to preserve the institutions of acquisition, transfer and rectification is illegitimate since it is not a voluntary transaction. In defending the theory of entitlement, the libertarians pretend that, since market is a process in which the persons use the powers that they own legitimately, it justifies the resulting distribution of goods. If a person legitimately acquired something, he/she can use it as he/she wishes, whatever the resulting distribution is, and even if, for any reason, this distribution is undesirable, it cannot be considered as unjust.

The Wilt Chamberlain\(^6\) example aims to show intuitively that no theory of planned distribution can be defended: any distribution that results from free trading between persons who own their entitlement is fair. Let a distribution of resources in a society with one million persons, in which everyone owns an entitlement Y, and he/she can use it as he/she wishes. Chamberlain is a member of this society, so he owns Y. Assume that each person gives to Chamberlain an amount of 0.25. In the resulting distribution, he owns Y + 250 000, and all the other people own Y – 0.25. The final distribution is different, but it results from a fair initial distribution with fair trading. Therefore, it is fair even if it violates the mode of distribution in the initial sketch. Such an argumentation is logically consistent, yet the problem is the claim that everyone owns absolute rights on his/her entitlement. Some additional argument is necessary.

1.2. The self-ownership argument

Self-ownership is the libertarian answer to that issue. If, according to the acquisition principle, the initial distribution is fair, then everyone owns an absolute right on his/her entitlement, so that, according to the transfer principle, any distribution which results from it with free trading is fair. Yet it is far from sure, at first sight, that if a distribution is fair, it allows an absolute right on entitlement\(^7\). Here comes the self-ownership principle. It is based on the assumption that individuals are unique and that the persons must be treated as ends, \textit{i.e.} they are able to choose the way they act. Since they have the ability to lead their own life through rational choice, human beings cannot be used in a way which does not respect this ability. This means that the persons cannot be used without their consent, and what violates this demand is slavery, since a slave is used as a means and not as an end.

The self-ownership argument is used by the libertarians in order to demonstrate that a system with tax welfare amounts to use persons without their consent. For the libertarians, the fiscal redistribution allows some persons to own the products resulting from the properties of other persons, that is to own those persons and then not to treat them as ends. Therefore, the libertarians advocate absolute property rights, and they take

\(^5\) We do not judge what is fair according to a basic principle, but on the basis of the standards of its definition: according to needs, according to ability, according to rights. We do not support \textit{a priori} one of these proposals and we have a relative view on justice.

\(^6\) Wilt Chamberlain is a basket-ball player and the other persons are ready to pay for watching him play.

\(^7\) For instance, social or legal conventions may restrict the use of their entitlements by their individuals.
distributive outlines, as they appear in Rawls’s theory, as illegitimate since they treat the persons only as means for improving the situation of the least talented.

1.3. Self-ownership and original acquisition: a peculiar use of the Lockean proviso

For the libertarians, a person has a right on what he has been transferred to by someone else if the latter has a legitimate right on it. Then, the legitimacy of an entitlement depends on the legitimacy of the entitlement of the previous owner, which depends on that of the previous owner, and so on. The question becomes: why is the first person who acquired a given resource more legitimate than a person who forced him/her to hand it over? What makes the original acquisition of the entitlement more legitimate? If it is the case, then all the free trading resulting from it are legitimate, and the current owner is allowed to his/her entitlement.

In order to legitimate the original acquisition, Nozick’s argument is the Lockean proviso⁸: “For this Labor being the unquestionable Property of the Laborer, no Man but he can have a right to what that is once joyned to, at least where there is enough, and as good left in common for others” (Locke, 1988). Let a plot of land. An agent A takes as much land as he/she wishes, provided he/she allows the other people to have enough land, and in a sufficiently good quality. Assume that A takes half of the plot. When the other agents come, each of them can take a part of it if he/she leaves enough land with a similar quality to the others. An agent B takes half of the half left by A, an agent C takes half of the half left by B, and so on. We can imagine that there will not be enough land for the agent Z. Therefore, he/she can complain to Y for not having left a sufficient amount of land, and then for illegitimacy of his/her acquisition. Y can in turn complain to X, and X to W... until A. This sketch is intended to show that the Lockean proviso cannot be satisfied since, in a situation of scarcity, it is not possible to leave enough land and in a sufficiently good quality for all.

For Nozick, a process which leads to a permanent right, that can be transferred, on a thing that was previously owned by no-one, will be disrupted if the persons cannot use it as they wish. Then, A can fully acquire the available resources that are unowned as soon as he/she allows B, who used them before, to get access to some of them, insofar as B’s condition is not worsened by the appropriation of A. B may become a worker for A, with a wage such that his/her situation is not worse than before A’s appropriation⁹.

Now we specified more precisely the way in which Nozick and the libertarian thinkers, on the basis of the defence of individual liberties, have appropriated the concept of self-ownership and use it, on a massive scale, as a tool for defending capitalism. We will intend to demonstrate whether such a causation is misguided, and that self-ownership may become an intellectual tool for other objectivists.

2. Self-ownership: a potential for subversion

As shown below, the self-ownership thesis is a use, among others, of John Locke’s work, and it can lead to inegalitarian conclusions. Yet such a causation is not a necessary one. We defend the idea that self-ownership is not precise enough for being used only for one purpose, and we propose the assumption that it is not allowing, in itself, peculiar conclusions in terms of social justice. At first sight, it does not seem to be of a real interest for radical thinkers, especially for Marxist ones, and this is Cohen’s point: “The Marxist critique of capitalist appropriation thus requires no denial of the thesis of self-ownership” (1990, p. 28). For that reason, we break up self-ownership with the normative use that it

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⁸ Not all libertarians use such a proviso (see Rothbard, Kirzner).
⁹ It is worthwhile mentioning that it refers only to the material conditions. In particular, Nozick does not elaborate on the relation of submission in the wage contract.
can allow, and we defend the necessity to associate self-ownership with a thesis on the ownership of external resources. That will lead us to present a typology of standpoints in political philosophy (2.1). Then we intend to specify how it is possible to associate the concept of self-ownership with a theory of exploitation (2.2).

2.1. Self-ownership and the acquisition of external resources

The issue of the original appropriation is discussed by Cohen, who defends the claim that the principle of self-ownership does not require inequality in the sense Nozick pretends it should. From premises which defend freedom, Nozick reaches inegalitarian conclusions: for Cohen, his move from freedom to inequality is mistaken, and the self-ownership principle does not justify an unequal distribution of natural resources. Now the issue is to specify the conditions under which self-ownership generates equality or inequality. Our point is that real freedom and real equality, as opposed to formal ones, require restrictions to self-ownership. We must split up a thesis on self-ownership and a thesis on the entitlement in external resources, and we must specify the relation between them. This allows to display some postures in political philosophy according to their approach both in terms of self-ownership and of ownership of external resources. Then, we specify three paradigms on that issue. The traditional libertarians advocate both self-ownership and a private ownership on external resources (2.1.1), the egalitarians deny self-ownership and are egalitarian on external resources (2.1.2), whereas the “progressive” or “left-wing” libertarians advocate both self-ownership and an egalitarian approach on external resources (2.1.3).¹⁰

2.1.1. A defence of self-ownership and of the private ownership of external resources

The libertarian posture is based on the premise that everybody must control his/her powers and products. No-one should be the slave of someone else, which means that no-one is owned by someone else. Therefore everyone is owned exclusively by himself/herself and then he/she is free to do whatever he/she wants if he does not harm someone else. Then, it is legitimate to appropriate unowned resources without restriction and, from a moral point of view, the right of the persons on natural resources is considered as a continuation of the rights of the persons on themselves. From an original situation in which the persons own themselves and the external world belongs to no-one, inequalities are then morally defensible. Since in its original state, the external world is owned by no-one, everyone can take unlimited quantities of natural resources for himself/herself, as soon as he/she harms no-one. Unequal quantities of natural resources can then be privately owned on a legitimate basis. Then a broad inequality of condition cannot be avoided, or it only can be avoided in infringing the rights of the persons on themselves and on external things.

In such a framework, self-ownership allows freedom: an individual is free to use his/her powers as he/she wishes, as soon as his/her action is not directed against others. He/she can be forced not to harm others, but he/she cannot be forced to help them, even if not helping them can be considered as a moral error. For the libertarians, redistributive taxation cannot be justified on a moral ground, since it is an interference on the individual life of the persons. Not only they master themselves, but they also hold the natural right to own the resources they can accumulate in exerting their personal capacities. Therefore, the conjunction of self-ownership and of an unequal distribution of resources leads to a

¹⁰ The posture which denies self-ownership and defends a private ownership on external resources is a nonsense, and we do not analyse it here.
broad inequality of condition. Self-ownership is used here as a moral justification of material inequalities and of capitalism.

2.1.2. A denial of self-ownership and an egalitarian approach on external resources

For the egalitarians, the personal productivity and the distribution of natural resources must be regulated by egalitarian principles. Talented persons are talented by luck, which leads to an unjust situation, since luck is not the result of a choice, but of undecided circumstances. The products of the nature and of the power of the persons must be distributed according to principles of equality (Dworkin), the richest persons must be taxed in order to improve the situation of the disadvantaged (Rawls). In this framework, the inequalities that are generated by capitalism are condemned, but the capitalism is not condemned in itself.

The egalitarian authors deny the concept of self-ownership because of the inequalities of condition to which it leads. They claim that the resort to constraint is necessary for ensuring the equality of condition, in a way that the individuals would not be allowed to an exclusive right on themselves, such it is presupposed by the concept of self-ownership. Because they advocate the causation from self-ownership to the inequality of condition, the egalitarians are forced to reject self-ownership.

2.1.3. A defence of self-ownership and an egalitarian approach on the external resources

In order to deny the justification of inequality, it is therefore necessary to refute either self-ownership itself or the inference from self-ownership to the inegalitarian conclusion as it is defended by Nozick. Cohen selected the second option. He claims that a genuine libertarian cannot legitimate the capitalist exploitation, insofar as it restricts the freedom of the workers. If capitalism obliges most of the proletarians to have no other choice than being proletarians, it means that they are not free to be something else than proletarians.

Then, the point is not to deny self-ownership, but to reject the private ownership of external resources. From Locke’s work, this approach defends a collective ownership of the world, which means that no-one can use it except if all agree. This means that an argument which is often used for advocating capitalism can be turned against capitalism.

One way of doing good philosophy well is to assemble premises which even opponents will not want to deny, and at dint of skill at inference, to derive results which opponents will indeed want to deny but which, having granted the premises, they will be hard pressed to deny. The trick is to go from widely accepted premises to controversial conclusions. It is of course, no trick at all to go from premises which are themselves controversial to controversial conclusions. (Cohen, 1995, p. 112)

Now the objective is to defend an egalitarian approach on external resources together with the concept of self-ownership. Cohen acknowledges that justice requires to stand up for a natural right to self-ownership, but he denies the right to exercise unlimited powers for accumulating private ownership, considered as a theft. Therefore, universal self-ownership does not guarantee the autonomy because it creates proletarians, who are not autonomous. Real freedom then requires limitations on self-ownership, and the conjunction between self-ownership and an unequal distribution of external resources leads to an inequality of condition. Only under such circumstances self-ownership represents a moral protection for inequality of condition, insofar as any attempt to promote an equality of condition is a violation of individual rights. It is the reason why Cohen

11 “In any case, the inference from self-ownership to the unvoidability of inequality was my target” (Cohen, 1995, p. 13).
Self-ownership, social justice and world-ownership presents the Marxian principle of proportionality – to each according to his/her contribution – as a distortion of the principle of self-ownership, which would disappear with the advent of the higher stage of communism. The next section aims to deepen the argument in favour of a Marxian interpretation of the concept of self-ownership.

2.2. Self-ownership as a support for the theory of exploitation

To the question “why did Cohen devote the best part of ten years to wrestling with such an unpromising idea” (Barry, 1996, p. 28), the latter may answer that Nozick’s *Anarchy, State and Utopia* (1974) waked him up from his dogmatic sleep. Whereas the egalitarians condemn the book because of its unconvincing premises, and they reject the concept of self-ownership because of the inequalities of condition to which it leads, Cohen claims that the Marxists should take it seriously. He proposes the assumption that Nozick, through a formalist definition of self-ownership, diverts Locke’s egalitarian message, which object was to reconcile self-ownership and equality. He proposes the assumption that whether the capitalists rob the workers a part of the products of their labour rests on the thesis of self-ownership; as a matter of fact, the capitalist appropriation is founded on an unjust distribution of the rights on external resources, namely an unequal distribution of productive resources.

This argument, taken as a neo-Lockean one, may constitute an alternative to the lack of ownership or to the private ownership of the external world. We analyse how it rests upon a defense of a common ownership of the world (2.2.1), and it can be used, in such a theory, together with the labour theory of value (2.2.2).

2.2.1. A necessary conjunction between self-ownership and a common ownership of the world

As opposed to Nozick, for whom things appear on earth in being owned by no-one, there is no guarantee that the original privatization is not a theft of something which should be commonly held. A private appropriation of the external resources is at variance with what the non-owners wish, so that Nozick cannot present himself as a defender of freedom. Proletarians, who only hold their labour force, are not able to control their lives to such a degree that it can be possible to evoke autonomy. Therefore, in order that everyone has a reasonable degree of autonomy, the content to be given to self-ownership must be limited. Nozick’s defence of inequality is founded on the conjunction of self-ownership with an inegalitarian principle on the distribution of external resources. It may be advocated, like Cohen does, that the original privatization is a theft of what should be commonly held, and the conjunction of self-ownership with a common ownership of the world would eliminate the tendency of self-ownership to generate inequalities. In other words, this is a private ownership of internal resources and a collective ownership of external resources, so that self-ownership does not prevent the achievement of the equality of condition. Therefore, Nozick’s inegalitarian conclusion can be denied without rejecting the self-ownership thesis. Progressive libertarians are then egalitarian in the initial distribution of external resources, whereas for the Marxists, the capitalist appropriation is founded on an unequal distribution of the rights on external resources. Therefore, the reason of the appropriation may be found in the unequal distribution of productive resources. Hillel Steiner (1981) proposes a conjunction between self-ownership and an equal sharing out of natural resources, which are privately held. However, because of the different capacities of the agents, of the discrepancy in their time preferences, in their differential aversion to risk, such a situation would necessarily lead to inequalities of condition and to class divisions. No egalitarian rule on external resources, together with the self-ownership principle, may promote equality of income, except in sacrificing autonomy. As a paradox, it might be true that self-ownership leads to a lack of autonomy, because of the discrepancy.
between the functions of utility of the individuals. If the conjunction of self-ownership with an equal division of resources and an equality of condition is impossible, only the common ownership may lead to an egalitarian situation. Cohen claims that the self-ownership principle does not defend an inegalitarian distribution of natural resources: the conjunction between self-ownership and a common ownership of the world would eliminate the possibility for self-ownership to lead to inequalities. He defends the point that the original privatization is a theft of what should be commonly held. Nothing is created *ex nihilo* and any private ownership is created from something which was, at a time, owned by no-one.

2.2.2. Together with the labour theory of value

The issue of exploitation has always been a central one in the discrepancy between Marxism and mainstream social science: roughly, it can be claimed, on the one hand, that the Marxists argue that the workers are exploited and, at some stage, capital loses legitimacy, and, on the other hand, that mainstream social science argues that, since private capital holds a moral legitimacy, the workers are not exploited. For Marx, exploitation shall be analysed through the double feature of the wage relation. In the sphere of circulation, equal values are exchanged — labour force is sold at its value — and in the sphere of production, the proletariat is forced to work longer than necessary for producing the amount which corresponds to the value of its labour force; therefore it is forced to surplus labour, which is appropriated by the capitalist class in terms of surplus value. The main point here is less the charge for theft than a claim about the relative character of justice, namely that the law has no explanatory primacy over the economic structure.

Exploitation is a result of the lack of access to the productive resources, and then of the obligation for the workers to sell their labour power to the capitalists. Then the injustice of capitalism is based on the initial inequality in the distribution of external resources, and the elimination of exploitation does not require the denial of the self-ownership thesis. Yet for Cohen, the theory of exploitation is a moral claim, and it does not require any scientific foundation — the theory of surplus value. He argues that the labour theory value is wrong since it has not been demonstrated that labour creates value (1979, 1983); therefore he denies the claim that the theory of exploitation is founded on the labour theory of value, and for that reason a moral justification is required. He shares such a stance with Michio Morishima (1973), for whom the socially necessary labour time is not consistent for calculating the value of commodities, and with John Roemer (1982), for whom the theory of exploitation is necessarily based on moral foundations. Besides, the capacities of each individual to work being unequal, a labour theory of value would allow inequalities of condition, and a conjunction between self-ownership and labour value would justify an unequal distribution. The Marxian labour theory of value would enter in contradiction with the assumed egalitarianism of Marxism.

With the population increase, natural resources became inadequate for feeding the whole population, more productive and sophisticated means of production became necessary, and the initial loss of the natural resources is the basic reason for the current exploitability of the proletariat: exploitation became possible because of the exclusive holding of the means of production by the capitalists. However the means of production are also products of labour with natural resources. Whereas the progressive libertarians are egalitarian on the natural resources, for the Marxists, the means of production are the product of the blending of natural resources with labour force, which are both responsible for the production of value. Whereas in capitalism the workers hold the ownership of their

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12 Surplus value is produced during production, it is achieved during exchange.
labour value, they are vulnerable to exploitation because they are deprived from the ownership of natural resources.

**Conclusion**

The concept of self-ownership has traditionally been denied by the radical authors, including Marxists, insofar as it has traditionally been used as an ideological argument for defending and justifying the capitalist property relations. Based upon the struggle against slavery, like it is the case in Locke’s works, various libertarian thinkers, including Nozick, argue their point in defence of capitalism through the self-ownership concept: everyone owns himself/herself, he/she owns the products which result from the use of his/her body, and then assets must be privately held. The concept is denied by the egalitarians because of the inequalities resulting from it, but Cohen claims that the Marxists should take it seriously, since it may be claimed that the capitalists deprive the proletarians from the ownership of their self. Then the concept of self-ownership itself does not generate inequalities and a common ownership of the world, together with self-ownership, would better allow an equality of condition. It would then be consistent to join the thesis of self-ownership with a Marxist approach in terms of exploitation and of alienation.

**References**


La doar 2-3 ani de la debutul mileniului, secolului și deceniului în care încă ne afluăm, cu siguranță că s-a simțit nevoia unei analize de etapă și de prefigurare a unor posibili viitorii. Aceștia nu pot fi dintre cei doritori de fiecare dată noi dacă nu vom acționa în direcții conștiente și înțelepte alese. „Descrisere inainte de prescriere” - sugerează Jonas Ridderstrale și Kjell Nordstrom, autori suobezi ai unei analize puternic impregnate de ideile de tip reformist care au conturat, postbelic, și „modelul suobez”, un socialist reformist, evoluțional și nu unul revoluționar, cum a fost acela de tip bolșevic sovietic. Acum, însă, a venit vremea să reformăm reformele trecutului și să evitate, pe cât posibil, răscoalele, revoluțiile și războaiurile. Cum? Cu înțelepciune, echilibru și umanism – ar fi răspunsul. Concret însă, acest răspuns va fi diferit în funcție de evoluții reale și nu de idealurile frumoase conturate de genul „n-ar fi rau să fie bine”. Autorii probează un umanism funciar, unul individualist și nu unul colectivist. În pofta subtitlului cărții (Management pentru omeneire), autorii realizează că suntem actori individuali interconectați, și tocmai această reciprocă dependență ne face parte a familiei mari numită omenire. Epoca este una a individualismului dus la extremitate, a punerii în valoare a fiecărui individ, colectivitățile, clasele, masele fiind abstracții sociologice care ne ajută doar să vedem tipuri de interacțiuni individuale la anumite niveluri de agregare. Evident, întregul conținut al cărții se referă la tot mai cuprinzătoarea sferă a economicului, practic una care se suprapune inevitabil peste socio-uman. Economic nu mai înseamnă profit, iar profitabilitatea nu mai este indicatorul-cheie care caracterizează activitatea unei firme.

Dacă avem curajul să redefinim economicul (afiat în miezul analizei acestei cărți) drept domeniul al colectării, combinării și consumării (înțelese din perspectivă productivă) ale oricăror elemente ce pot juca rolul de „mijloace în atingerea unor scopuri” (propuse de noi sau de alții, acceptate total sau parțial etc.), atunci apare simplu că economicul este, de fapt, același, egal cu el însuși de la Facerea lumii și până astăzi. Ceea ce diferă sunt doar ingredientele care compun categoria infinit de cuprinzătoare numită „mijloace”.

[2] Amintita redefinire a economicului face parte din Metodologia Scop-Mijloc, lansată pe „piața” ideilor noi încă la începutul anilor 80, sub denumirea de „Binomul Scop-Mijloc”. Mai pe larg, despre MSM, în limba
Evident este vorba despre mijloace pentru scopuri și nu de mijloace fără finalitate (de altfel conceptul de mijloc îl presupune implicit pe acela de scop). Așadar, esența economicului o reprezintă „mijloacele” ce pot duce la atingerea diferitor scopuri (contradictorii, convergente sau complementare). Pe vremea lui Aristotel, mijloacele (economicul) se împărțeau în cele care aveau drept scop „îngrijirea casei sau a statului” - de unde și substructurile teoretice numite economie domestică (individuală) și economie politică (colectivă) - și cele care aveau drept scop „obținerea de bani” - de unde și substructura teoretică numită finanțe (fin = scop... final). Prima categorie de mijloace era studiată de „oeconomică”, iar cea de a doua de „hrematistică”. JRKN (cei doi suedezi) fac apel al americanilor Robert Hebroner pentru a afla acest lucru (p. 326). Din păcate, traducătoarea Monica Șerban a scris „aeconomică” în loc de „oeconomică” (care are un echivalent în limba română și anume impardonabil absentul din dicționarele de limba română, acela de „economică”) și „chrematistike” (în loc de „hrematistică”). Concluzia mea e că putem clasifica mijloacile în oricăte categorii dorim – esența lor rămâne aceeași, de „elemente pentru scop”. Al czt scop? Depinde. Scoapele nu pot fi decât ale oamenilor (în afară de cazul în care acceptăm și prezența, alături de noi, a îngerilor sau a demonilor). Al oamenilor posesori de „mijloace de producție” (cîtește „capital”) sau al oamenilor posesori de „forță de muncă” (cîtește „muncitor”). Sau al altor oameni care nu intră în cele două categorii. A accepta această împărțire pe două clase de interese înseamnă a accepta că numitul Marx Karl nu vorbea chiar prostii când descria capitalismul secolului XIX ca fiind unul bazat pe concurență, în contrazodirea lui Aristotel. Marx a avut dreptate prin afirmația că vor ajunge la socialism calitățile economiei în siguranță pentru a ne îngriji, nu de mijloace, ci de bani, adesea încoerent, în zilele noastre.2 JRKN sunt apărători clari ai capitalismului, ai pieței libere și ai gîndirii libere și nu română vezi: Cap.I „Metodologia Scop-Mijloc” din lucrarea subeminațului „Managementul Sănătății”, Ed Ședocomlibris, Iași, 2000 (Ed I) și 2002 (Ed II-a)3

2 Recenza lucrare a lui H.-R. Patapievici, „Despre idei și blocaje”, apărută în 2007 la Humanitas, conține, din păcate, o asemenea moștenire de prelucrare necritică a sintagmei bolșevicilor ruși, respectiv „marxism-leninizm”. Lată moștenire: „Pentru o țară care număra peste un milion de victime ale ideologiei marxist–leniniste, revenirea în forță a marxismului în deghizament postmodern (studii crítice, postcolonialism, feminism, tot sosul) este stupefiantă intelectual și dezgustătoare moral” (pp. 141-142). Rezum, deocamdată, comentariul meu la următoarele gîndiri: 1. nu a existat o adevărată ideologică marxist-leninistă, ci doar o ideologică marxistă, așa cum se practică, adesea incoerent, în zilele noastre. JRKN sunt apărători clari ai capitalismului, ai pieței libere și ai gîndirii libere și nu
au cuvinte de laudă pentru regimurile comuniste totalitare, deja defuncte. Și totuși, Marx va avea parte, în cărțile celor doi suezi, mai mult de aprecieri pozitive decât negative. Ceea ce s-a întâmplat la noi, în România, a fost un „karaoke comunism”, o cultural de imitație a unui presupus model perfect, o lălaia încoerentă de patriotism local, ideologie de stânga și diplomație între Ursul Rus și Unchiul Sam. Dar asta nu m-a îmiedicat să susțin înainte de 1989, mai piano pentru că nu dădeze bine, și după 1989 mai pianissimo pentru că dădeze de-a dreptul râu - că legea valorii definită de Marx avea substanță și adevăr dacă se faceu necesare redefiniri. De exemplu, amintita legea suna: valoarea unei mărfi era determinată de timpul de muncă socialmente necesar pentru producerea acelei mărfi. În termeni neoliberali legea valorii se numește „prețul corect”. Dar mai este valabilă legea valorii definită de Marx? Desigur! o spun în cor JRKN. Cum să mai fie valabilă legea valorii formulată de Marx? Simpului, prin (re)definirea economicului în termeni de mijloace. 4 Dar acelea de o definiție a unui gânditor nu te face automat promotor al întregii sale gândirii (ideologii, teorie, filosofii etc.). JRKN vorbesc despre valoare: „valori de bază corporatiste sunt: 1. Iubește-ți clienții și colegii. 2. Abordează viitorul într-o manieră pozitivă. 3. Ghineste-te întotdeauna la idei noi. 4. Torează frustrarea.” (pp. 202-203). Deci au valoare realități ca: iubirea, pozitivitatea, noutatea, toleranța. Dar oare putem crede că lumea înțelege prin „valoare” unul și același lucră? Dacă s-ar face un sondaj pe stradă, într-o organizație oarecare, la o grupă de studenți (dar, mai ales, la un grup de profesori) cu unica întrebare: „Ce înțelegeți prin (cuvântul) valoare?”, răspunsurile primește nu ar mai permite nimănui să vorbească despre valoare înainte de a o defini, descrie, explica, exemplifica etc. Marea varietate a răspunsurilor ar fi completată doar de ponderea mare a non-răspunsurilor... Spre exemplu, personal am o descriere (întelegeri) oarecum aparte a conceptului de valoare: valoarea este locul geometric al intersecției dintre scopurile propuse, mijloacele induse și gradul de adecvare (fit & match) dintre scopuri și mijloace cu referire la o situație, eveniment, persoană, realitate, idealitate etc. Când cele trei criterii de valorizare sunt convergente (necontradictorii) atunci situația descrie-ar să se valore mai maximă, descrie o starea de acceptare după un set de criterii foarte bine definite. De exemplu, care este valoarea unui bun care se vinde la piată?4 După compararea vorbi despre marxism în deghizament postmodern, atunci acesta apare explicit și (bine) argumentat în lucrările suezilor JRKN, cărți cu un succes mondial incontestabil. Aceștia afirmă mereu: „Marx a avut dreptate!” Poate e mult spus, în acest mod ultrasimplificat, dar cu siguranță, în gândirea lui Marx sau a lui Mao, a lui Mahomed sau Moise există în mod cert fraze, idei, demonstrații care ne permit să le descriem ca fiind corecte, logice. Asta, dacă nu cădem în prozelitism sau în gândire... necritică. 4 Conform modelului meu, valoarea unui lucru este dată de dimensiunea scopului care poate fi atins prin utilizarea sa ca mijloc. Pentru vânzător, scopul este să-l vândă contra unei sume de bani (cât mai mare, dar de o dimensiune care să fie în funcție de probabilitatea de a o obține într-un interval temporal considerat rezonabil/ acceptabil pentru el); pentru cumpărător, scopul este să beneficieze de calitățile/ atribuțiile bunului respectiv, cât mai repede și cât mai ieftin. Pentru vânzător (care poate fi și producătorul bunului) mijlocul principal de realizare a scopului său este, în primul rând, cumpărătorul, dar mai există și alte mijloace posibile: arta sa de a comunica, posibilitatea de a folosi un spațiu fizic numit piață/ tara etc., un cadru juridic permissiv, condițiile climatice favorabile schimbului etc., etc. Deosebirile de valorizare apar înțelese prin asimetră informațională existentă între cei doi, fiecare având un (alt) set relativ de scopuri și de mijloace referitor atât la el cât și la celălalt, dar și la elementele de context. Valoarea de piată se numește preț corect, în sensul că partenerii fac schimbul ca urmare a unui acord tacit, rezultatul căruia este că fiecare și-a atins scopul cu mijloace adecvate. Orice lucră poate fi evaluat aplicând aceste structuri valorizatoare, chiar dacă nu este vorba despre vânzare directă, ci de utilități generice, mijloacele ipotetice de a le acede și adecvări cu grade de probabilitate și de acceptabilitate aflate într-o dinamică continuă. Rezultatul evaluării este stabilirea unui nivel valoric (relativ, desigur) al scopurilor, mijloacelor și adecvărilor. Pe scurt, un lucru apare ca fiind unul „bun” dacă cele trei criterii au dimensiuni pozitive. Chiar cind dimensiunile negative apar, pozitivitatea celorlalte poate fi covârșitoare, iar adecvarea devine posibilă, chiar dacă doar la limită. Aceste evaluări pot stabilii ierarhii, strategii, pledoarii etc., dar triada scop-mijloc-grad de adecvare scop-mijloc este permanentă și imposibil de eludat. Acest lucru provine din modul de definiire a esenței umane: omul este o funcție de scopurile propuse, mijloacele induse și gradul de adecvare dintre acestea (pentru grad de d’adecvare se impune o discuție specială, fiind vorba de contexte spațio-temporale infinite și care pot crea

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diferitelor teorii axiologice cred că se poate ajunge la concluzia că toate acestea se derulează după aceeași rețetă unică, cu respectarea triadei scop-mijloc-adecvarea scop mijloc, desigur într-o varietate de formulări mai mult sau mai puțin directe sau transanțe. Uneori, lipsa unei finalități raționale evidente este echivalată (de unii...) cu lipsa oricărei finalități...Sau, prezența emotivității ca suport al alegerii ar tenta pe unii să spună că acest model triadic nu funcționează. În ce mă privește, consider adevărată afirmația că emoțiile reprezintă un liant al rațiunii, o condiție a funcționării acesteia, fapt subliniat și de JRKN. În teoria marxistă a valorii se poate substitui „timpul de muncă (fizică) socialmente necesar” ca determinant al valorii cu „volumul și cantitatea cunoașterii” ca echilibrator/ anihilator al asimetriei informaționale dintre partenerii la actul valorizării. Cu alte cuvinte, teoria valorii muncă poate fi valabilă, înlocuind munca fizică cu munca intelectuală. JRKN – prin pledoaria adusă creativității, inovației, gândirii novatoare – pledează indirect pentru o revalorizare a poziției intelectualelor în economie. De reținut că valoarea este un act eminent social, chiar dacă actul valorizării este consumat în deplină solitudine. Desigur, o abordare mai largă și mai consistentă a acestei axiologii integrăriște ar fi mai utilă decât o simplă enunțare și descriere a sa. Aștept o cerere concretă (de la editori, desigur) pentru a veni cu oferta corespunzătoare...


5 După ce am propus reducerea economicului la mijloace și consider posibilă o nouă axiologie bazată pe triada scop-mijloc-raportul scop mijloc, de ce nu aș propune reducerea politicului la scopuri stabilite în funcție de mijloacele existente sau posibile de atras. Așadar, aruncăm tratatele groase de politologie, de istorii ale gândirii politice (în afara cazului în care suntem pasionați de istorie și vă place să trăiți în trecut) și încercați să puneți semnul egal între politic(ă) și scopuri umane. Oricel fel de scop formulat ține de ceea ce acum numim convențional politică. Deși termenul de politică face trimiteri la colectivitate, la polisul grecesc din anticite, politicul s-a referit dintotdeauna la individul ca parte a colectivității și nu la colectivitatea amorfa formată din indivizi. Așadar, putem vorbi despre politici individuale sau colective, de politici care vor să stimuleze combinarea corectă a mijloacelor sau politici de conurare a unor scopuri (politici) etc. Deși fiecare dintre noi alege mijloacele cele mai adecvate pentru atingerea unui scop, alegerea se referă mai întâi la scopuri. Dorim să cumpărăm varză pentru a o pune la murat? Avem de ales între a merge la alimentare din colț care vinde cu 10% peste prețul de piață specializată, sau a merge la piața de legume și fructe unde găsim varză mai ieftină dar care ne
economicului și politicii nu este dat doar de triada scop-mijloc-raportul scop mijloc, ci și de existența alegerilor ca moment definitoriu pentru prevenirea crizelor și asigurarea dezvoltării durabile. „În interiorul regiunilor karaoke, companiile și ființele umane se confruntă cu o alegeri de căptătă: să-i copieze pe ceilalții sau să-și modeleze propriul viitor”. (p.15). Lozinca zilei este „Nu imitați – inovați!” (p.15), fapt care presupune abandonarea majorității practicilor actuale, fie că au nume cu renume sau se predau mereu în universități: benchmarking, bune practici comerciale, structuri manageriale matriciale, piramida lui Maslow etc. A experimenta mereu ceva nou, iară șansa de a obține avantaj concurențial față de acei competitori care experimentează şi inovează mai încet sau deloc. Cine să inventeze noile experiențe dacă nu indivizii care au „la purtător” mijloacele de producție? (alt prilej pentru JRKN să-l elogieze pe Marx pentru ideea genială a acestuia de a propune trecerea mijloacelor de producție în proprietatea celor care le utilizează ca un factor de productivitate și de armonie socială). Deci, sloganul marxist ar putea fi reformulat astfel: „Purtătorii de creiere din toate țările, unite-vă!”, fapt ce se și întâmplă sub numele de glocalizare...Dar, asta doar dacă fiecare individ în parte va dori și va alege în mod conștient acest lucru: „individualismul reprezintă triumf al alegerii controlului și victoria alegerii precaute împotriva sortălor” (p. 23). Așadar, alegerele libere sunt totul! Dar nu se poate oare și fără alegere libere? Ba da, dar nu pentru mult timp: „Lipsa alegerii simplifica lucrurile. Dar, totodată, omora din față oportunitatea și speranța” (p.23). Este interesant de știut și de reținut că adesea facem alegeri chiar fără să vrem. Nu noi am ales să avem internet și calculatoare, putem doar alege să le utilizăm sau nu. Desigur, asta până ne convingem că am ales prost...”Nici un om nu e în stare să strunească schimbarea, însă i-o poate lua cu mult înainte”, scria profetic Peter Drucker în 1967. Trăim vremuri cu o dinamică impresionantă a schimbării. JRKN susțin că schimbarea este permanentă și că „este determinată de cele trei forțe ale tehnologiei, instituțiilor și valorilor – instrumentele, regulile și normele” (p.37). Schimbarea este adesea percepută (doar) ca un dat. Cărău nu ar urma decât să ne supunem...Dar schimbarea poate fi inițiată de noi, de mine, de tine sau de ei. Aducă, putem inventa schimbarea dacă dătarul existențial nu miroase a bine... „Viitorul aparține mai degrabă inovatorilor instituționali individuali, decât fundamentaliștilor fanatici. Puterea este transferată de la stăpânul care conduce după reguli la cei care nu respectă regulile, precum și la cei care creează reguli” (p. 67). Este interesant de observat că cei doi postmarxiști suzezdi fac pledoarii consistente pentru gândirea de tip postmodern fără însă a se autodefini ca aparținând în plus transportul și timpul... Deci, înainte de a alege varza pentru murat alegem de unde o cumpărăm. Alegerele în deopotrivă de politic și de economic, succesiunea este aleatorie și relațivă, ca de altfel și importanța lor în timp. Esența actului politic democratic o constituie alegerile – procesul de delegare a autorității și responsabilității individuale la nivel colectiv – iar esența actului economic o constituie tot alegerile. Alegem mereu scopuri în funcție de mijloace și mijloace pentru a atinge scopuri. Aceasta este roata vieții, o alergare și o alegere continuă fără a spune că am ajuns la punctul final. Informațiile despre modul în care am făcut alegerile (polițice sau economice, adică alegeri de scopuri sau alegeri de mijloace) se transmit prin spitele roții pînă în locul de culegere a tuturor acestor informații numit butuc. Butucul este unul geometric al comparării simultane și continuă a scopurilor și mijloacelor, respectiv a nivelului de adecvare dintre aceste două categorii de alege. Dacă roata rămâne perfect circulară înseamnă că avem o alegere bună, iar direcția de mers este, de asemenea, bună. Dar bunul și binele reprezintă doar domeniul de discurs al eticului. Astfel, avem o roată (a vieții) compusă din segmente de lemn numite scopuri și mijloace, așezate alternativ, dar protejate de un cerc de fier. Acesta este contextul (social) în care co-există scopurile și mijloacele. Trebuie să existe ceva care te unește, altfel nu putem vorbi despre o societate, o organizație, o familie, o alianță etc. Spitele roții sunt canalele de informație, un alt ingredient esențial în funcționarea roții și în menținerea echilibrului dintre scopuri și mijloace, între politic și economic. Informațiile se prelucreză în butuc și se retransmit bucăților de lemn care alcătuiesc roata. S-ar parea că spitele nu comunică între ele și că modelul roții este unul iarharic de timp birocratic și centralizat. Fals! O spătă slabă sau ruptă este receptată (durerol) de celelalte spite care preiau sarcina și în caz că nu se iau măsuri de redresare, inclusiv direcția și viteza vor fi acceptate. Așadar, managementul este o roată a cărei valoare, viteză și direcție sunt stabilite de ansamblul tuturor elementelor componente!
acestui curent de gândire. Ei preferă implicitul explicitului. Încadrările au și neplăcuta calitate de a asocia oamenii după etichete, ceea ce nu prea e de dorit.

Inovația devine moneda forte a zilelor noastre. „Astăzi, resursa cea mai limitată nu este investiția, ci imaginația” (p.105). Or, fără imaginație nu poți inova, nu poți obține avantaj concurențial. Ca să reușești ca individ trebuie să devii unul rar: „Pentru indivizi, singura strategie viabilă este să devină mârului rare” (p. 106). Rareitatea se creează prin inovare continuă, fapt riscant în sine deoarece creează instabilitate periculoasă. În planul specializărilor bine conturate, schimbarea continuă este pericol letal pentru cei încremeniți în vechile proiecte. Pe zi ce trece, toți specialiștii de ieri devin azi mai puțin competenți, prin simplul fapt că cineva din breasla lor a făcut o inovație de care tu nu ai aflat încă și, în plus, tu nu ai făcut nici o inovație...Soluția? Inovează! Creează! Stimulează pe creatori, dacă tu însuți nu ai această calitate. Cumpără inovatori, nu oameni închisăți în reguli utile și clare...Partea proastă la firmele actuale este că nu includ în bilanț volumul de noutate, de creație și de inovare. Cumpărăți talente obraznice, nu yesmeni docili! „Puterea se află acum în plin transfer, dinspre proprietarii capitalului financiar spre cei care au capital intelectual” (p. 110) Într-adevăr, nu diplomele conțează, ci talentul autentic. Probabil, în viitor, angajările se vor face strict în funcție de creativitatea dovedită și nu de cartoanele ce atestă deținerea unor informații deja perimate...JRNK inovează un nou termen: competalismul. Trecerea de la capitalism la competalism se face sub ochii nostrilor (p. 118).

Evident, managementul este zilnic infestat de inovații. Noi reguli și stiluri apar și dispar ca moda vestimentară sau chiar mai repede. Schimbările din gama de gusturi a clientului, care realmente devine stăpân peste tot, iar managerul trebuie să cunoască aceste schimbări. „Petrecerea timpului alături de clienți reprezintă esența managementului” (p. 135). Aceasta presupune comunicare permanentă cu clientul. Altfel, îl pierzi... Cât de desuetă apare atitudinea unor profesori care nu comunică direct cu studenții, nu îi lasă acestuia adresa de e-mail și numărul de mobil, pentru a răspunde la orice întrebare, doleanță etc. Feudalismul balcanic împiedică, la noi, pătrunderea competalismului, tocmai pentru că nu am experimentat încă un capitalism concurențial autentic.

Lecturarea cărții postmodernilor suedezi incită la reflecție și, de ce nu? la idei noi! Cele citite ar trebui să pună pe gânduri îndeosebi profesorii de nivel universitar și postuniversitar. Ce fel de competențe comunicații cumelt care vin să învețe cum să obțină un avantaj concurențial pe piață în care activează sau vor activa. Nu doar faptul că devenim, oricum! mai puțin competenți pe zi ce trece, dar mai și transmitem altera acest lucru...Structurile curriculare ar trebui analizate și, eventual, schimbate anual. Iar conținutul informațiilor comunicate trebuie revizuit, de asemenea, an de an. Rapoartele de activitate ar trebui să cuprindă descrierea amănunțită a ideilor noi aduse în activitatea de predare. Structura activității economice nu mai este acum industrie, agricultură, servicii, ci sector de producție de bunuri materiale (care oferă bunuri materiale, palpabile și vizibile), sector de oferire de servicii (care oferă servicii imateriale, impalpabile dar vizibile) și sector de producere a emoțiilor (care oferă emoții imateriale, impalpabile și invizibile). Așadar, pe lângă managementul producției și managementul serviciilor ar trebui să predăm și managementul emoțiilor! Companiile care se respectă vând emoții la pachet cu serviciile oferite!

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Call for papers

International and Interacademic Conference on:

(Post)Epistemic economies and the Management of knowledge.
Transdisciplinarity as new knowledge.


Knowledge has always been the real vector of any economic transformation and progress. What kind of knowledge? What kind of progress? Capitalism was about knowledge on how to obtain, possess and exploit land, labor and capital. This specialized knowledge was called Economics and the economic epistemology was based on disciplinary, narrowly segmented knowledge. It was the Era of the modern, capitalist and industrialized economies. Nowadays, especially (but not only) in the postmodern, postcapitalist and postindustrialized developed and educated economies there is a need for more knowledge on how to produce knowledge. The real substance of a prosperous postmodern economy is the quantity and quality of knowledge and creativity. So, some economic structures may be defined as postepistemic economies. A postepistemic economy is that kind of economy that produces and consumes knowledge more than any other resource. The academic and non-academic communities of teachers and researchers are the core of some present economies and of most future ones. The present research is more transdisciplinary than disciplinary, more experiential than experimental. As a result, globalizing of the world economy is hand in hand with processes of unification in knowledge. This process has transdisciplinarity as one of its strongest tools. But who is asked to do that? We suppose that all those implied in research and education, in media and communication, in shaping, in a way or another, our own lives are asked to study and create the new postepistemic economies. Of course, the epistemic modern economies are still existing and developing on disciplinary narrow basis, but the new trend is a large transdisciplinary, even holistic approach. This conference, dedicated more to the transdisciplinary approaches in research, is under the patronage of a great world thinker, founder and promoter of transdisciplinarity – professor Basarab Nicolescu, president of “International Center for Transdisciplinary Reserach (C.I.R.E.T.)” located in Paris, France.

The Conference there will organize the workshop “Doxa Praxis Continuum and the Sustainable Regional Development” as a part of a possible future European project. Also, education and curricular development may generate a real interest on transforming the education system into a creative and adaptive one.

A less developed country (Romania), an economic region of Romania that is ranked the last one not only in Romania but in the whole European Union (North-East Region), a relatively small town (Bacau) and a young and non-state funded university (George Bacovia University) may be considered as not the most appropriate places to hold such a prestigious Conference. Our belief is that this specific position should be an extra-impetus for knowledge development, for exchanging new ideas and for promoting creativity and research all over Europe in order to reduce the gap between our continent and the United States.
Themes to be treated and many connected others:

Transdisciplinary Hermeneutics
Doxa Praxis Continuum and the Sustainable Regional Development (workshop)
Curricular development as a form of sustainable knowledge creation
(Re) defining the scope of economy
Choose a name: Economics, Political Economics or Political Economy
How political and moral is the economic field?
Disciplinarity, Interdisciplinarity and Transdisciplinarity in research
Management of information, knowledge and wisdom. Experiential management
Marketing of events: Experiential Marketing
Services Management and events management
Cultural studies in transnational economic contexts
Semiotics: semantics, syntax and pragmatics studies
Metaphors in management teaching and deciding
Social economics and social work
Financial (global) markets and asymmetric information
Tobin Tax and Islamic finances
Hospitality and tourism
Law and Moral dimension of businesses
Corporate Social Responsibility
Epistemic games and the new teaching methods
The game – based organizational culture in learning organizations
Cognitive theories and manipulating consumers’ behaviour
From accountancy to accountability and responsibility
Ecology and Environment protection
Neuroeconomics, neurofinance, neuromarketing and neuromangement
Cognitive economics
From experimental to experiential economics

Any other connected fields, ideas and spheres are encouraged just in order to stimulate the transdisciplinary thinking. The organizing committee/ organizers only have suggested/ proposed a number of themes that may become conference sections, provided that there are at least 3-4 papers on issues related to the theme.

Our colleagues/ participants willing to organize different sections on a proposed theme are invited to do so, providing/ insuring at the same time the presence of 3-4 communicators (participants) for the proposed theme. Each section will have a chair person and a discussant that will analyze the papers in advance and will open discussions after each presentation. The participants are asked to bring hand outs, both for full paper and for power-point presentation. All accepted abstracts will be published on the conference site and in a book of abstracts.

Acceptance criteria
The proposed papers will be accepted only if they meet the following criteria:

- should not have been published or presented previously
- should have a high degree of originality
- participants will present personal opinions on the approached theme
- participants must integrate the personal view within the scientific context
- should meet the editing criteria (including bibliography)
- participants should accept the dialogue with the reviewers for eventual changes concerning the title, chapters, length etc.
- papers should not be longer than 14 pages
- each paper should be accompanied by an abstract (about half a page A4) and key-words
- one participant can present no more than two papers, either as an author or as a co-author

Guidelines for the authors:

- Papers which don’t comply with the formatting conditions described below will be returned to the authors and will only be taken into consideration for final reviewing when they fulfill the mentioned standards.
- The papers must be written clearly, concise, without any ambiguities.

Page Setup:

Text margins: bottom – 2.2 cm; right – 2 cm; top – 2 cm; left – 2 cm; page format A4. The text will be written in single line spacing, justified alignment.

Paper Structure and Formatting Details:

- **Title of the paper**: centered, bold, *Unicorn Kro*, 36 pt., CAPS LOCK) after 3 SPACES
- **The first name and the surname of the author**: Verdana, 14pt, bold, CAPS LOCK, right alignment, single spacing from the title (12 pt.);
- **Institution**: Verdana, 11 pt., bold, right alignment;
- **3-5 key-words (in English)**: Book Antiqua, 10 pt., italic, 2 lines spacing from the author/authors’ institution;
- **Abstract**

  No more than 300 words, in English. The abstract must clearly specify the purpose of the paper and the objectives pursued by the author by his/her study. To be written in *Book Antiqua* font, 10 pt.;

- **The content of the paper**: Arial, 12 pt., 2 lines spacing from the abstract;

Where and when?

*George Bacovia University is already a well known actor on the educational services market, organizing every year international/inter-university conferences on the hottest issues. The Conference will take place at June 17th – June 18th 2008 at the university headquarters.*

Fees and other costs

*The conference fee is 80 euros. This includes information package within a Conference bag (Program, Book of abstracts, the last issue of the scientific journal of the university etc.). After the Conference the final form of papers will be collected, and all participants will receive a copy of the “Buletin Stiintific” journal with the communicated papers. The fees should be sent to the George Bacovia University’s account: RO50BRDE040SV03721540400. Hotel prices are from 40 to 60 euros per night. A special conference price is being negotiated.*
Important dates & info

Deadline for submission of titles and abstracts: March 23, 2008
Deadline for submission of full paper: April 15, 2008
Acceptance notification: May 1, 2008
Deadline for payment of conference fee: May 10, 2008
Conference programme on web-site: May 20, 2008

Contact persons:

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Sponsorship/sponsors:

Calls for papers will be sent to potential sponsors willing to offer financial support to our activity, having in return the possibility of distributing advertisement information both before the beginning of the session (on our web page), during the session (leaflets in the participants’ conference bags) and after the conference by publishing the ads in our scientific journal.