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CULTURELLE EN EUROPE**

**DIVERSITATE ȘI IDENTITATE  
CULTURALĂ ÎN EUROPA**

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# FONDEMENTS

## UTOPIE, DYSTOPIE ET LEURS AVATARS

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### **Abstract:**

The term « dystopia » first appeared during the 19th century, and has been used since then in various contexts with different meanings. Just like the concept of « utopia », from which it originated, the dystopian genre has been the subject of numerous scientifical definitions, often complementary, sometimes contradictory, mixing terms as diverse as « anti-utopia », « counter-utopia », « atopia », « uchronia» and « paratopia ». If the present article proposes to point out the lack of clarity of the notion (1), it will show subsequently the need to come back to the utopian genre (2), in an effort to clarify the relationships with its derivatives (3) and propose a new, consistent definition (4).

### **Keywords:**

Utopia, dystopia, uchronia, heterotopia, contre utopia, anti-utopia, literary genre.

### **Résumé:**

Apparu pour la première fois au XIXe siècle, le terme « dystopie » a été employé dans divers contextes avec un signifié très différent. À l'image de l'utopie dont elle est issue, le genre dystopique a fait l'objet de nombreuses définitions scientifiques souvent complémentaires, parfois contradictoires mêlant des termes aussi divers qu'« anti-utopie », « contre-utopie », « atopie », « uchronie » et « paratopie ». Si le présent article se propose de pointer le manque de clarté de la notion (1), il montrera ensuite la nécessité de revenir sur le genre de l'utopie (2) afin de clarifier les relations avec ses dérivés (3) et en proposer une nouvelle définition cohérente (4).

### **Mots clé:**

Utopie, dystopie, uchronie, hétérotopie, contre utopie, anti-utopie, genre littéraire

### **Rezumat:**

Termenul de „distopie” a apărut pentru prima dată în secolul al XIX-lea și a fost folosit de atunci în diferite contexte cu semnificații diferite. La fel ca și „utopia”,

de la cares-a format, genul distopian a fost subiectul numeroaselor definiții științifice, adesea complementare, uneori contradictorii, care amestecau termeni la fel de diferiți precum „anti-utopia”, „contra-utopia”, „atopia” , „Uchronia” și „paratopia”. Dacă prezentul articol propune să sublinieze lipsa de claritate a noțiunii (1), va arăta ulterior necesitatea revenirii la genul utopic (2), într-un efort de a clarifica relațiile cu derivatele sale (3) și propune o nouă definiție coerentă (4).

**Cuvinte-cheie:**

Utopie, distopie, uchronie, heterotopie, contra-utopie, anti-utopie, gen literar.

**1. La dystopie : un flou conceptuel**

Se lancer dans l'approche et la compréhension des dystopies n'est pas une chose aisée. Non que la bibliographie s'y afférent ne soit pas disponible ou peu nombreuse, mais surtout parce que le concept que nous cherchons à étudier semble s'échapper, se dérober sous nos yeux, disparaître systématiquement sous une autre identité, une autre étiquette.

Que l'on y songe ; dans un même ouvrage de référence<sup>1</sup>, le terme « dystopie » peut être utilisé comme synonyme d'une dizaine d'autres mots : contre-utopie, utopie, science-fiction, uchronie, mythe, atopie, fiction, anticipation, millénarisme et hétérotopie.

Au fond, si ce flou conceptuel demeure si vaste, c'est peut-être que le mot « dystopie » s'est construit à partir de celui d' « utopie ». Or le sens de ce dernier est lui-même extrêmement trouble en raison de son ancienneté et de son hybridation. C'est d'ailleurs ce que rapporte le professeur Peter Kuon :

«L'utopie ne se contente pas de détailler l'image d'une société radicalement autre, mais tente de spécifier et, par moments, de brouiller le sens du projet utopique, en l'associant à différentes formes d'expression, telles que le dialogue, la satire, l'allégorie, le récit de voyage, le conte, le roman d'aventures ou de formation, qui varient dans le temps. »<sup>2</sup>

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<sup>1</sup> Ici la revue D. James-Raoul (dir.), « L'utopie entre eutopie et dystopie », *Eidolon*, n°110, Bordeaux, Presses universitaires de Bordeaux, 2013.

<sup>2</sup> Peter Kuon et Gérard Peylet (dir.), *L'utopie entre eutopie et dystopie*, Eidolon, n°110, Bordeaux, Presses universitaires de Bordeaux, 2013, p. 21.

Avant de pouvoir donc démêler le moindre fil de signification du concept de « dystopie », il convient tout d'abord de tenter de mieux comprendre celui d' « utopie ».

## 2. Un retour nécessaire vers le genre originel : l'utopie

Si comme nous venons de le voir, le terme de dystopie engendre un flou conceptuel persistant, cela semble plus vrai encore pour le concept dont il est dérivé, à savoir l'« utopie ». Nous le verrons, ce terme jouit, dès son apparition, d'une ambiguïté constitutive qui rejoindra sur l'entièreté de son histoire (2.1) donnant lieu à quantité de définitions. Nous en ferons le rappel (2.2) pour ensuite observer leurs limites, voire leurs contradictions (2.3). Bien évidemment, nous tenterons de déduire de ces observations les attributs essentiels d'une nouvelle définition (2.4).

### 2.1. L'utopie et son histoire

On sait aujourd'hui, grâce à l'étude de sa correspondance avec Érasme – et notamment dans ses lettres du 12 novembre et du 4 décembre 1516<sup>3</sup> - que c'est Thomas More qui a construit pour la première fois le terme « utopie ». Ce dernier remplace un autre mot d'origine latine, « nusquama » (qui signifie « pays de nulle part ») mais qui n'a pas les faveurs de More pour le titre de son livre *De optimo reipublicae statu deque nova insula Utopia libellus*, publié à Louvain en 1516.

Le néologisme « utopia » est donc construit à partir du préfixe « ou » (dont le sens est privatif) et le mot « *topos* » signifiant « lieu ». De fait, le terme « utopie » paraît simplement signifier « lieu qui n'existe pas ». Cependant, dans le sizain qu'il place en exergue de son œuvre, More rajoute qu' « Eutopie, à bon droit, c'est le nom que l'on me doit. » Or, le préfixe « eu » signifie en grec, bonheur, ce qui fait de l'utopie à la fois le « lieu de nulle part » mais aussi « le pays du bonheur ». Cette ambivalence constitutive du terme, aura de nombreuses conséquences tant sur la compréhension de celui-ci que sur son étude.

C'est Rabelais qui l'utilisera le premier (et le francisera donc) dans son *Pantagruel* (1532) à l'intérieur de la lettre que Gargantua envoie à son fils afin de relater des événements se déroulant en utopie – synonyme alors de

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<sup>3</sup> Thierry Paquot, *Utopies et utopistes*, Paris, La Découverte, 2018, p. 5.

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pays imaginaire. Comme le note le philosophe Thierry Paquot, « on peut imaginer que ce mot pénètre la langue française, doté de ce sens particulier. »<sup>4</sup>

Le terme apparaît d'ailleurs pour la première fois dans un dictionnaire en 1611<sup>5</sup>, et signifie justement « un endroit ou une région imaginaire. »<sup>6</sup> Il gardera cette signification tout au long du XVIIe et même une partie du XVIIIe siècle où il entre dans d'autres dictionnaires (Trévoux en 1752 ou de l'Académie française de 1762) toujours sous la même acceptation.

Ce n'est qu'à partir de la fin du XVIIIe siècle et notamment dans la cinquième édition du Dictionnaire de l'Académie française en 1798 que le mot « Utopie » se charge d'un sens qu'il n'avait pas jusqu'alors : « Utopie se dit en général d'un plan de Gouvernement imaginaire, où tout est parfaitement réglé pour le bonheur commun, comme dans le *Pays fabuleux d'Utopie* décrit dans un livre de Thomas Morus qui porte ce titre. *Chaque rêveur imagine son Utopie.* »<sup>7</sup> Du reste, c'est déjà le sens que lui avaient attribué plusieurs auteurs de l'époque : Diderot dans *Apologie à l'abbé Galiani* (1770) ou encore Mirabeau qui, dans une lettre datée de 1789, parle de « utopiens » pour désigner des charlatans.

Au XIXe siècle, si le terme est repris et associé par les théoriciens du socialisme naissant sous une forme positive (on songe ici à Charles Fourier ou à Joseph Proudhon) pour désigner la recherche d'une société plus juste et plus égalitaire, il n'en demeure pas moins que les dictionnaires (par exemple le *Dictionnaire universel de la langue française* de P.-Cl. Victoire Boiste en 1800 ou encore le *Dictionnaire général et grammatical des dictionnaires français* de Napoléon Landais en 1834) maintiendront le sens « chimérique et impossible » accolé à l'utopie dès le siècle précédent. C'est pour cette raison que Marx et Engels prendront soin, dès 1878<sup>8</sup> de distinguer le « socialisme utopique » de leur vision du socialisme proclamé « socialisme scientifique », c'est-à-dire réalisable.

Ces trois acceptations (pays situé nulle part, pays heureux ou rêverie irréalisable) ont perduré jusqu'à notre époque, même si le sens « irréalisable » semble largement dominer comme en témoigne l'utilisation courante du terme

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<sup>4</sup> *Ibidem*, p. 6.

<sup>5</sup> Randle Cotgrave, *A Dictionarie of the French and English Tongue*, 1611.

<sup>6</sup> Thierry Paquot, *op. cit.*, p. 6.

<sup>7</sup> Dictionnaire de l'Académie française de 1798 cité par Thierry Paquot, *op. cit.*, pp. 7-8.

<sup>8</sup> Friedrich Engels, *Socialisme utopique et socialisme scientifique*, trad. Paul Lafargue, Paris, Derveaux, 1880.

« utopique » ou encore la définition fournie par le Robert en ligne, édition 2017 : « idéal, vue politique ou sociale qui ne tient pas compte de la réalité ; conception ou projet qui paraît irréalisable ».

## **2.2. Les principales propositions de définitions de l'utopie**

Du côté de la recherche, les définitions de l'utopie sont nombreuses et très inégales. Elles vont des définitions réductionnistes (un trait) jusqu'aux définitions complexes comptant une dizaine de caractéristiques différentes pour certains « utopilogues »<sup>9</sup>.

Il en va ainsi de la définition de Lyman Tower Sargent qui précise que l'utopie est : « une société inexistante décrite dans les menus détails et située normalement dans le temps et l'espace »<sup>10</sup>. Dans un article dédié justement à la clarification des différents termes liés à l'utopie, Corin Braga, la définit comme un « virtuel positif impossible, une construction fantastique, métaphysique, qui fait le saut dans l'incroyable, dans l'extraordinaire »<sup>11</sup>. Francesco Muzzioli ajoute très sobrement qu'il s'agit d'une : « représentation idéale du meilleur des mondes (...) utopie comme *eu-topia*, le lieu heureux »<sup>12</sup>, insistant alors sur l'idéal commun à atteindre. Enfin, toujours dans un style épuré, Thierry Paquot définit l'utopie comme un « projet politique visant au bonheur de chacun et de tous et aussi de rêves irréalisables écrits pour dénoncer la triste réalité et conforter sa dérision »<sup>13</sup> relevant ainsi ce qu'aucun autre spécialiste n'a explicitement énoncé dans sa définition : l'écrit utopique se signale par la dénonciation induite de la société contemporaine de l'auteur.

On est forcé de constater, dans cette première série de définitions, l'accord général des auteurs sur quelques attributs essentiels de l'utopie : il s'agit d'un projet imaginaire de société dont l'objectif est le bonheur général. Ici, les seuls attributs réellement discutés sont les caractères de situation dans le temps et l'espace.

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<sup>9</sup> Terme emprunté à Thierry Paquot, *op. cit.*, p. 10.

<sup>10</sup> Lyman Tower Sargent, « The Three Faces of Utopianism Revisited », in *Utopian Studies*, Pensylvanie, PSUP, 1994, p. 15.

<sup>11</sup> Corin Braga, « Utopie, eutopie, dystopie et anti-utopie », *Metabasis*, n°2, septembre 2006, p. 19.

<sup>12</sup> Francesco Muzzioli, « Postface : Fins du monde. Configurations et perspectives du genre dystopiques », dans Clément Dessy et Valérie Stiénon, (*Bé)vues du futur – Les imaginaires visuels de la dystopie (1840-1940)*, Villeneuve d'Ascq, Presses Universitaires du Septentrion, 2015, pp. 284-285.

<sup>13</sup> Thierry Paquot, *op. cit.*, p. 4.

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Les définitions plus complexes quant à elles, partent des mêmes prémisses pour ajouter d'autres attributs. Ainsi, pour Cioran, l'utopie décrit une cité parfaite dans laquelle le mal n'existe pas :

„Et d'où seraient-elles ces cités que le mal n'effleure pas, où l'on bénit le travail et où personne ne craint la mort ? On y est astreint à un bonheur fait d'idylles géométriques, d'extases réglementées, de mille merveilles écoeurantes, telles qu'en présente nécessairement le spectacle d'un monde parfait, d'un monde fabriqué”<sup>14</sup>.

Jean-Michel Racault<sup>15</sup> ajoute que

«la description est détaillée, introduite par un récit ou intégrée à un récit» et qu'il s'agit «d'un espace imaginaire clos, géographiquement plausible et soumis aux lois de la physique du monde réel, habité par une collectivité individualisée d'êtres raisonnables dont les rapports mutuels comme les relations avec l'univers matériel et spirituel sont régis par une organisation rationnellement justifiée saisie dans son fonctionnement concret.»

La définition que ce dernier propose rejoint, avec Anne-Marie Drouin-Hans et Raymond Trousson, l'idée que seules les utopies littéraires doivent être prises en compte. Dans le cas contraire, l'imagination et les plans d'une société idéale seraient trop nombreux et largement antérieurs à la création du mot par Thomas More pour ne pasachever l'idée même de possibilité d'établissement d'une définition. Dans ce cas-ci, il y a donc réduction de l'utopie à un véritable genre littéraire<sup>16</sup>.

Vis-à-vis des autres définitions, Anne-Marie Drouin-Hans, insistant davantage sur la notion de bonheur, donne la définition suivante :

„Les utopies sont des descriptions précises de pays imaginaires, conçus comme meilleurs, mieux organisés que les pays réels, et qui se donnent au moins pour logiquement possibles ; les hommes y sont les artisans de leur bonheur par structure et les principes de vie qu'ils ont construits ou ont acceptés [...] l'utopie est une fiction

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<sup>14</sup> Émile Michel Cioran, *Histoire et utopie*, « Folio Essais », Paris Gallimard, 1960, p. 96.

<sup>15</sup> Jean-Michel Racault, *L'utopie narrative en France et Angleterre (1675-1761)*, Oxford, The Voltaire Foundation, 1991, p. 22.

<sup>16</sup> Bronislaw Baczko, Michel Porret et François Rosset (dir.), *Dictionnaire critique de l'utopie au temps des Lumières*, Genève, Georg, 2016, p. 129.

qui décrit un État particulier, ou une communauté, et son objet est la structure politique de cet État.”<sup>17</sup>

Enfin, Raymond Trousson se fait le plus exhaustif de tous les auteurs (si l'on excepte l'idée explicitement formulée, chère à Paquot, de dénonciation par l'auteur de sa société) en avançant une dizaine d'attributs essentiels du genre. Ceux-ci lui permettent d'exclure d'emblée un certain nombre de genres connexes:

„nous proposerons donc ici de parler d'utopie lorsque, dans le cadre d'un récit (ce qui exclut les traités politiques), se trouve décrite une communauté (ce qui exclut la robinsonnade), organisée selon certains principes politiques, économiques, éthiques, restituant la complexité de l'existence sociale (ce qui exclut le monde à l'envers, l'âge d'or, Cocagne ou l'arcadie), qu'elle soit présentée comme idéal à réaliser (utopie positive) ou comme la prévision d'un enfer (l'anti-utopie), qu'elle soit située dans un espace réel, imaginaire ou encore dans le temps, qu'elle soit enfin décrite au terme d'un voyage imaginaire vraisemblable ou non.”<sup>18</sup>

Ces évocations des attributs essentiels selon différents auteurs, nous permettent d'établir le tableau comparatif des définitions apportées à l'utopie (cf. *Tableau 1*). À sa lecture, nous pouvons observer que la difficulté de cette conceptualisation ne réside pas tant dans le fait de présenter des traits distinctifs d'un genre littéraire, mais en réalité, dans la possibilité de faire en sorte que la cohérence de ses critères notionnels soit maintenue (c'est le cas par exemple des critères de localisation temporelle et géographique). Voyons concrètement comment cela se traduit.

### **2.3. Une définition cohérente des « pays de nulle part » difficile à trouver**

Comme nous venons de le souligner, le problème posé par les définitions de l'utopie n'est pas leur multiplicité, mais bien leurs antagonismes ou leurs contradictions. Afin de les observer et de les mettre en exergue, nous

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<sup>17</sup> Anne-Marie Drouin-Hans, *Éducation et utopies*, Paris, Librairie Philosophique J.Vrin, 2004, pp. 43-46.

<sup>18</sup> Raymond Trousson, *Voyages aux pays de nulle part : histoire littéraire de la pensée utopique*, troisième édition revue et augmentée, Bruxelles, Éditions de l'Université de Bruxelles, 1999, p. 24.

avons choisi de nous concentrer uniquement sur les deux derniers auteurs évoqués plus haut : Anne-Marie Drouin-Hans et Raymond Trousson. En effet, ces auteurs ont, comparativement, proposé une définition détaillée et l'ont accompagné d'un grand nombre d'illustrations concrètes.

Les deux principaux problèmes logiques posés par l'application de la définition d'Anne-Marie Drouin-Hans aux potentielles utopies sont d'un côté le rejet des éléments antiques du genre et de l'autre l'insertion dans le corpus utopique d'éléments modernes pourtant assimilés à des dystopies.

Ainsi, concrètement, Anne-Marie Drouin-Hans explique qu'il est préférable de ne pas intégrer *La République de Platon* à la tradition utopique parce qu'il ne pratiquerait pas l'affabulation (ce qui en ferait, selon elle, un texte, qui ne mime pas assez « le récit d'une histoire authentique »<sup>19</sup>). Cependant, elle n'intègre pas non plus le *Timée* et le *Critias* alors que ces textes présentent non seulement les caractéristiques des textes utopiques qu'elles mentionnent, mais aussi, comme le souligne Raymond Trousson, celui de l'affabulation<sup>20</sup>.

De plus, pour Anne-Marie Drouin-Hans, les utopies se caractérisent par le fait que « les hommes y sont les artisans de leur bonheur par la structure et les principes de vie qu'ils ont construits ou ont acceptés. »<sup>21</sup> Cependant, celle-ci mentionne dans son corpus le *Nous autres* d'Evguénii Zamiatine, considéré par ailleurs comme une dystopie ou une contre-utopie, c'est-à-dire un récit dans lequel les hommes se voient définitivement confisquer la possibilité de construire un bonheur personnel, différent de celui qui leur est imposé par l'état. Dès lors, il semble difficile de justifier une telle application de sa définition à cet élément de son corpus puisque précisément, chez Zamiatine, le héros s'oppose à son environnement totalitaire.

De son côté, Raymond Trousson rend lui aussi précaire sa définition au regard des exemples qu'il choisit d'incorporer au corpus de la littérature utopique. En effet, dans la vaste bibliographie des utopies qu'il met à disposition à la fin de son ouvrage<sup>22</sup>, il fait débuter le genre par Thomas More

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<sup>19</sup> Anne-Marie Drouin-Hans, *Éducation et utopies*, Paris, Librairie Philosophique J.Vrin, 2004, pp. 40-43.

<sup>20</sup> Raymond Trousson, *op. cit.*, p. 31.

<sup>21</sup> Anne-Marie Drouin-Hans, *Op. cit.*, pp. 43-40.

<sup>22</sup> Raymond Trousson, *op. cit.*, p. 275.

tout en mentionnant, que c'est Platon qui est « l'inventeur de l'utopie telle que nous l'avons décrite (...) en tant qu'auteur du *Timée* et du *Critias*. »<sup>23</sup>

Cet élément se retrouve régulièrement dans ses écrits ou ses cours portant sur les utopies. Ainsi, on peut trouver dans les notes de son cours de littérature comparée : « Platon sera également le créateur de l'utopie au sens littéraire du terme. Dans certaines œuvres telles que *Le Timée* ou *Le Critias*, il quitte le mode de réflexion utopique pour envisager une société en action, en mouvement. »<sup>24</sup> Ou encore : « quoi qu'il en soit, les œuvres citées jusqu'à présent nous prouvent que le genre utopique était constitué dès l'antiquité, et ne sera pas une invention de la Renaissance, tout au plus pourrait-on parler à propos de la Renaissance, de résurgence. »<sup>25</sup>

#### **2.4. Notre définition de l'utopie littéraire**

Malgré certains problèmes logiques posés par quelques parties de ces différentes définitions, nous estimons néanmoins qu'elles possèdent une force explicative et synthétique dont il convient, selon nous, davantage de discuter l'application que les fondements.

C'est donc en nous appuyant sur ces bases théoriques que nous formulons la définition temporaire sous laquelle nous entendrons dans cette étude le mot « utopie ». Selon nous, celui-ci se définit comme suit :

„Un genre littéraire contenant *un récit* qui présente *le fonctionnement* (politique, social ou culturel) *d'une cité ou d'une société imaginaire*. Celle-ci est *conçue et justifiée* comme *un espace clos* ayant pour *but d'assurer le bonheur de tous ses habitants*. Cette organisation *fait dans le récit l'objet d'une quête ou d'une défense* de la part d'un personnage principal. Cela permet à l'auteur de l'utopie de *critiquer indirectement la société dans laquelle il vit* [les grasses sont de nous]”.

Bien sûr, notre définition demeure prudente et tâche, sur les conseils de Raymond Trousson lui-même de se garder de limiter l'utopie littéraire à une « conception de genre trop rigide et statique »<sup>26</sup>.

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<sup>23</sup> Raymond Trousson, *op. cit.*, p. 29.

<sup>24</sup> Raymond Trousson, *Littérature comparée. L'utopie : notes prises au cours de R. Trousson*, Bruxelles, P.U.B., 1983, p. 31.

<sup>25</sup> *Ibidem*, p. 32.

<sup>26</sup> Raymond Trousson, « Synthèse », dans Vita Fortunati et Raymond Trousson (dir.), *Dictionary of literary utopias*, Paris, Honoré Champion Éditeur, 2000, p.636.

### **3. Les « descendants » de l'utopie littéraire**

Autour de ce noyau conceptuel originel de l'utopie, d'autres genres sont apparus en y faisant directement ou indirectement référence. Ceux-ci ont été qualifiés de différentes façons par les auteurs ou les théories littéraires, et ce, en utilisant systématiquement des préfixes accolés au terme « utopie » (3.1). Cependant, bien que disposant chacun d'une signification propre, ces nouveaux termes ont parfois été utilisés pour désigner les mêmes réalités. Il nous faudra donc tenter d'étudier ce que peuvent recouvrir les « anti, les contre et les dystopies » (3.2), les « uchronies » (3.3) et les « hétérotopies » (3.4) à l'aune de leurs utilisations par les chercheurs pour ensuite tenter d'en donner une classification basée sur la signification de leur préfixe (3.5). Nous pourrons ainsi éclaircir les contours génériques de la dystopie et en proposer une définition rénovée (4).

#### **3.1. « Anti », « contre », « dys », etc.: quand les préfixes s'emmêlent**

Le premier élément bibliographique qu'il nous a été donné de lire au sujet de l'utopie et de ses dérivés est un dictionnaire de l'utopie dirigé par Michèle Riot-Sarcey<sup>27</sup>. À sa lecture et à celle des autres ouvrages de la bibliographie, nous avons croisé régulièrement la route de six termes récurrents. Ces termes, dérivés de l'utopie, en précisaient chaque fois des formes particulières. Ces mots sont les suivants : anti-utopie, contre-utopie, dystopie, atopie, hétérotopie et uchronie. Ces six concepts partagent avec l'utopie le fait de posséder, selon les auteurs, des définitions et des utilisations floues, voire paradoxales. Pour rajouter à la difficulté, ces termes ne disposent pas d'entrées dans les dictionnaires historiques habituels (Académie ou Littré).

Afin de pouvoir clarifier ces concepts, nous avons donc choisi, dans un premier temps, d'étudier ce que la recherche proposait conceptuellement sur la matière, pour dans un second temps, privilégier les pistes qui nous semblent les plus cohérentes et proposer nos définitions.

##### **3.1.1 Démêler les concepts par le choix d'un corpus de recherches**

Ce faisant, nous ne pouvons que songer aux avertissements énoncés par Paolo Cannettieri lorsqu'il compare le processus de définition d'un genre pour l'historien littéraire à celui de la classification pour le naturaliste.

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<sup>27</sup> Michèle Riot-Sarcey, Thomas le Bouchet et Antoine Picon (dir.) *Dictionnaire des Utopies*, Paris, Larousse, 2002.

In tal senso è più chiaro ai naturalisti che agli storici della letteratura che il processo di classificazione non deve essere confuso con quello di identificazione: nella classificazione è necessario adottare un procedimento induttivo, ordinando gli oggetti a seconda della loro parentela o affinità, mentre per l'identificazione si mette in opera il metodo deduttivo, collocando l'oggetto nell'ambito della classe già stabilita con il procedimento induttivo.<sup>28</sup>

Dégager une définition des termes mentionnés revient donc à pouvoir sélectionner au sein d'un corpus, des traits qui nous semblent relever du genre recherché. Bien évidemment, nous sommes conscients du fait que la définition évoluera en fonction de la littérature de base choisie. Pour ce qui concerne uniquement les dérivés de l'utopie – mais peut-être est-ce là une problématique qui concerne l'étude générique dans son ensemble – la difficulté réside dans le fait que les auteurs ne sont absolument pas d'accord ni sur les pièces qui composent ce corpus ni sur leur utilisation.

Pour clarifier ces concepts, nous nous sommes astreint méthodologiquement à sélectionner pour notre approche les monographies, les ouvrages collectifs ou les articles susceptibles de proposer une définition de ces termes. De fait, n'ont été étudiés que les ouvrages avançant une approche globale de l'utopie et donc de ses dérivés. Afin de limiter notre enquête sur le corpus bibliographique francophone, nous avons également choisi de nous concentrer sur les textes postérieurs à 1950. Parfois, en raison de la diversité de son œuvre et de l'étude spécifique qu'il a pu consacrer à tel ou tel terme, nous nous sommes attachés à inclure dans la liste plusieurs ouvrages d'un même auteur. En l'occurrence, ici, il s'agit de quatre ouvrages écrits ou coécrits par Raymond Trousson. En conséquence, notre travail de synthèse s'est concentré ; classés par ordre chronologique sur les travaux suivants:

- RUYER, Raymond, *L'utopie et les utopies*, Paris, P.U.F., 1950.
- VUARNET, Jean-Noël, « Utopie et atopie », *Littérature*, n°21

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<sup>28</sup> En ce sens, il est plus clair pour les naturalistes que pour les historiens littéraires que le processus de classification ne doit pas être confondu avec celui d'identification: dans la classification, il est nécessaire d'adopter une procédure inductive, ordonnant les objets en fonction de leur parenté ou de leur affinité; tandis que pour l'identification la méthode deductive est mise en place, plaçant l'objet dans la classe déjà établie avec le processus inductif. (notre traduction) v. Paolo Canettieri, « Appunti per la classificazione dei generi trobadorici », *Cognitive Philology*, n°4 (2011), pp. 1-2.

- (1976), pp. 3-9.
- SERVIER, Jean, *L'utopie*, « *Que sais-je ?* », Paris, P.U.F., 1979.
  - IMBROSCIO, C. (coord.), *Requiem pour l'utopie ? Tendances autodestructives du paradigme utopique*, Pise, Éditrice Libreria Goliardica, 1986.
  - RAULET, Gérard, « L'utopie est-elle un concept ? », *Lignes* 1992/3 (n°17), pp. 102-117.
  - JEAN, Georges, *Voyages en utopie*, Paris, Gallimard, 1994.
  - TROUSSON, Raymond, *Voyages aux pays de nulle part : histoire littéraire de la pensée utopique*, troisième édition revue et augmentée, Bruxelles, Éditions de l'Université de Bruxelles, 1999.
  - RIOT-SARCEY, Michèle; BOUCHET, Thomas; PICON, Antoine (dir.), *Dictionnaire des Utopies*, Paris, Larousse, 2002.
  - TROUSSON, Raymond, *Sciences, techniques et utopies. Du paradis à l'enfer*, Paris, L'Harmattan, 2003.
  - DROUIN-HANS, Anne-Marie, *Éducation et utopies*, Paris, Librairie Philosophique J.Vrin, 2004.
  - FORTUNATI, Vita; TROUSSON, Raymond (coord.), *Histoire transnationale de l'utopie littéraire et de l'utopisme*, Paris, Honoré Champion Éditeur, 2008.
  - DESPRÉS, Élaine (dir.), « Dossier Utopie/Dystopie : entre imaginaire et réalité », *Posture*, Hors série n°2 (2010).
  - GODIN, Christian, « Sens de la contre-utopie », *Cités*, n°42 (2010/2), pp. 61-68.
  - KUON, Peter; PEYLET, Gérard (dir.), *L'utopie entre eutopie et dystopie*, Eidolon, n°110, Bordeaux, Presses universitaires de Bordeaux, 2013.
  - DESSY, Clément; STIÉNON, Valérie, *(Bé)vues du futur – Les imaginaires visuels de la dystopie (1840-1940)*, Villeneuve d'Ascq, Presses Universitaires du Septentrion, 2015.
  - BACZKO, Bronislaw; PORRET, Michel; ROSSET François (dir.), *Dictionnaire critique de l'utopie au temps des Lumières*, Genève, Georg, 2016.
  - PAQUOT, Thierry, *Utopies et utopistes*, Paris, La Découverte, 2018.

### *3.1.2. Un tableau synthétique autorisant une vue d'ensemble*

Même si elle fut chronophage, la consultation complète de ces ouvrages (ne serait-ce que pour observer l'utilisation d'un terme) autorise une vision globale du concept d'utopie et de ses dérivés.

Ensuite, afin d'éventuellement déjà effectuer quelques constats, nous avons construit une synthèse reprenant les auteurs cités et leurs éventuelles utilisations des termes dérivés de l'utopie. Nous avons organisé cette synthèse sous forme de tableau et placé celui-ci en annexes (cf. *Tableau 2*).

D'emblée, à partir de cette modeste synthèse, deux observations peuvent être formulées. D'un côté, nous pouvons remarquer que les termes « anti-utopie », « contre-utopie » et « dystopie » sont souvent utilisés pour désigner des réalités similaires. Dans le détail, ils rendent régulièrement compte d'une réalité inverse ou malheureuse de l'utopie, mais sans plus d'éclaircissements. D'ailleurs, même si les mots « anti-utopie » et « contre-utopie » sont très tôt utilisés, le terme de dystopie n'apparaît que très tard (1986) dans les études scientifiques. En outre, et le nombre de synonymies en rend compte, leurs différences conceptuelles sont quasi inexistantes. D'un autre côté, nous pouvons constater que le terme « atropie » est très peu utilisé par les auteurs. Ainsi, il n'apparaît qu'une seule fois dans l'article de Jean-Noël Vuarnet<sup>29</sup> (pourtant consacré à ce concept) et dans le dictionnaire de Riot-Sarcey<sup>30</sup> pour désigner une utopie négative. D'ailleurs, en grec ancien, le terme désignait semble-t-il le fait de « n'être pas à sa place, l'étrangeté, voire l'extravagance déplacée »<sup>31</sup>. Nous considérerons donc que ce terme n'est guère relevant pour comprendre les dérivés du genre utopique et *a fortiori* la dystopie.

Passons à présent à l'étude détaillée des définitions proposées par les auteurs. Afin d'en faciliter la présentation, nous distinguerons trois moments. Tout d'abord, nous présenterons les points de vue des auteurs sur les concepts souvent synonymes de « contre-utopie », « anti-utopie » et de « dystopie » (**3.2**), puis nous passerons en revue celui d'uchronie (**3.3**) et enfin, celui d'hétérotopie (**3.4**).

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<sup>29</sup> Jean-Noël Vuarnet, « Utopie et atropie », *Littérature*, n°21 (1976), p. 9.

<sup>30</sup> Jean-François Chevrier, « partages de l'art », dans Michèle Riot-Sarcey, Thomas le Bouchet et Antoine Picon (dir.) *Dictionnaire des Utopies*, Paris: Larousse, 2002, p. 176.

<sup>31</sup> Armelle Deschard, « Utopie et dystopie antiques : l'erreur d'Hippolyte dans la Phèdre de Sénèque », *Eidolon*, n°110 (2013), Bordeaux: Presses Universitaires de Bordeaux, p. 31.

### **3.2. Comparer les définitions des anti, des contre et des dystopies**

Si, dans la littérature consultée, le concept de « dystopie » n'apparaît qu'en 1986 avec l'ouvrage coordonné par C. Imbroscio<sup>32</sup>, les termes de « contre-utopie » et « anti-utopie » désignent des éléments davantage synonymes que distincts.

#### *3.2.1. La recherche avant les années '80*

Ainsi, Jean Servier ne recourt-il qu'à l'utilisation du second terme pour décrire la tradition opposée à l'utopie et ainsi englober des auteurs aussi éloignés historiquement que Lucien de Samosate, Jonathan Swift ou encore Aldous Huxley<sup>33</sup>. Il en est de même déjà en 1950 chez Raymond Ruyer qui n'utilise les deux termes que pour les inscrire dans une tradition critique dont l'anti-utopie serait le modèle annonciateur du genre<sup>34</sup>. L'anti-utopie ou la contre-utopie, ne feraient chacune que caricaturer les projets utopiques, avec pour la deuxième, une spécificité due à l'émergence de la société industrielle : la critique du Progrès dans un cadre romanesque où les ennemis politiques d'hier se retrouvent « dans la production en série et la consommation obligatoire »<sup>35</sup>.

#### *3.2.2. L'entrée de la dystopie : un concept flou de plus*

À quelques rares exceptions près<sup>36</sup>, la situation ne se clarifie pas avec l'arrivée dans notre corpus du terme « dystopie ». En effet, pour Carmelia Imbroscio, l'anti-utopie, la contre-utopie et la dystopie se rejoignent en ce qu'elles partagent une volonté certaine de préservation du présent contre les tentatives hypothétiques ou réelles de le transformer en utopie. Ce faisant, elle reprend à son compte les analyses du Professeur Domenichelli qui abordait déjà cette attitude conservatrice : « è più radicalmente utopica dell'utopia stessa, proprio costituendosi a negazione di essa efacendo riemergere ciò che

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<sup>32</sup> C. Imbroscio (coord.), *Requiem pour l'utopie ? Tendances autodestructives du paradigme utopique*, Pise, Éditrice Libreria Goliardica, 1986.

<sup>33</sup> Jean Servier, *L'utopie, « Que sais-je ? »*, Paris: P.U.F., 1979.

<sup>34</sup> Raymond Ruyer, *L'utopie et les utopies*, Paris: P.U.F., 1950, p. 233.

<sup>35</sup> *Ibidem*, p. 274.

<sup>36</sup> À savoir Raymond Trousson, Peter Kuon et Bronislaw Baczko dans respectivement : Raymond Trousson, *Voyages aux pays de nulle part : histoire littéraire de la pensée utopique*, troisième édition revue et augmentée, Bruxelles, Éditions de l'Université de Bruxelles, 1999, Peter Kuon et Gérard Peylet (dir.), « L'utopie entre eutopie et dystopie », *Eidolon*, n°110, Bordeaux, Presses universitaires de Bordeaux, 2013 et Bronislaw Baczko, Michel Porret et François Rosset (dir.), *Dictionnaire critique de l'utopie au temps des Lumières*, Genève, Georg, 2016.

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in essa si occulta : la conservazione del presente »<sup>37</sup>. Cependant, elle ne distingue les trois concepts visés que pour en faire des synonymes où leur attribuer un corpus similaire<sup>38</sup> (en l'occurrence ici, le *Nous Autres* d'Evguéni Zamiatine<sup>39</sup>). Même s'il ne distingue pas la dystopie, Gérard Raulet s'inscrit dans le même courant que Carmelia Imbroscio puisqu'il leur attribue une tradition commune : la critique, dès le XVIIIe de l'utopie, de son infaisabilité et de ses périls<sup>40</sup> :

„Certes les systèmes utopiques conservent la clôture comme caractéristique structurelle, mais c'est aussi pourquoi se développent au XIXe siècle les critiques des « utopies abstraites » - et les « anti-utopies » ! On connaît bien sûr la critique de Marx et d'Engels - sur laquelle je devrai malgré tout revenir. Mais dès le XVIIIe Mandeville et Swift en Angleterre (*Fable of the Bees*, 1714; *Voyages de Gulliver*, 1726), Prévost en France (*Cleveland*, 1731) avaient souligné les périls de la réalisation. La critique de Marx, pour la résumer d'une phrase, insiste sur la non-réalisabilité immédiate - c'est-à-dire sans médiation dialectique - des systèmes utopiques”<sup>41</sup>.

Georges Jean, dans son ouvrage très illustré sur l'utopie, ne démentira pas cette similarité des termes en lui assignant des auteurs communs qualifiés à certains moments d'anti-utopiques<sup>42</sup> et à d'autres de contre-utopiques<sup>43</sup>. Pourtant, il se distingue en faisant remonter la tradition critique de l'utopie non pas au XVIIIe siècle, mais à l'Antiquité. Et de prendre en exemple Aristophane :

Dès le début du IVe siècle av. J.-C., se développe ce que l'on appellera plus tard la contre-utopie, notamment dans le théâtre d'Aristophane – *Les Oiseaux* (414 av. J.-C. à Athènes) ou, plus encore, *L'Assemblée des femmes*. **La contre-utopie** est une réaction aux rêves des réformateurs qui imposent un idéal

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<sup>37</sup> M. Domenichelli, *L'infondazione di Babele : l'antiutopia*, Milano: Franco Angeli Editore, 1983, p. 102.

<sup>38</sup> Carmelina Imbroscio (coord.), *Requiem pour l'utopie ? Tendances autodestructives du paradigme utopique*, Pise: Éditrice Libreria Goliardica, 1986, p. 13.

<sup>39</sup> Evguéni Zamiatine, *Mы [Nous autres]*, 1920.

<sup>40</sup> Gérard Raulet, « L'utopie est-elle un concept ? », *Lignes* 1992/3 (n°17), p. 113.

<sup>41</sup> *Ibidem*.

<sup>42</sup> Georges Jean, *Voyages en utopie*, Paris: Gallimard, 1994, p. 121.

<sup>43</sup> *Ibidem*, p. 112.

communautaire au nom du bonheur des citoyens. Elle en expose les dangers, montrant que le bonheur collectif fait le malheur des hommes en les privant de leur liberté individuelle. La première forme de l'**anti-utopie** est théâtrale; comme si le théâtre, par la force empirique de sa représentation, désarmait toute construction théorique. Chantre de la liberté, Aristophane souhaite libérer les Grecs de leurs dieux et de leurs illusions politiques. Il est le premier à jeter le doute sur la promesse de bonheur des paradis communistes. [les grasses sont de nous]<sup>44</sup>.

Malgré un emploi synonymique excluant la dystopie, Georges Jean identifie le terme « anti-utopie » à une tradition du renversement (chez Rabelais par exemple<sup>45</sup>) et de la « désacralisation de l'utopie par la satire et l'ironie »<sup>46</sup>. Celui de « contre-utopie », quant à lui, est associé à une mise en garde de l'utopie<sup>47</sup>, et plus particulièrement de son recours abusif au machinisme<sup>48</sup> et du poids excessif que son appareil étatique fait peser sur l'individu<sup>49</sup>.

### *3.2.3. Raymond Trousson : vers une première partition des termes*

Les mêmes nuances entre anti-utopie et contre-utopie ont été observées par Raymond Trousson dans ses nombreuses études consacrées au genre utopique. D'ailleurs, son approche nous a semblé devoir faire l'objet d'une étude plus poussée dans notre travail, et ce, pour plusieurs raisons. En effet, depuis 1974<sup>50</sup>, Raymond Trousson a su véritablement s'emparer de ce champ d'étude durant de nombreuses années. Jusqu'à sa mort, survenue en 2013, il ne s'était pratiquement jamais écoulé deux ans sans qu'il n'apporte une contribution aux recherches dans ce domaine. Professeur à l'ULB, Raymond Trousson nous a légué un nombre d'observations et de réflexions sur l'utopie d'autant plus intéressantes qu'elles ont bien évidemment évolué au cours du temps et que, en outre, elles concernaient la conceptualisation des

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<sup>44</sup> Georges Jean, *Voyages en utopie*, Paris : Gallimard, 1994, p. 26.

<sup>45</sup> *Ibidem*, p. 46.

<sup>46</sup> *Ibidem*, p. 66.

<sup>47</sup> *Ibidem*, p. 105.

<sup>48</sup> *Ibidem*, p. 112.

<sup>49</sup> *Ibidem*.

<sup>50</sup> Raymond Trousson, « Utopie et roman utopique », *Revue des Sciences Humaines*, 155, 1974, pp. 367-378.

termes qui nous occupent. Enfin, bénéficiant de la collaboration de la bibliothèque de notre Alma mater et de notre professeur Valérie André, chargée de la préparation de l'Anthologie des œuvres de Raymond Trousson aux éditions Champion, nous ne pouvions que nous intéresser davantage aux fluctuations de ses travaux.

Précisons au préalable deux éléments sur l'appréciation des différences entre anti-utopie, contre-utopie et dystopie chez Raymond Trousson. Dans un premier temps, mentionnons le fait que ce dernier terme n'a fait de sa part l'objet d'une utilisation ou d'une définition qu'à partir de la fin des années quatre-vingt. En effet, le terme « dystopie » n'est ni employé dans les éditions 1973 ou 1979 de son livre sur l'utopie<sup>51</sup>, ni dans les notes de son cours de littérature comparée de 1983<sup>52</sup>, ni encore dans ses articles antérieurs à 1986 et sa collaboration avec Carmelina Imbroscio<sup>53</sup>. Dans un deuxième temps, malgré des définitions différentes et des applications larges, Raymond Trousson a systématiquement opposé d'un côté l'anti-utopie et de l'autre la contre-utopie et la dystopie. D'ailleurs, ces derniers termes finissent par, non seulement, devenir synonymes, mais en plus, par être utilisés de manière unique pour désigner la même chose. C'est par exemple le cas de son dictionnaire des utopies littéraires (coordonné avec Vita Fortunati) dans lequel contre-utopie ou dystopie désignent la même réalité voire le même corpus<sup>54</sup> mais aussi de son ouvrage dédié au rapport entre la technologie et l'utopie<sup>55</sup> où Raymond Trousson n'utilise que le terme « dystopie » pour englober pourtant le même corpus que le terme « contre-utopie ».

Si l'on rentre dans le détail des définitions proposées par les textes de Raymond Trousson figurant dans notre corpus, on peut distinguer trois

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<sup>51</sup> Raymond Trousson, *Voyages aux pays de nulle part : histoire littéraire de la pensée utopique*, troisième édition revue et augmentée, Bruxelles: Éditions de l'Université de Bruxelles, 1999.

<sup>52</sup> Raymond Trousson, *Littérature comparée. L'utopie : notes prises au cours de R. Trousson*, Bruxelles: P.U.B., 1983.

<sup>53</sup> Carmelina Imbroscio (coord.), *Requiem pour l'utopie ? Tendances autodestructives du paradigme utopique*, Pise, Éditrice Libreria Goliardica, 1986, et Raymond Trousson, « La distopia e la sua storia », dans *Utopia e distopia*. A cura di A.Colombo. Milano, 1987, pp. 19-34.

<sup>54</sup> Maurizio Cambi, « *Republicae Christianopolitanae Descriptio* », dans Vita Fortunati et Raymond Trousson (coord.), *Histoire transnationale de l'utopie littéraire et de l'utopisme*, Paris: Honoré Champion Éditeur, 2008, p. 113.

<sup>55</sup> Raymond Trousson, *Sciences, techniques et utopies. Du paradis à l'enfer*, Paris: L'Harmattan, 2003, p. 10.

phases. Une première, illustrée par la troisième édition de son *Voyages aux pays de nulle part* dans laquelle il utilise les trois termes de manière interchangeable pour désigner un même corpus d'auteurs<sup>56</sup>. Notons-y tout de même le début d'un emploi détaché du terme « anti-utopie » pour désigner un emploi caricatural et grotesque de l'utopie<sup>57</sup> et du terme « dystopie » qui recouvre les concrétisations du socialisme<sup>58</sup>.

Nous observons ensuite une seconde phase, illustrée par son ouvrage *Sciences, techniques et utopies* dans lequel Raymond Trousson maintient son premier emploi du terme « anti-utopie » mais isole le genre de la dystopie en faisant remonter sa création au *Monde tel qu'il sera* d'Émile Souvestre (1846) et surtout en le détachant d'un genre lui aussi abondamment illustré au XIXe siècle, la science-fiction :

„On a cherché ici à mettre en lumière l'importance croissante des sciences et des techniques dans l'élaboration des sociétés imaginaires. Même si, depuis Wells, l'utopie a tendance à rejoindre la science-fiction, il convient de marquer la différence. Alors que la science-fiction se borne souvent à rapporter une aventure dans un monde technologiquement plus avancé que le nôtre, l'utopie continue de contenir un jugement sur cette aventure et cet univers. Elle n'analyse pas tant - Huxley y insistera en 1946 - les possibilités futures de la science et de la technique, que leur effet sur l'homme, sa nature et son comportement”<sup>59</sup>.

Enfin, nous pouvons isoler une troisième phase figurée par sa collaboration avec Vita Fortunati ainsi que dans les livres suivants où Raymond Trousson explicite les fondements qui permettent d'expliquer les trois concepts. Ici, l'anti-utopie désigne un genre dans lequel l'idée d'utopie est traitée avec ironie en raison d'un scepticisme manifeste de l'auteur vis-à-

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<sup>56</sup> Raymond Trousson, *Voyages aux pays de nulle part : histoire littéraire de la pensée utopique*, troisième édition revue et augmentée, Bruxelles: Éditions de l'Université de Bruxelles, 1999, p. 18 ou encore p. 85.

<sup>57</sup> Raymond Trousson, *op. cit.*, p. 18 ou encore p. 155.

<sup>58</sup> Raymond Trousson, *op. cit.*, p. 222.

<sup>59</sup> Raymond Trousson, *Sciences, techniques et utopies. Du paradis à l'enfer*, Paris : L'Harmattan, 2003, p.10.

vis de la perfectibilité de l'homme<sup>60</sup>. La dystopie, quant à elle, incarne un synonyme d'origine anglaise désignant le même signifié<sup>61</sup> que son homologue francophone : la contre-utopie. Raymond Trousson fait alors de celle-ci un genre opposé à l'utopie en ce que la société imaginaire présentée ne corrige pas les défauts de la société de référence mais les agrave<sup>62</sup>.

Utilisant parfois un corpus inadéquat afin d'illustrer un genre pourtant défini en particulier, Raymond Trousson ne manque pas de créer des situations délicates vis-à-vis de ses définitions : c'est le cas, par exemple, lorsqu'il mentionne l'auteur Evguéni Zamiatine (catégorisé pourtant en contre-utopie) en parlant de l'anti-utopie<sup>63</sup> ou lorsque Mandeville (rangé par ailleurs dans les anti-utopie) est invoqué pour illustrer l'inversion critique des dystopies<sup>64</sup>. Néanmoins, cela n'entache pas la rigueur de ses travaux ainsi que la quantité gigantesque des sources mobilisées. D'ailleurs, nous l'avons vu, l'évolution des pistes conceptuelles fournies par Raymond Trousson souligne déjà à elles seules la qualité de son travail sur laquelle nous ne manquerons pas de nous appuyer dans la suite de cette étude – et notamment quand il s'agira de proposer notre définition.

### *3.2.4. Un dictionnaire des utopies riche en possibilités*

La régularité définitive des bases conceptuelles fournies par Raymond Trousson contraste singulièrement avec le foisonnement des réflexions parfois contradictoires du dictionnaire dirigé par Michèle Riot-Sarcey,

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<sup>60</sup> Vita Fortunati, « Gulliver's Travels », dans Vita Fortunati et Raymond Trousson (coord.), *Histoire transnationale de l'utopie littéraire et de l'utopisme*, Paris: Honoré Champion Éditeur, 2008, p. 348.

<sup>61</sup> Raymond Trousson, « Synthèse », dans Vita Fortunati et Raymond Trousson (coord.), *Histoire transnationale de l'utopie littéraire et de l'utopisme*, Paris: Honoré Champion Éditeur, 2008, p. 903.

<sup>62</sup> Maurizio Cambi, « Republicae Christianopolitanae Descriptio », dans Vita Fortunati et Raymond Trousson (coord.), *Histoire transnationale de l'utopie littéraire et de l'utopisme*, Paris: Honoré Champion Éditeur, 2008, p. 112.

<sup>63</sup> Biagio D'Angelo, « My / We (Nous Autres) », dans Vita Fortunati et Raymond Trousson (coord.), *Histoire transnationale de l'utopie littéraire et de l'utopisme*, Paris: Honoré Champion Éditeur, 2008, p. 943.

<sup>64</sup> Nadia Minerva, « Utopie et bonheur », dans Vita Fortunati et Raymond Trousson (coord.), *Histoire transnationale de l'utopie littéraire et de l'utopisme*, Paris: Honoré Champion Éditeur, 2008, p. 408.

Thomas Bouchet et Antoine Picon<sup>65</sup>. En effet, en fonction des auteurs qui s'y succèdent, les frontières des concepts bougent, se transforment et tendent même à se mêler. Ceci étant précisé, nous pouvons tâcher de souligner certaines pistes de réflexion.

Ainsi, assimilant le genre utopique à un type de raisonnement antique appelé « eunomie »<sup>66</sup> (qui tente de proposer un plan d'une cité où régneraient les meilleures lois), Gérard Klein, dans un article dédié pourtant à la science-fiction, tente de classifier les différents genres. Même si dans le même temps les entrées « Huxley », « Orwell » ou « Zamiatine » du dictionnaire renvoient à l'article contre-utopie, il décrit les productions du XIXe et du début du XXe siècle et nomme ces différents auteurs. Plaçant l'anti-utopie et la dystopie à l'opposé de l'eunomie, il reprend de fait à son compte l'idée selon laquelle « la dystopie serait la description d'un monde futur qui a mal tourné à partir de l'exacerbation nocive d'un trait de notre société. »<sup>67</sup>

Précisément, Claude Mouchard, dans l'entrée dédiée aux contre-utopies, tente d'établir les traits caractéristiques de celles-ci. Cependant, contrairement à Gérard Klein, il n'explique pas les fondements qui ont présidé au choix de ces trois romans en dehors de signaler qu'ils sont « souvent comme anti-utopie »<sup>68</sup>. Ainsi, mentionnant des caractéristiques diégétiques (la dissolution de l'individu par un contrôle étatique étouffant et une homogénéité imposée, l'aspect sombre des sociétés, leur manque de jugements critiques et de liberté, la résistance individuelle qui s'y déploie, mais qui est finalement vaincue) ainsi que la volonté sibylline des auteurs, Claude Mouchard prend le risque d'exposer sa description à des contre-exemples ou, comme c'est le cas à l'intérieur de l'ouvrage (cf. *supra*) à d'autres propositions de classification.

Dans un ouvrage consacré à l'éducation en Utopie, Anne-Marie Drouin-Hans, se signale en n'utilisant guère le terme « anti-utopie » ou de « dystopie », et ce, au profit de celui de « contre-utopie »<sup>69</sup>. Elle caractérise

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<sup>65</sup> Michèle Riot-Sarcey, Thomas le Bouchet et Antoine Picon (dir.) *Dictionnaire des Utopies*, Paris: Larousse, 2002.

<sup>66</sup> Gérard Klein, « Science-fiction », dans Michèle Riot-Sarcey, Thomas le Bouchet et Antoine Picon (dir.) *Dictionnaire des Utopies*, Paris: Larousse, 2002, p. 211.

<sup>67</sup> *Ibidem*, p. 214.

<sup>68</sup> Claude Mouchard, « Contre-utopie », dans Michèle Riot-Sarcey, Thomas le Bouchet et Antoine Picon (dir.), *Dictionnaire des Utopies*, Paris, Larousse, 2002, p. 65.

<sup>69</sup> Anne-Marie Drouin-Hans, *Éducation et utopies*, Paris: Librairie Philosophique J.Vrin, 2004.

alors ce dernier en affirmant qu'il s'agit d'un lieu où le bonheur est imposé collectivement, mais dont la réalisation est impossible<sup>70</sup>. Cependant, comme nous l'avons objecté au moment de la définition de l'utopie (cf. *supra*) et à l'image de Gérard Klein, Anne-Marie Drouin-Hans relie de manière problématique cette définition à un corpus dont elle mentionne par ailleurs l'appartenance à l'utopie.

### *3.2.5. Elaine Després et Christian Godin : pour une distinction de langue*

Dans un dossier consacré à l'utopie et à la dystopie, Élaine Després, prend le soin de rappeler la synonymie des termes « dystopie » et « contre-utopie » en signalant que le second est davantage utilisé en France<sup>71</sup>. Même si, en revanche, elle ne mentionne pas l'anti-utopie, nous pouvons relever qu'elle définit l'emploi du mot « dystopie ». En outre, elle mentionne le fait que, consécutif aux Guerres mondiales, ce genre renvoie à un avertissement fait aux lecteurs systématiquement actualisable au cours du temps :

„D'un autre côté, on peut voir la dystopie comme un espoir d'éviter le pire. Tel un avertissement, il s'agit le plus souvent de projeter dans l'avenir, en les amplifiant, les défauts d'une société perfectible. Le XXe siècle et ses régimes totalitaires ont d'ailleurs inspiré de nombreux créateurs. Pensons seulement à Eugène Zamiatine, Aldous Huxley, George Orwell, Ray Bradbury, Jorge Luis Borges, Jean-Luc Godard ou, plus récemment, Michel Houellebecq, Schuiten et Peeters, Enki Bilal, Terry Gilliam... À l'aube du XXIe siècle, les grands bouleversements sociaux qui ont marqué les cinq dernières décennies et la redéfinition d'une responsabilité morale globale alimentent toujours ces réflexions et revendications à saveur utopique, et ce, tant sur la scène politique, que sociale ou artistique”<sup>72</sup>.

Cette distinction entre anti-utopie et dystopie ne semble pas pertinente pour certains auteurs et notamment pour Thierry Paquot. En effet, s'il assimile effectivement la contre-utopie à la dystopie, celuic- fait de même avec l'anti-utopie. Ainsi, malgré ses rappels encadrés (sur lesquels nous reviendrons

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<sup>70</sup> *Ibidem*, 2004, p. 44.

<sup>71</sup> Élaine Després (dir.), « Dossier Utopie/Dystopie : entre imaginaire et réalité », *Posture*, Hors série n°2, 2010, p. 60.

<sup>72</sup> *Ibidem*, p. 10.

d'ailleurs *infra*) à propos des origines du mot « dystopie », les œuvres d'Huxley ou d'Orwell se voient tour à tour qualifiées tantôt d'anti-utopie tantôt de dystopie<sup>73</sup>.

C'est d'ailleurs dans la droite ligne de cet emploi du mot « dystopie » comme synonyme de « contre-utopie » que s'inscrit Christian Godin, à ceci près qu'il lui préfère l'usage de son homologue francophone<sup>74</sup>. Contextualisant l'emploi de la contre-utopie, il précise d'emblée qu'elle constitue un « double inversé de l'utopie »<sup>75</sup> et d'ajouter à cet effet qu'elle « délivre l'image d'une société de cauchemar là où l'utopie faisait le tableau d'une société de rêve »<sup>76</sup>. Cette inversion s'applique aussi, selon lui, aux valeurs morales et à l'épanouissement des individus puisque, dans la contre-utopie, ces deux éléments tendent à disparaître<sup>77</sup>. Sur ce point, Christian Godin résume en une formule attrayante cette opposition fondatrice des genres : « l'utopie était l'expression de l'humanisme, la contre-utopie est celle de l'inhumain »<sup>78</sup>. Cependant, il ajoute aussitôt que le caractère inquiétant des contre-utopies pour le lecteur ne résulte pas de l'exotisme du lieu décrit (comme dans l'utopie) mais, au contraire, de sa ressemblance avec nos sociétés. Et de conclure : « ses lieux [en parlant de ceux de la contre-utopie] sont nos pays et si son temps est autre, il est déjà le nôtre. Nous sommes déjà en contre-utopie, nous y logeons. »<sup>79</sup>

En outre, Christian Godin prend soin, à l'image de Gérard Klein, de distinguer contre-utopie et science-fiction. Il nuance tout de même fortement le constat posé par ce dernier tant ces genres tendent à se rejoindre dans la production contemporaine :

„Dans la contre-utopie l'innovation technique (le télécran de *Metropolis* de Fritz Lang, l'ectogenèse dans *Le Meilleur des mondes*) n'est pas une donnée dont la série des conséquences est déroulée, mais le résultat et le moyen d'une volonté *politique* de surveillance qui, comme dans les régimes totalitaires, entend ne rien

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<sup>73</sup> Voir par exemple, Thierry Paquot, *Utopies et utopistes*, Paris: La Découverte, 2018, p. 52, puis en page 109.

<sup>74</sup> Christian Godin, « Sens de la contre-utopie », *Cités*, n°42 (2010/2), p. 61.

<sup>75</sup> *Ibidem*.

<sup>76</sup> *Ibidem*.

<sup>77</sup> *Ibidem*.

<sup>78</sup> *Ibidem*, p. 62.

<sup>79</sup> *Ibidem*, p. 66.

laisser échapper. Dans la science-fiction la description des inventions futuristes est une fin en soi et la dimension politico-sociale du récit n'apparaît souvent que de manière périphérique. Cela dit, dans la mesure où les auteurs de science-fiction contemporains s'intéressent de plus en plus aux questions de pouvoir et de société, la différence entre science-fiction et contre-utopie tend à s'estomper d'autant qu'a de rares exceptions près la peinture du futur faite par la science-fiction d'aujourd'hui est particulièrement sombre”<sup>80</sup>.

### *3.2.6. Kuon et Peylet : une approche transhistorique de la dystopie*

Privilégiant une approche transhistorique, Kuon et Peylet ont réuni des études basées sur des textes issus de la tradition antique, médiévale, moderne et contemporaine auxquels ils confrontent les notions dérivées de l'utopie. À l'image du titre de leur ouvrage<sup>81</sup>, ils privilégient l'emploi du terme « dystopie » plutôt que « contre-utopie »<sup>82</sup>. Ce faisant, en compagnie d'autres auteurs, ils relèvent des caractéristiques propres à l'anti-utopie. Florence Boulerie, abordant Tiphaigne de la Roche et son *Histoire des Galligènes* (1765), attribue ainsi à l'anti-utopie des caractéristiques problématisantes voire parodiques vis-à-vis de l'utopie<sup>83</sup>. Ces attributs, selon Peter Kuon trouveraient leurs origines dans la prégnance du paradigme propre au XVIIIe : celui de s'interroger sur la faisabilité de sociétés dirigées par des hommes enclins aux passions<sup>84</sup>. Cela lui permet dès lors de construire un corpus anti-utopique où l'on retrouve des auteurs usant de la moquerie ou de l'ironie :

„Quelques auteurs du XVIIIe siècle rétablissent la vieille conception de l'utopie, en tant qu'image hypothétique d'une société idéale, pour la retourner contre l'idée d'une utopie réalisable. La liste des textes qui s'inspirent de la verve satirique

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<sup>80</sup> Christian Godin, « Sens de la contre-utopie », *Cités*, n°42 (2010/2), p. 62.

<sup>81</sup> Peter Kuon et Gérard Peylet (dir.), *L'utopie entre eutopie et dystopie*, Eidolon, n°110, Bordeaux: Presses universitaires de Bordeaux, 2013.

<sup>82</sup> Peter Kuon, « Brève histoire de l'utopie littéraire », dans Peter Kuon et Gérard Peylet (dir.), *L'utopie entre eutopie et dystopie*, Eidolon, n°110, Bordeaux: Presses universitaires de Bordeaux, 2013, p. 23.

<sup>83</sup> Florence Boulerie, « L'utopie entre eutopie et dystopie », *Eidolon*, n°110, Bordeaux: Presses universitaires de Bordeaux, 2013, p. 23.

<sup>84</sup> Peter Kuon, *op. cit.*, p. 23.

d'un Lucien ou d'un Cyrano va de la *Fable of the bees (Fable des abeilles, 1714)* de Bernard de Mandeville au *Candide* (1759) de Voltaire, en passant par *Gulliver's Travels* ( 1726) de Swift et *Nicolai Klimii iter subterraneum. (Niels Klim. dans le monde souterrain, 1741)* d'Holberg. Forts de l'argument anthropologique selon lequel la perfection sociale serait incompatible avec la nature humaine, les auteurs parodient l'utopie réaliste : l'île volante de Laputa et l'Académie de Lagado chez Swift se présentent comme des parodies de la *New Atlantis* de Bacon”<sup>85</sup>.

S'appuyant sur une définition et un corpus attribués à l'anti-utopie, Peter Kuon peut alors, par comparaison, explorer davantage la notion de « dystopie ». De fait, il relève que le personnage principal auquel est censé s'identifier le lecteur passe du statut de guide dans les anti-utopies (ou les utopies) à celui d'un habitant tyrannisé par l'état dystopique<sup>86</sup>. Dans le même temps, Peter Kuon observe que le ton passe du satirico-parodique caractéristique des anti-utopies à un mode narratif grave et sérieux<sup>87</sup>. Disposant d'une fonction d'avertissement<sup>88</sup>, la dystopie apparaît, toujours selon Peter Kuon, au XIXe siècle. Ces caractéristiques fixées, ce dernier peut alors reconstituer un corpus cohérent qu'il fait commencer avec Émile Souvestre et Jules Verne tout en se prolongeant avec Evguéni Zamiatine et George Orwell<sup>89</sup>.

### 3.2.7. Une tentative de définition par le biais des imaginaires visuels

Cette vision de la dystopie semble être approuvée par Clément Dessy et Valérie Stiénon dans l'ouvrage qu'ils ont dirigé ensemble (*Bé)vues du futur, les imaginaires visuels de la dystopie (1840-1940)*). Ils précisent néanmoins celle-ci en ajoutant, non sans nuances, que la caractéristique invariable de la dystopie est qu'elle tente d'observer une société humaine en associant

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<sup>85</sup> Peter Kuon et Gérard Peylet (dir.), *L'utopie entre eutopie et dystopie*, Eidolon, n°110, Bordeaux: Presses universitaires de Bordeaux, 2013, p. 23.

<sup>86</sup> Peter Kuon, « Brève histoire de l'utopie littéraire », dans Peter Kuon et Gérard Peylet (dir.), *L'utopie entre eutopie et dystopie*, Eidolon, n°110, Bordeaux: Presses universitaires de Bordeaux, 2013, p. 27.

<sup>87</sup> *Ibidem*.

<sup>88</sup> *Ibidem*.

<sup>89</sup> *Ibidem*.

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« l'anticipation rationnelle à un traitement déceptif ou critique »<sup>90</sup>. Dans le même ouvrage, Francesco Muzzioli prolonge les vues de Christian Godin en montrant que la dystopie ne fait qu'accentuer les problèmes de la société de référence de l'auteur<sup>91</sup>. Afin d'en révéler les dangers de manière plus flagrante aux lecteurs, pour qui « le simple réalisme est noyé dans l'accoutumance »<sup>92</sup>, la dystopie recourt, toujours selon Francesco Muzzioli, à la figure de l'hyperbole :

„pour nous tirer du sommeil de l'aliénation quotidienne, il faut brutalement nous mettre sous les yeux ce qui nous attend if this goes on, si les choses continuent de la même manière et si nous persistons dans l'indifférence. En ce sens, la dystopie fonctionne comme un signal d'alarme [...] la dystopie est une fiction qui ne veut pas devenir vraie, se réaliser. L'impératif qu'elle envoie à son lecteur est celui de la démentir”<sup>93</sup>.

### *3.2.8. Une somme et des précisions sur l'anti-utopie*

Nous ne pourrions clore ce passage en revue de la littérature concernant les différences entre anti-utopie, contre-utopie et dystopie sans aborder l'imposant (1407 pages) *Dictionnaire critique de l'utopie au temps des Lumières*, documenté, illustré et dirigé par Bronislaw Baczko, Michel Porret et François Rosset<sup>94</sup>. En effet, sur le sujet des utopies, cet ouvrage se distingue par la présence de nombreuses réflexions sur l'anti-utopie, un genre particulièrement exploité au XVIIe et XVIIIe siècle. Sur le plan des différences conceptuelles, les auteurs de l'ouvrage établissent une équivalence entre anti-utopie et contre-utopie<sup>95</sup>, et ce, même si ce premier terme est davantage usité que le second. D'ailleurs, ces concepts sont tous deux opposés

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<sup>90</sup> Clément Dessy et Valérie Stiénon, *(Bé)vues du futur – Les imaginaires visuels de la dystopie (1840-1940)*, Villeneuve d'Ascq: Presses Universitaires du Septentrion, 2015, p. 14.

<sup>91</sup> Francesco Muzzioli, « Postface : Fins du monde. Configurations et perspectives du genre dystopiques », dans Clément Dessy et Valérie Stiénon, *(Bé)vues du futur – Les imaginaires visuels de la dystopie (1840-1940)*, Villeneuve d'Ascq: Presses Universitaires du Septentrion, 2015, p. 283.

<sup>92</sup> *Ibidem*, p. 284.

<sup>93</sup> Francesco Muzzioli, dans *(Bé)vues du futur – Les imaginaires visuels de la dystopie (1840-1940)*, Villeneuve d'Ascq: Presses Universitaires du Septentrion, 2015, p. 284.

<sup>94</sup> Bronislaw Baczko, Michel Porret et François Rosset (dir.), *Dictionnaire critique de l'utopie au temps des Lumières*, Genève: Georg, 2016.

<sup>95</sup> Didier Masseau, « Anti-utopie », dans Michèle Riot-Sarcey, Thomas le Bouchet et Antoine Picon (dir.) *Dictionnaire des Utopies*, Paris: Larousse, 2002, p. 129.

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à celui de dystopie<sup>96</sup>en ce qu'il résulterait de la transformation au XXe siècle de ces derniers grâce à l'utilisation paroxystique du procédé de l'exagération<sup>97</sup>.

Quant au genre anti-utopique, l'ouvrage donne de nombreuses précisions précieuses sur ses caractéristiques tout en y apportant de multiples exemples. Pour les auteurs de l'ouvrage, même si l'anti-utopie essaye de remettre en cause la pertinence de la réforme utopienne<sup>98</sup>, ses critiques ne parviendront pas à faire rejeter l'utopie par leurs contemporains à cause du regard culturel positif porté par leur époque sur l'ensemble de la tradition antique<sup>99</sup>.

Pour autant, l'anti-utopie ancre solidement sa critique sur deux éléments. D'abord, sur la dénonciation d'une forme moderne d'hybris propre à plonger l'homme dans le danger : « Ils flairent un danger toujours présent dans cette manifestation d'une autonomie, visant un absolu qui n'appartient qu'à Dieu. La raison impose à l'homme l'idée qu'il ne peut agir que dans le relatif, pour tenter d'atténuer le mal par des actions vertueuses »<sup>100</sup>.

Ensuite, l'anti-utopie se fonde sur une réserve sceptique vis-à-vis de la morale humaine<sup>101</sup> ou de l'idée du Progrès<sup>102</sup>. Selon les auteurs et plus précisément ici Didier Masseau, pour alimenter sa distance vis-à-vis de l'utopie, le récit anti-utopique, fidèle à la tradition iconoclaste et critique de son époque<sup>103</sup>, recourt à l'inversion<sup>104</sup>, la dérision<sup>105</sup> et à la parodie<sup>106</sup> dans un

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<sup>96</sup> Michel Porret, « Famille et éducation », dans Michèle Riot-Sarcey, Thomas le Bouchet et Antoine Picon (dir.) *Dictionnaire des Utopies*, Paris: Larousse, 2002, p. 452.

<sup>97</sup> Giovannni Paoletti, « Anciens et Modernes », dans Bronislaw Baczkó, Michel Porret et François Rosset (dir.), *Dictionnaire critique de l'utopie au temps des Lumières*, Genève: Georg, 2016, p. 89.

<sup>98</sup> Didier Masseau, « Anti-utopie », dans Bronislaw Baczkó, Michel Porret et François Rosset (dir.), *Dictionnaire critique de l'utopie au temps des Lumières*, Genève: Georg, 2016, p. 129.

<sup>99</sup> Giovannni Paoletti, *op. cit.*, p. 95.

<sup>100</sup> Didier Masseau, « Anti-utopie », dans Bronislaw Baczkó, Michel Porret et François Rosset (dir.), *Dictionnaire critique de l'utopie au temps des Lumières*, Genève: Georg, 2016, p. 133.

<sup>101</sup> Didier Masseau, *op. cit.*, p. 129.

<sup>102</sup> Antoine Litti, « Homme de lettres », dans Bronislaw Baczkó, Michel Porret et François Rosset (dir.), *Dictionnaire critique de l'utopie au temps des Lumières*, Genève: Georg, 2016, p. 559.

<sup>103</sup> Didier Masseau, *op. cit.*, p. 129.

<sup>104</sup> Didier Masseau, *op. cit.*, p. 130.

<sup>105</sup> Didier Masseau, *op. cit.*, p. 149.

<sup>106</sup> Vincent Milliot, « Ville », dans Bronislaw Baczkó, Michel Porret et François Rosset (dir.), *Dictionnaire critique de l'utopie au temps des Lumières*, Genève: Georg, 2016, p. 1332.

registre assimilé à la satire<sup>107</sup>. Celle-ci nourrit vis-à-vis de l'utopie un propos qui peut se décliner dans trois attitudes différentes mais complémentaires.

Illustrée notamment par les *Voyages de Gulliver* (1726) de Jonathan Swift, la première voie se propose de moquer et de remettre en cause l'idée même d'une possibilité utopique<sup>108</sup>.

La seconde, plus agressive, fait montrer d'une hostilité marquée<sup>109</sup> à l'endroit des écrivains, mais aussi des philosophes dits utopistes (on retrouve ici l'évolution du mot « utopie » telle que nous l'avons abordée *supra*), alors assimilés à des déséquilibrés dangereux<sup>110</sup> promouvant le retour à l'état sauvage<sup>111</sup>. Cette attitude, que l'on retrouve davantage à la fin du XVIIIe, se trouve, par exemple, incarnée dans le roman *Les Helviennes* (1784-1788) de l'abbé Augustin Barruel, pour qui la Révolution française, réduite à la Terreur robespierriste, ne sera qu'une démonstration sous forme de mise en acte de l'utopie<sup>112</sup>.

La dernière voie, selon l'auteur, a pour objet de se pencher sur l'entreprise utopique tout en la questionnant. Cette attitude serait particulièrement illustrée chez Tiphaigne de la Roche, par exemple dans l'*Histoire des Galligènes, ou Mémoires du Duncan* (1765), où, tout en conservant un regard satirique, sa présentation d'une utopie en mouvement donne lieu dans le récit à une « confrontation d'idées [...] pour accumuler questionnements et paradoxes »<sup>113</sup>. Dans cette voie, c'est à la fois la pertinence du projet utopique mais également la vision du Progrès humain et scientifique qui serait questionné<sup>114</sup>. D'ailleurs, l'auteur souligne que c'est cette dernière critique qui déclenchera, chez d'autres auteurs comme Mercier et Condorcet<sup>115</sup>, une réaffirmation de l'idéologie du Progrès accouchant d'un renouvellement du genre utopique avec l'uchronie<sup>116</sup>.

Ce tour d'horizon étant clôturé – du moins, en ce qui concerne notre corpus bibliographique – nous reviendrons sur divers éléments présentés ici

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<sup>107</sup> Antoine Litti, *op. cit.*, p. 557.

<sup>108</sup> Didier Masseau, *op. cit.*, p. 132.

<sup>109</sup> *Ibidem*, p. 130.

<sup>110</sup> *Ibidem*, p. 135.

<sup>111</sup> *Ibidem*, p. 138.

<sup>112</sup> *Ibidem*, p. 133.

<sup>113</sup> *Ibidem*, p. 140.

<sup>114</sup> *Ibidem*, p. 150.

<sup>115</sup> Giovanni Paoletti, *op. cit.*, p. 89.

<sup>116</sup> Antoine Litti, *op. cit.*, p. 559.

afin de préposer notre définition. Mais avant cela, il nous faut d'abord analyser également le concept d'uchronie (3.3) et d'hétérotopie (3.4).

### **3.3. Les « uchronies »**

Nous venons de voir, avec Antoine Litti et Giovannni Paoletti, que l'émergence des uchronies constituait une forme de réaction à la remise en doute de la logique du Progrès telle qu'elle apparaît formulée au XVIII<sup>e</sup> siècle. Ce point de vue est globalement accepté par l'ensemble des recherches menées sur la question, tout comme l'est d'ailleurs la définition même du concept.

Comme le souligne Anne-Marie Drouet Hans, le néologisme « uchronie » a été inventé par Charles Renouvier en 1857 pour désigner un récit dans laquelle « il s'agissait d'imaginer ce qu'aurait été l'histoire de l'humanité sans l'avènement du christianisme »<sup>117</sup>. Pour Renouvier, l'uchronie consiste à littéralement imaginer une version alternative de l'histoire : « supposant alors que certains personnages eussent pris d'autres résolutions qu'ils n'ont fait il y a quinze cents ans, et ces résolutions-là sont celles qu'ils ont véritablement prises, il montre en peu de mots les conséquences de leurs actes, il fait pressentir toute la suite des calamités possibles, interminables, qui en seraient sorties; et ces calamités sont celles qu'ont éprouvées nos pères et qui pèsent sur nous encore »<sup>118</sup>.

Pourtant, le procédé n'était pas neuf puisque, comme le relate Thierry Paquot, « le procédé a été défloré avant lui [...] c'est Louis Geoffroy (1803-1858) qui, avec *Napoléon et la conquête du monde 1812-1832. Histoire de la monarchie universelle*, réécrit très sérieusement l'histoire du monde à partir de la victoire de Napoléon, et le lecteur découvre alors de manière vraisemblable une géopolitique bien différente de celle qu'il peut observer »<sup>119</sup>.

Utilisé majoritairement pour désigner une version alternative de la réalité devenue presque parfaite, le terme englobera par la suite les utopies situées dans un avenir déterminé, renouvelant ainsi le genre au XVIII<sup>e</sup> siècle. Et pour cause, comme l'indique Georges Jean, « au XVIII<sup>e</sup> siècle, le schéma

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<sup>117</sup> Anne-Marie Drouin-Hans, *Éducation et utopies*, Paris: Librairie Philosophique J.Vrin, 2004, p. 44.

<sup>118</sup> Charles Renouvier, *Uchronie (L'utopie dans l'histoire). Esquisse historique apocryphe du développement de la civilisation européenne tel qu'il n'a pas été, tel qu'il aurait pu être*, Paris: Fayard, 1988, p.10.

<sup>119</sup> Thierry Paquot, *Utopies et utopistes*, Paris: La Découverte, 2018, pp. 99-100.

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classique du voyage et du naufrage s'use et s'épuise ; il fait place alors au voyage dans le temps »<sup>120</sup>.

Aidés de cette première caractéristique, les écrits scientifiques de notre corpus semblent s'accorder sur le fait que c'est Louis-Sébastien Mercier qui fut l'auteur de la première uchronie<sup>121</sup>. Le principe utilisé dans le récit, et que l'on retrouve à la même époque chez d'autres auteurs, comme Condorcet avec son *Esquisse d'un tableau historique des progrès de l'esprit humain* (1795)<sup>122</sup>, consiste à décrire une société qui réalise une utopie grâce à l'adoption de principes jugés fondateurs et à l'écoulement du temps. Ces écrivains, comme nous avons déjà eu l'occasion de le souligner, semblent réaffirmer par là, « leur foi dans le progrès universel de l'humanité »<sup>123</sup>. Or, comme le rappelle Michèle Riot Sarcey, c'est précisément ce courant de pensée qui traverse la société occidentale du XVIII<sup>e</sup> : « Mercier écrit son uchronie au moment où la philosophie de l'Histoire est en train de naître, où l'Histoire, chez Turgot ou Condorcet, devient le tableau des progrès de l'esprit humain »<sup>124</sup>.

Certains auteurs nuancent la nouveauté et la particularité de ce principe, arguant alors que, dans ce cas-là, toutes les utopies seraient des uchronies puisqu'elles recourent toutes à des dates plus ou moins fictives<sup>125</sup>. Cependant, comme le souligne systématiquement Raymond Trousson<sup>126</sup> ou Gérard Raulet, le décalage spatial utilisé de ces récits, tel que seule le XVIII<sup>e</sup> siècle pouvait le formuler, dénote tout de même singulièrement avec le décalage géographique utilisé jusque-là. Ainsi, « l'utopie et l'uchronie sont

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<sup>120</sup> Georges Jean, *Voyages en utopie*, Paris: Gallimard, 1994, p.68.

<sup>121</sup> Notamment Georges Jean, *Op. cit.*, p.68., Raymond Trousson, *Voyages aux pays de nulle part : histoire littéraire de la pensée utopique*, Troisième édition revue et augmentée, Bruxelles: Éditions de l'Université de Bruxelles, 1999, p.14., Michèle Riot-Sarcey, Thomas Bouchet et Antoine Picon (dir.), *Dictionnaire des Utopies*, Paris: Larousse, 2002, p.2.

<sup>122</sup> Vincenzo Ferrone, « Droits de l'homme », dans Bronislaw Baczkó, Michel Porret et François Rosset (dir.), *Dictionnaire critique de l'utopie au temps des Lumières*, Genève: Georg, 2016, p. 337.

<sup>123</sup> Georges Jean, *op. cit.*, p.69.

<sup>124</sup> Olivier Christin, « Anabaptismes », dans Michèle Riot-Sarcey, Thomas Bouchet et Antoine Picon (dir.), *Dictionnaire des Utopies*, Paris: Larousse, 2002, p.3.

<sup>125</sup> Jean Servier, *Histoire de l'utopie*, Paris: Gallimard, 1967, p.100.

<sup>126</sup> Raymond Trousson, *Op. cit.*, p.13, Raymond Trousson, *Sciences, techniques et utopies. Du paradis à l'enfer*, Paris: L'Harmattan, 2003, p.154, ou encore Raymond Trousson, « Synthèse », dans Vita Fortunati et Raymond Trousson (coord.), *Histoire transnationale de l'utopie littéraire et de l'utopisme*, Paris: Honoré Champion Éditeur, 2008, p. 625.

prises en charge par la Raison et inscrites dans le grand mouvement historique du progrès »<sup>127</sup>.

Enfin, valorisant la nature humaine et situant la réalisation de l'utopie dans le futur, l'uchronie incarne aux yeux de certains auteurs, comme Vincenzo Ferrone dans la somme réalisée sur l'utopie au temps des Lumières, une marque importante de l'apparition des Lumières tardives :

„cette phase de la vie culturelle européenne intense est finalement considérée comme une époque historique autonome avec des traits caractéristiques par rapport aux traditionnelles lectures téléologiques des Lumières de fin de siècle, définies seulement à partir de leurs liens avec les origines intellectuelles et sociales de la Révolution française. L'uchronie appartient de droit à cette culture de la fin des Lumières profondément marquée par deux caractères fondamentaux et originaux: d'une part, la forte «politisierung» de la république des Lettres et, d'autre part, l'affirmation rapide du «néo-naturalisme» comme transformation radicale de la représentation de la nature et des images de la science”<sup>128</sup>.

Dans ces conditions, nous nous contenterons de ces remarques ponctuelles au sujet de l'uchronie puisque nous pouvons déjà observer que ce concept ne semble pas avoir davantage de lien avec la dystopie.

### **3.4. Le concept d' « hétérotopie »**

En tant que dérivé de l'utopie, le terme d' « hétérotopie » semble être repris régulièrement par les chercheurs, et ce, dans un sens assez univoque puisque ce concept a été formulé par Michel Foucault<sup>129</sup> pour désigner « cet endroit, où les règles du monde extérieur sont suspendues, forme l'espace protégé où la parole de l'homme peut s'épanouir librement [...] et qui, tel un jardin, forme un espace autre »<sup>130</sup>.

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<sup>127</sup> Gérard Raulet, « L'utopie est-elle un concept ? », *Lignes* 1992/3 (n°17), p. 111.

<sup>128</sup> Vincenzo Ferrone, « Droits de l'homme », dans Bronislaw Baczko, Michel Porret et François Rosset (dir.), *Dictionnaire critique de l'utopie au temps des Lumières*, Genève : Georg, 2016, p. 334.

<sup>129</sup> Jean-François Chevrier, « partages de l'art », dans Michèle Riot-Sarcey, Thomas le Bouchet et Antoine Picon (dir.) *Dictionnaire des Utopies*, Paris: Larousse, 2002, p. 177.

<sup>130</sup> Michel Foucault, *Dits et écrits 1954-1988*, tome II (1976-1988), Paris: Gallimard, 2001, pp. 1571-1581.

Faisant pour la première fois l'objet d'une définition dans les années soixante, ce terme semble, selon Vita Fortunati, Paola Spinozzi et Raymond Trousson, avoir ouvert de nouveaux champs d'investigation capables de penser les rapports entre l'espace et le corps social :

„Par le terme hétérotopie, Foucault repense les relations humaines, dans lesquelles les interactions sont codifiées et hiérarchisées, en termes « d'emplacements » et de « contre-emplacements ». Le philosophe français met l'accent sur la capacité des hommes et des groupes sociaux à récupérer des espaces autres dans les emplacements où ils vivent et travaillent. L'hétérotopie ne se présente pas comme une délimitation des espaces, mais suppose la possibilité d'y entrer et d'en sortir, et privilégie l'espace liminal, le seuil”<sup>131</sup>.

En lien avec le concept de paratopie<sup>132</sup>, l'hétérotopie formule donc une réalité intéressante à exploiter, mais qui ne requiert pas de notre part une enquête plus poussée dans la mesure où elle ne semble correspondre ni au corpus littéraire que nous travaillons ni à la thématique de la dystopie.

### **3.5. Notre proposition de mise en cohérence des concepts**

Après avoir passé en revue les explications théoriques au sujet des « descendants » de l'utopie, nous avons eu l'occasion de voir que les termes qui intéressaient davantage ce travail étaient, étonnamment, ceux pour qui les définitions étaient les moins consensuelles. Analysant les différences entre utopie, contre-utopie, anti-utopie et dystopie, nous allons donc tenter ici de les ordonner sur une base logique en essayant de tenir compte de la signification de leur préfixe, mais aussi des propositions effectuées par les chercheurs sur ce sujet. Pour ce faire, nous aurons recours à l'analyse de différents critères établis par ceux-ci que nous tâcherons alors de mettre en évidence dans un tableau reprenant en vis-à-vis les concepts abordés (cf. *Tableau 3*).

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<sup>131</sup> Vita Fortunati et Raymond Trousson (coord.), *Histoire transnationale de l'utopie littéraire et de l'utopisme*, Paris : Honoré Champion Éditeur, 2008, p. 28.

<sup>132</sup> Élaine Després (dir.), « Dossier Utopie/Dystopie : entre imaginaire et réalité », *Posture*, Hors série n°2 (2010), p.60.

### *3.5.1. Une opposition fondatrice : l'idéal et l'inféral*

Nous avions vu précédemment que le mot « utopie » avait été formé sur les racines « eu » ou « ou », l'un signifiant « bon » (le « bon lieu ») et l'autre disposant d'un sens privatif (« le lieu de nulle part ») (voir *supra*). Si l'on compare la construction de ce terme vis-à-vis de ce qu'il désigne, et surtout en comparaison avec les autres concepts abordés, nous pouvons observer que ce qui distingue particulièrement l'utopie n'est pas tant que la société qui est présentée n'existe pas, mais plutôt qu'elle y soit présentée comme un modèle. Cette idée, comme nous l'avons déjà souligné, semble consensuelle chez les chercheurs, mais se trouve particulièrement développée chez Georges Jean<sup>133</sup>, tant en ce qui concerne le personnage principal du récit que l'auteur vis-à-vis des utopies. C'est la raison pour laquelle nous avons décidé de comparer ces critères aux autres groupes de récits envisagés (cf. critères 1.2 et 2.2 du *Tableau 3*).

En cela, les préfixes « anti » et « contre » ne renseignent guère sur la qualité de la société présentée pour l'auteur ou le personnage du récit puisqu'ils portent tous deux sur l'entièreté du terme « utopie ». Dès lors, malgré « les lacunes du mot »<sup>134</sup>, seul le terme « dystopie » semble, comme le souligne Francesco Muzzioli<sup>135</sup>, véritablement signifier le contraire de l'utopie :

„La première distinction s'opère bien entre utopie et dystopie. Elle est établie (...) ontologiquement pour signifier qu'ici se situe le bon état des choses et là, à l'inverse, le mauvais. (...) Selon la langue grecque, on devrait plutôt l'appeler caco-topie, mais le préfixe « dis » appelle d'autres nuances : en plus de la soustraction et de la négation, il indique aussi l'altération et le déplacement potentiellement négatif”<sup>136</sup>.

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<sup>133</sup> Georges Jean, *Voyages en utopie*, Paris: Gallimard, 1994, p.67 et p. 114.

<sup>134</sup> Clément Dessy et Valérie Stiénon, (*Bé)vues du futur – Les imaginaires visuels de la dystopie (1840-1940)*, Villeneuve d'Ascq: Presses Universitaires du Septentrion, 2015, p. 12

<sup>135</sup> L'antonymie est également soulignée chez, par exemple, Didier Masseau, « Anti-utopie », dans Michèle Riot-Sarcey, Thomas le Bouchet et Antoine Picon (dir.) *Dictionnaire des Utopies*, Paris: Larousse, 2002, p. 129., Hinrich Hudde et Peter Kuon (éd.), *De l'utopie à l'uchronie : formes, significations, fonctions, Actes du colloque d'Erlangen*, 16-18 octobre 1986, Tübingen: Gunter Narr Verlag, 1988, p. 32., Corin Braga, « Utopie, eutopie, dystopie et anti-utopie », *Metabasis*, n°2, septembre 2006, p.6, ou encore chez Thierry Paquot, *Utopies et utopistes*, Paris: La Découverte, 2018, p. 109.

<sup>136</sup> Francesco Muzzioli, « Postface : Fins du monde. Configurations et perspectives du genre dystopiques », dans Clément Dessy et Valérie Stiénon, (*Bé)vues du futur – Les imaginaires* 38

### 3.5.2. L'exagération : un trait de l'anti-utopie

Le préfixe « anti », renvoie, comme nous l'avions vu *supra* à une opposition, une hostilité voire une neutralisation qui porte ici sur l'entièreté du terme « utopie ». On songe tout d'abord à un positionnement hostile vis-à-vis de ce dernier, et notamment, avec Catherine Larrère<sup>137</sup>, au sens qu'il revêtait à partir du XVIII<sup>e</sup> siècle, c'est-à-dire, un projet impossible pour l'auteur du récit. Il nous semble trouver là un critère supplémentaire auquel nous pouvons comparer les autres concepts (cf. critère 2.1 du *Tableau 3*). De manière complémentaire, nous avons vu que l'anti-utopie pouvait renvoyer aux procédés d'inversion ou d'exagération parodique utilisés dans le récit pour critiquer les changements proposés et décrits par les utopies. Cette opposition, présentée par Didier Masseau dans le *Dictionnaire critique de l'utopie au temps des Lumières*<sup>138</sup>, possède pour corollaire un certain type d'attitude de l'auteur vis-à-vis de la société dans laquelle il vit. En effet, comme le rappelle M. Domenichelli, face à certaines propositions de réforme typique des utopies, une volonté de préservation du présent se retrouve dans les textes habituellement attribués à l'anti-utopie<sup>139</sup> et nous permet dès lors de comparer cette attitude aux autres récits. Nous avons là deux autres critères que nous rangeons aux points 2.3 et 2.5 de notre tableau (cf. *Tableau 3*).

### 3.5.3. Souhait ou espérance utopique et mise en garde dystopique

Plus globalement, plusieurs auteurs pointent les fonctions essentiellement opposées que sont censées remplir les présentations de l'utopie d'une part et de la contre-utopie d'autre part sur les lecteurs<sup>140</sup>. Dans

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visuels de la dystopie (1840-1940), Villeneuve d'Ascq: Presses Universitaires du Septentrion, 2015, p. 286.

<sup>137</sup> Catherine Larrère, « Législation », dans Bronislaw Baczko, Michel Porret et François Rosset (dir.), *Dictionnaire critique de l'utopie au temps des Lumières*, Genève: Georg, 2016, pp. 655-656.

<sup>138</sup> Didier Masseau, « Anti-utopie », dans Bronislaw Baczko, Michel Porret et François Rosset (dir.), *Dictionnaire critique de l'utopie au temps des Lumières*, Genève: Georg, 2016, p. 130.

<sup>139</sup> M. Domenichelli, *L'infondazione di Babele : l'antiutopia*, Milano: Franco Angeli Editore, 1983, p. 102

<sup>140</sup> Par exemple : Georges Jean, *Voyages en utopie*, Paris: Gallimard, 1994, p.112., Peter Kuon et Gérard Peylet (dir.), *L'utopie entre eutopie et dystopie*, Eidolon, n°110, Bordeaux: Presses universitaires de Bordeaux, 2013, p. 21., Anne-Marie Drouin-Hans, *Éducation et utopies*, Paris: Librairie Philosophique J.Vrin, 2004, pp. 40-43., ou encore Élaine Després (dir.), « Dossier Utopie/Dystopie : entre imaginaire et réalité », *Posture*, Hors série n°2 (2010), p. 60.

le cas de la première, l'auteur la souhaite plus qu'il ne l'espère (pour paraphraser les mots de Thomas More lui-même), tandis que dans la seconde, il tente d'alerter les lecteurs : « Briefly, dystopian literature is specifically that literature which situates itself in direct opposition to utopian thought, warning against the potential negative consequences of ardent utopianism »<sup>141</sup>.

Or, pour que cette mise en garde fonctionne réellement sur le lecteur, Francesco Muzzioli démontre qu'il faut nécessairement que l'élément amplifié (cf. 2.5 du *Tableau 3*) soit déjà présent dans ses habitudes, qu'en quelque sorte, il fasse déjà partie son « aliénation quotidienne »<sup>142</sup>. Cette situation temporelle de l'auteur vis-à-vis des changements menant à la société utopique de son livre et l'utilité qu'il attribue à celui-ci sur le lecteur constituent deux autres critères supplémentaires de comparaison des concepts, respectivement 2.4 et 3 de notre tableau (cf. *Tableau 3*).

#### *3.5.4. Des sociétés achevées : anti-utopie contre utopie et dystopie*

Si, comme « anti », le préfixe « contre » porte lui aussi une signification d'opposition, une fois accolé au mot « utopie », il revêt également un sens de proximité et de substitution. Dans ce cadre, Christian Godin pousse son étude sur le *Sens de la contre-utopie* au point de constater que cette dernière « est sans fin »<sup>143</sup>. De fait, même si nous avions déjà eu l'occasion de souligner la synonymie chez les chercheurs de la dystopie et de la contre-utopie (voir *supra*), il est intéressant de constater que les textes majoritairement classés par les chercheurs du côté de la contre-utopie ont tendance à présenter, comme dans les utopies, des sociétés inamovibles dans lesquelles le progrès semble avoir trouvé sa fin, « comme si l'histoire suivait une évolution d'où toute révolution serait bannie »<sup>144</sup>. Or, c'est cet immobilisme qui rend compte de la perfection de l'utopie ou de l'horreur de la contre-utopie.

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<sup>141</sup> En bref, la littérature dystopique est spécifiquement cette littérature qui se situe dans l'opposition directe de la pensée utopique suprême, mettant en garde contre les conséquences négatives potentielles de l'utopisme persistant. (notre traduction) v. Keith Booker, *Dystopian Literature : A Theory and Research Guide*, Westport, Connecticut et Londres: Greenwood Press, 1994, p. 3.

<sup>142</sup> Francesco Muzzioli, « Postface : Fins du monde. Configurations et perspectives du genre dystopiques », dans Clément Dessy et Valérie Stiénon, (*Bé)vues du futur – Les imaginaires visuels de la dystopie (1840-1940)*, Villeneuve d'Ascq: Presses Universitaires du Septentrion, 2015, p. 285.

<sup>143</sup> Christian Godin, « Sens de la contre-utopie », *Cités*, n°42 (2010/2), p.64.

<sup>144</sup> Georges Jean, *Voyages en utopie*, Paris: Gallimard, 1994, p.114.

Précisément, comme le soulignent Hinrich Hudde et Peter Kuon, c'est ce qui amène le personnage principal du récit à résoudre d'une certaine manière le lien qu'il noue avec la société présentée par l'auteur<sup>145</sup>. Soit parce que dans les utopies, il quitte à regret la société ou il décide d'y rester, soit parce que dans les dystopies, au contraire, il n'arrive pas à s'en échapper. Sur modèle de Gérard Raulet<sup>146</sup>, c'est d'ailleurs ce qui nous pousse à observer une profonde différence de statut des personnages principaux entre les textes classés sous l'étiquette « anti-utopie » et ceux de la « dystopie », tantôt simples visiteurs voire personnages extérieurs, tantôt habitants définitifs de la communauté exposée.

Ces trois derniers critères nous permettent de clore le tableau temporaire des différences entre utopie, anti-utopie et dystopie en ajoutant les critères 1.1, 1.4 et 1.3 (cf. *Tableau 3*). Les observations contenues dans les colonnes ont été remplies en conformité avec les textes étudiés tout au long de ce point et nous permettent à présent d'envisager clairement les différences entre ces trois genres. Surtout, cet exercice conceptuel semble nous autoriser à construire notre définition de la dystopie sur des bases théoriques plus solides. Cependant, nous restons évidemment conscient du caractère formel et théorique de ce genre d'exercices et faisons entièrement nôtres, l'observation de Francesco Muzzioli : « Encore faut-il préciser que, concrètement, dans les textes, la division n'est pas aussi nette [...] néanmoins, le discours théorique peut recourir à cette distinction pour mieux organiser son corpus. »<sup>147</sup>

#### **4. Pour une définition rénovée de la dystopie et de son corpus**

Nous l'avons indirectement énoncé, notre définition doit beaucoup aux écrits de Francesco Muzzioli, Keith Booker et Raymond Trousson<sup>148</sup> sur

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<sup>145</sup> Hinrich Hudde et Peter Kuon (éd.), *De l'utopie à l'uchronie : formes, significations, fonctions*, Actes du colloque d'Erlangen, 16-18 octobre 1986, Tubingen: Gunter Narr Verlag, 1988, p. 27.

<sup>146</sup> Gérard Raulet, « L'utopie est-elle un concept ? », *Lignes* 1992/3 (n°17), p. 116.

<sup>147</sup> Francesco Muzzioli, « Postface : Fins du monde. Configurations et perspectives du genre dystopiques », dans Clément Dessy et Valérie Stiénon, *(Bé)vues du futur – Les imaginaires visuels de la dystopie (1840-1940)*, Villeneuve d'Ascq: Presses Universitaires du Septentrion, 2015, p. 286.

<sup>148</sup> *Ibidem*, pp. 283 – 296., Keith Booker, *Dystopian Literature : A Theory and Research Guide*, Westport, Connecticut et Londres: Greenwood Press, 1994 et Raymond Trousson,

lesquels nous nous sommes largement appuyé, notamment pour compléter notre tableau synthétisant les différences génériques entre utopie, anti-utopie et dystopie.

Nous nous permettons tout d'abord de rappeler que nous préférons le terme « dystopie » à celui de « contre-utopie » en ce qu'étymologiquement, il incarne plus clairement l'opposé de l'utopie. De plus, c'est un terme utilisé dans ce sens précis depuis longtemps, comme le rappelle d'ailleurs Thierry Paquot en renvoyant à son premier usage effectué par John Stuart Mill (1806-1873) « lors d'un discours parlementaire dénonçant la politique du Royaume-Uni en Irlande »<sup>149</sup>.

En relevant les attributs essentiels de la dystopie, c'est-à-dire ceux qui permettent à la fois de le distinguer d'autres concepts proches, mais également de lui attribuer un corpus textuel, nous pouvons établir une définition personnelle et temporaire de la dystopie littéraire comme étant :

„Un genre littéraire contenant **un récit** qui présente **le fonctionnement** (politique, social ou culturel) **d'une cité ou d'une société imaginaire dont le degré d'achèvement est complet**. Celle-ci est conçue sur une volonté politique **totalitaire** de surveillance rendue possible par de la technologie et des principes **déjà présents à l'époque du lecteur**, mais qui ont été **anticipés voire amplifiés au maximum** afin de créer chez le lecteur un sentiment d'identification vis-à-vis du personnage principal. Ce procédé, développant aussi une sensation de malaise et d'oppression, vise à renforcer le message **de mise en garde** construit par l'auteur à son adresse. **Sous forme de critique indirecte**, l'auteur tente ainsi d'avertir le lecteur des dangers de la réalisation d'une utopie dont il pense que certaines prémisses **sont déjà réalisées au moment où il écrit le récit**. Sur un plan diégétique, la dystopie met en scène au moins un personnage principal, **habitant à part entière de la communauté**, avec laquelle il se heurte dans ses principes ou dans son fonctionnement. Cela donnera lieu à des pérégrinations durant lesquelles, le personnage passera par des émotions allant de

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*Voyages aux pays de nulle part : histoire littéraire de la pensée utopique*, Troisième édition revue et augmentée, Bruxelles: Éditions de l'Université de Bruxelles, 1999.

<sup>149</sup> Thierry Paquot, *Utopies et utopistes*, Paris: La Découverte, 2018, p. 109.

l'hostilité à l'envie (ou l'inverse) et qui se solderont par le **maintien définitif sous le contrôle de la société du personnage.**” [les grasses sont de nous].

Nous avons choisi, dans cette définition, de restreindre au maximum les caractéristiques du genre en tentant de les réduire à celles qui nous apparaissent comme des invariantes. Bien évidemment, en dehors des considérations propres à l'établissement d'un corpus correspondant à cette définition (contexte de naissance, causes d'apparition, établissement d'une liste exhaustive des œuvres, etc.), nous ne pouvons pas ne pas mentionner quelques traits complémentaires semblant, selon d'autres chercheurs, apparaître régulièrement dans les dystopies.

Ainsi, Thierry Paquot par exemple, souligne le rôle essentiel de l'amour dans la prise de conscience chez le personnage principal du caractère totalitaire de la société dans laquelle il vit. Ce sentiment paraît endosser un rôle beaucoup plus fort que celui de la simple intrigue amoureuse puisque c'est par lui que le personnage principal arrive « à enrayer la machine sociale qui uniformise les individus comme elle homogénéise les comportements »<sup>150</sup>. D'autres auteurs relèvent de leur côté la récurrence de certaines thématiques croisant la route de la dystopie comme la prégnance du sentiment conservateur<sup>151</sup>, de la portée prophétique de son récit<sup>152</sup>, ou encore celle de l'éducation<sup>153</sup>.

Notre définition étant posée, tâchons à présent de voir quelle est l'étendue du corpus textuel lié à cette tradition générique.

Pour commencer, il nous faut bien constater que le débat que nous avions présenté au sujet des origines de l'utopie est entièrement transposable aux dystopies. Afin d'en simplifier l'approche, nous pouvons affirmer qu'il oppose lui aussi l'idée de « continuité » à celle de « singularité ». La première

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<sup>150</sup> *Ibidem*, p. 108.

<sup>151</sup> Francesco Muzzioli, « Postface : Fins du monde. Configurations et perspectives du genre dystopiques », dans Clément Dessy et Valérie Stiénon, (*Bé)vues du futur – Les imaginaires visuels de la dystopie (1840-1940)*, Villeneuve d'Ascq: Presses Universitaires du Septentrion, 2015, p. 287.

<sup>152</sup> Christian Godin, « Sens de la contre-utopie », *Cités*, n°42 (2010/2), p. 62.

<sup>153</sup> Anne-Marie Drouin-Hans, *Éducation et utopies*, Paris: Librairie Philosophique J.Vrin, 2004.

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thèse, défendue par exemple par Jean Servier ou Sandrine Doré<sup>154</sup>, affirme que l'utopie (ou la dystopie) ne fait que « reprendre, au fil des siècles, les mêmes thèmes qu'ils ont illustrés d'images analogues, inconsciemment empruntées au symbolisme des songes [...] jusqu'à l'organisation et aux lois contraignantes de la cité traditionnelle »<sup>155</sup>. Dans ce contexte, rien n'interdit d'estimer alors que les dystopies ne sont pas « l'apanage exclusif du siècle des totalitarismes, vu qu'elles sont nées en même temps que l'*Utopie* de Thomas More »<sup>156</sup>.

La seconde thèse soutient en revanche que la dystopie est née de la situation particulière du XIXe et du début du XXe siècle, contexte qui a vu l'émergence de l'industrialisation, des premières guerres modernes, du développement des sciences, de formes totalitaires du pouvoir et d'une certaine « déception historique »<sup>157</sup>. Regroupant une majorité des auteurs que nous avons étudiés, cette thèse fait débuter l'histoire de la dystopie avec *Le monde tel qu'il sera* d'Émile Souvestre (1846) et le fait se prolonger avec de nombreux autres ouvrages comme : *Les Morticoles* de Léon Daudet, (1875), *Les Cinq Cents Millions de la Bégum* de Jules Verne (1879), *La fin des livres* de Octave Uzane (1895), *La Machine à explorer le temps* d'Herbet George Wells (1895), *Le Talon de fer* de Jack London (1907), *La Peste écarlate* du même auteur (1912), *Les condamnés à mort* de Claude Farrière (1920), *Nous autres* d'Evguéni Zamiatine (1920), *La Cité dans les fers* de Ubald Paquin (1926), *Le Chantier* d'Andreï Platonov (1930), *Le Meilleur des mondes* d'Aldous Huxley (1932), *La Cité des asphyxiés* de Régis Messac (1937), *La Kollocaïne* de Karin Boye (1940), *1984* de George Orwell (1949), *Fahrenheit 451* de Ray Bradbury (1953), *Yapou, bétail humain* de Shozo Numa (1956), *Le voyageur imprudent* (1958) de René Barjavel, *L'Orange Mécanique* d'Anthony Brugess (1962), *Un bonheur insoutenable* de Ira Levin (1970), *Les Monades urbaines* de Robert Silverberg (1971), *Les Dépossédés* d'Ursula Le Guin (1975), *La Servante écarlate* de Margaret Atwood (1985), *La Zone du*

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<sup>154</sup> Et magnifiquement illustrée dans, par exemple, Peter Kuon et Gérard Peylet (dir.), *L'utopie entre eutopie et dystopie*, Eidolon, n°110, Bordeaux: Presses universitaires de Bordeaux, 2013.

<sup>155</sup> Jean Servier, *Histoire de l'utopie*, Paris: Gallimard, 1967, p. 94.

<sup>156</sup> Sandrine Doré, « Une vision de la fin des arts : Robida et le futur de l'image », dans Clément Dessy et Valérie Stiénon, *(Bé)vues du futur – Les imaginaires visuels de la dystopie (1840-1940)*, Villeneuve d'Ascq: Presses Universitaires du Septentrion, 2015, p. 125.

<sup>157</sup> Raymond Trousson, *Littérature comparée – L'utopie : notes prises au cours de R. Trousson*, Bruxelles: P.U.B., 1983, p. 19.

*dehors* d'Alain Damasio (1999), *La Tyranie de l'arc-en-ciel* de Jasper Fforde (2009), pour ne citer que les plus célèbres.

Plutôt que d'être contraint d'inscrire notre étude dans l'une ou l'autre thèse, nous aimerais pointer, en guise de conclusion de cet article, leur complète complémentarité. En effet, bien que constituant des regards opposés, ces deux approches s'illustrent surtout par le fait qu'elles utilisent deux angles différents - un point de vue large et un point de vue réduit - sur le même objet d'étude. Puisque chacune de ces perspectives proposent des données pertinentes à exploiter, il n'y a aucune raison de choisir définitivement entre les deux. C'est d'ailleurs ce que faisait déjà remarquer en son temps Fernand Braudel au sujet des débats sur l'existence d'une entité civilisationnelle européenne : « Disons seulement qu'ils ont regardé de trop près les carreaux d'une mosaïque, qui, vue de haut, relève de nets dessins d'ensemble. Pourquoi faudrait-il choisir, une fois pour toutes, entre l'ensemble et le détail ? Les deux vérités ne s'excluent pas. »<sup>158</sup>. Force est de constater que cette observation est tout entière transposable à la problématique des origines de la dystopie.

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<sup>158</sup> Fernand Braudel, *Grammaire des civilisations*, Paris, Flammarion, 1993, p. 529.

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**Tableau 1 – Synthèse des définitions de l'utopie**

<b>Attributs/ Auteurs et années</b>	Constitue une société ou un projet politique	Est une cité ou une ville	Fait l'objet d'une description précise	Son organisation est justifiée	Est située dans le temps	Est située dans l'espace	Constitue un espace clos	Son but est le bonheur de tous ses membres	Introduite par un récit	N'existe pas ou relève de l'irréalisable	Critique indirectement la société de l'auteur
Emile Cioran (1960)	OUI			NON	NON		OUI	OUI	OUI	OUI	
Jean-michel Racault (1991)	OUI	OUI	OUI	OUI « plausible »	OUI « plausible »	OUI			OUI	OUI	
Lyman Tower Sargent (1994)	OUI	OUI		OUI	OUI				OUI	OUI	
Raymond Trousson (1999)	OUI	OUI	OUI	OUI			OUI		OUI	OUI	
Anne-Marie Drouin-Hans (2004)	OUI	OUI	OUI	OUI « plausible »	OUI « plausible »		OUI	OUI	OUI	OUI	
Corin Braga (2006)	OUI			NON « métaphysique »	NON « métaphysique »				OUI	OUI	
Francesco Muzzioli (2015)	OUI						OUI				
Thierry Paquot (2018)	OUI						OUI		OUI	OUI	

**Tableau 1 – Le présent tableau reprend en abscisse les attributs essentiels proposés par les définitions et en ordonnée les auteurs repris dans l'ordre chronologique de publication. Les cases vides suggèrent que ces derniers ne se sont pas positionnés sur l'attribut mentionné. Le cas échéant, les qualificatifs exacts utilisés par les auteurs sont précisés à l'intérieur de la case**

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**Tableau 2 – Utilisation des dérivés de l'utopie par les auteurs**

Dérivés Auteurs et années	Anti-utopie	Contre-utopie	Dystopie	Atopie	Hétérotopie	Uchronie
Raymond Ruyer (1950)	X	X				
Jean Vuarnet (1976)				X		
Jean Servier (1979)		X				X
C. Imbroscio (1986)	=	=	=			
Gérard Raulet (1992)	=	=				X
Georges Jean (1994)	=	=				X
R. Trousson (1999)	X	=	=			X
Riot Sarcey (2002)	=	=	=	=	X	X
R. Trousson (2003)	X		X			X
A-M Drouin-Hans (2004)		X	X			X
Trousson Fortunati (2008)	X	=	=		X	X
Élaine Despres (2010)		X	X		X	X
Christian Godin (2010)		=	=			
Kuon et Peylet (2013)	X	X	X			
Dessy et Stiénon (2015)	=	X	=			
Bronislaw Baczko et alii (2016)	=	=	X		X	X
Thierry Paquot (2018)	X		X			X

**Tableau 2 – Le présent tableau reprend en abscisse les termes dérivés de l'utopie et en ordonnée les auteurs repris dans l'ordre chronologique de publication. Les cases vides suggèrent que ces derniers ne se sont pas positionnés sur le terme. Dans le cas contraire, un X est mentionné. Le signe = apparaît lorsque l'auteur renvoie à une synonymie des termes.**

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**Tableau 3 – Différenciation de l'utopie, l'anti-utopie et de la contre-utopie ou dystopie**

Critères / Genres	Utopie	Anti-utopie	Dystopie Contre-utopie
<b>Critères intradiégétiques</b>			
1.1 Degré d'achèvement de la société idéale présentée dans le livre	Semblé achevée	Au bord de l'effondrement	Semblé achevée
1.2 Rapport du personnage principal à la société idéale présentée dans le livre	Envie	Déception / Répulsion	Hostilité/Envie
1.3 Qualité du personnage principal vis-à-vis de la société idéale présentée dans le livre	Visiteur / Extérieur	Visiteur / Extérieur	Habitant
1.4 Résolution du lien entre la société idéale présentée dans le livre et le personnage principal	Quitte à regret / reste	Quitte avec plaisir	N'arrive pas à quitter
<b>Critères relatifs à l'auteur</b>			
2.1 Faisabilité d'une société utopique pour l'auteur	Possible	Humainement impossible	Faisable et en partie déjà effectuée
2.2 Rapport de l'auteur à la société utopique de son livre	Souhait d'une société parfaite	Hostilité, doute et ironie	Critique inquiète d'une société effrayante
2.3 Rapport de l'auteur à la société dans laquelle il vit	Critique	Souhaite la préserver	Critique
2.4 Situation temporelle de l'auteur vis-à-vis des changements menant à la société utopique de son livre	Passés, ailleurs ou à venir	Sont en germe dans la volonté de certains de ses contemporains	Déjà présents
2.5 Procédé utilisé par l'auteur vis-à-vis des changements menant à la société utopique de son livre	Description	Inversion et exagération parodique	Amplification maximale
<b>Critère relatif aux lecteurs</b>			
3. Utilité selon l'auteur de la présentation de la société utopique du récit pour les lecteurs	Faire désirer	Moquer ou faire douter	Mettre en garde

**Tableau 3 – Le présent tableau reprend en abscisse les critères dégagés à partir de la revue de la littérature selon des données intradiégétiques, relatives à l'auteur ou aux lecteurs. En ordonnée sont repris les concepts proches abordés. Comme indiqué, nous avons maintenu la synonymie du terme dystopie et contre-utopie.**

# L'ARCHITECTURE DE L'INFORMATION DANS LE DISCOURS SCIENTIFIQUE

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## **Abstract:**

As the title suggests, we would like to study a peculiarity of the mathematical scientific discourse, namely the *informational organization*. Our theoretical framework is discourse analysis, more precisely, discourse analysis of the Geneva School under the direction of prof. Eddy Roulet. We used the same theoretical framework to characterize the mathematical discourse in French (see Toma 2009, Toma 2017). This general issue brings us to at least two particular goals: on the one hand, we must fram the specificity of the texture of the mathematical discourse (in the framework of the semantic and syntactic modules) and, on the other hand, we must grasp the flow of information in mathematical discourse (in the context of informational and topical organization).

## **Keywords:**

Discourse analysis, informational organization, mathematical discourse, informational and topical organization

## **Résumé:**

Comme le titre l'indique, nous voulons étudier une particularité du discours scientifique mathématique, à savoir *l'organisation informationnelle*. Le cadre théorique choisi est l'analyse du discours, plus précisément, l'analyse du discours de l'école de Genève sous la direction du prof. Eddy Roulet que nous avons utilisé pour caractériser le discours mathématique en langue française (v. Toma 2009, Toma 2017). Cet enjeu général nous amène à au moins deux buts particuliers: d'une part, il faut saisir la spécificité de la texture du discours mathématique (dans le cadre des modules sémantique et syntaxique), d'autre part, il faut saisir le flux de l'information dans le discours mathématique (dans le cadre des organisations informationnelle et topicale).

## **Mots clé:**

Analyse du discours, organisation informationnelle, discours mathématique, informational and organisation informationnelle et topicale

Le modèle d'analyse du discours de l'École de Genève se propose de rendre compte de tout discours :

« Il est important pour l'analyste comme pour le pédagogue, de disposer d'un modèle permettant de décrire toutes les formes de discours, dialogique et monologique, écrit et oral, et de saisir d'abord ce qu'elles ont en commun, au-delà de leurs différences, dont il faudra aussi rendre compte ». (Roulet, 1999 : 143).

**1.1.** Nous distinguons, premièrement, trois "niveaux de scientifcité" (v. Toma 2006) – à savoir, *le discours mathématique de recherche*, *le discours mathématique didactique* et *le discours mathématique de vulgarisation* et nous retenons pour notre analyse *le discours mathématique didactique*. Une deuxième distinction au niveau du discours mathématique est imposée par le contenu même des mathématiques. Cette science n'est pas monolithique, elle comprend plusieurs sous-disciplines (l'algèbre, la géométrie, l'analyse etc.). Vue son étendue, notre étude impose un choix qui est réduit à l'algèbre. Le discours mathématique didactique de l'algèbre a la velléité de nous rendre accès à une synthèse des deux autres niveaux discursifs par un contenu relativement accessible aux non-spécialistes.

**1.2.** L'analyse modulaire considère le discours<sup>1</sup> comme un objet complexe et elle son organisation saisit aussi bien dans le sens descriptif que dans le sens explicatif.

La construction et l'interprétation du discours sont soumises à trois types de contraintes : *situationnelles*, *linguistiques* et *textuelles*. A partir de ces contraintes on arrive à cinq modules (*lexical*, *syntaxique*, *hiérarchique*, *référentiel* et *interactionnel*), définissant cinq types d'informations de base

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<sup>1</sup> « On retiendra la définition d'un objet d'étude: le discours comme interaction verbale située, dans ses dimensions linguistiques et situationnelles, la détermination d'un ordre méthodologique d'analyse descendant, de l'interaction verbale aux formes qui constituent, échanges, interventions et actes, le caractère central de l'organisation hiérarchique, la formulation d'hypothèses intéressantes sur les relations entre ces constituants et des informations en mémoire discursive, sur l'organisation polyphonique, sur le repérage de séquences typiques (narrative, délibérative, poétique, etc.), sur les mécanismes inférentiels qui commandent l'interprétation, enfin sur les principes qui régissent l'interaction (comme le ménagement des faces des participants. Mais on observe aussi immédiatement qu'il est très difficile d'articuler des notions issues d'horizons aussi différents.) » (Roulet et al. 2001: 25).

qui peuvent être décrits de manière indépendante. Ces cinq modules, par différents couplages entre eux et/ou entre eux et des formes d'organisation simples engendrent des *formes d'organisation simples* (*phono-prosodique ou graphique, sémantique, relationnelle, informationnelle, énonciative, séquentielle, opérationnelle*), respectivement (si au moins une forme d'organisation simple intervient dans le couplage), des *formes d'organisation complexes* (*périodique, topicale, polyphonique, compositionnelle, stratégique*) (cf. Roulet et al. 2001).

Les modules sont des systèmes d'information créés pour répondre aux besoins méthodologiques et didactiques de l'analyse en vue de saisir les éléments qui donnent la complexité du discours l'un après l'autre. Il faut souligner que le modèle attribue une place centrale aux modules qui définissent les structures hiérarchiques récursives : le module syntaxique, le module textuel et le module référentiel.

Les dimensions et les modules impliqués dans l'étude de *l'organisation informationnelle* et de son « correspondant » complexe, *l'organisation topicale*<sup>2</sup> sont : *la structure hiérarchique, l'organisation relationnelle, la représentation et la structure conceptuelles*. Nous devons préciser ici que, même si l'analyse modulaire du discours distingue une dimension linguistique du discours (avec ses modules : lexical et syntaxique et ses formes d'organisation élémentaires : phono-prosodique ou graphique et sémantique), elle ne s'en occupe qu'indirectement, quand cette dimension est impliquée dans l'étude des autres modules et formes d'organisation. Il existe une seule : l'organisation phono-prosodique qui fait l'objet d'une analyse détaillée, l'organisation périodique. C'est peut-être la raison pour laquelle on n'a pas développé une forme d'organisation complexe à ce niveau-là.

## **2. Les « auxiliaires » de l'organisation informationnelle : la structure hiérarchique –relationnelle et la dimension référentielle (la représentation et la structure conceptuelle)**

**2.1.** L'analyse modulaire de l'organisation informationnelle du discours se fonde sur l'interrelation des modules hiérarchique et référentiel et

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<sup>2</sup> Il n'y a pas de correspondance entre l'organisation informationnelle et l'organisation topicale d'une part et l'organisation thématique et l'organisation focale, d'autre part telle qu'elles sont définies dans Guçu-Romalo (coord.) 2008: 910, 929.

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de la dimension linguistique<sup>3</sup>. Elle repose principalement sur quelques notions fondamentales que nous allons rappeler en quelques lignes ci-dessous: l'*acte*, le *topique*, le *propos*, la *progression informationnelle* (*linéaire, à topique constant et l'enchaînement à distance*).

La structure hiérarchique distingue les séquences textuelles dans leur linéarité, en adoptant une méthodologie descendante, et les rapports qui s'établissent entre elles. Ainsi, on identifie *l'échange* (E), *l'intervention* (I) et *l'acte* (A). Ces unités sont reliées entre elles par des règles qui permettent une combinaison récursive, de manière à pouvoir rendre compte de toute structure (v. Roulet et al. 2001 : 53-57).

Les composants d'un échange sont liés par trois types de rapports : *dépendance* (entre les constituants subordonnés et les constituants principaux), *interdépendance* (entre les interventions d'un échange) et *indépendance* (entre les constituants coordonnés).

L'acte – l'unité textuelle minimale – constitue, pour l'organisation informationnelle, le repère aussi bien dans l'identification des *topiques* et des *propos* que dans la *progression informationnelle*. C'est pourquoi nous l'évoquons brièvement.

Pour analyser le discours, l'École genevoise utilise une démarche méthodologique descendante que nous retrouvons aussi chez Bakhtine<sup>4</sup>. Elle part d'une macro unité, le discours, à l'intérieur de laquelle elle distingue des

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<sup>3</sup> « Il est possible de dégager trois dimensions intervenant dans cette organisation. On peut premièrement évoquer le rôle discret mais non moins important du **module hiérarchique**, dont l'unité minimale, c'est-à-dire l'acte, est le constituant à partir duquel se définit l'organisation informationnelle. Les deux autres dimensions sont constituées par le **module référentiel** et la **dimension linguistique** (regroupant les modules syntaxique, lexical, et les aspects phono-prosodiques), qui interviennent au niveau de la définition des notions d'objet de discours et de point d'ancre. En effet, comme le concept de topique discuté ci-dessus, ces concepts relèvent à la fois de la **dimension référentielle**, en tant que représentations mentales activées par le discours, et de la **dimension linguistique**, dans la mesure où les marques morpho-syntaxiques et prosodiques indiquent souvent leur état d'activation: les points d'ancre sont généralement marqués par les termes anaphoriques lorsqu'ils ne sont pas implicites, tandis que les objets de discours sont verbalisés par les formes pleines. » (Grobet 1999: 336-337).

<sup>4</sup> L'essence véritable du langage, c'est l'événement social qui consiste en une interaction verbale, et se trouve concrétisé en un ou plusieurs énoncés. » (cf. Todorov, T. (1981) : *Mikhail Bakhtine – Le principe dialogique*, suivi de *Écrits de Cercle de Bakhtine*, Paris, Seuil).

unités de plus en plus petites : *l'échange*, *l'intervention* et *l'acte*. L'acte constitue l'unité minimale du discours qu'elle identifie par un passage en mémoire discursive:

« Nous postulons que, pour constituer une étape du processus de négociation sous-jacent à toute interaction, chaque acte doit faire l'objet d'un enregistrement en mémoire discursive. » (Roulet 2001 : 64)

Cette unité minimale, l'acte, est le lieu d'observation et d'auscultation de l'organisation informationnelle, car tout acte active un propos et tout propos s'ancre sur un topique. Le ***propos*** est défini comme :

« la proposition activée par un acte et dont la connaissance peut être considérée comme étant le résultat de la compréhension de l'acte. La nouveauté de cette proposition résulte de sa relation avec les informations données par le contexte. » (Grobet 2001: 107).

Chaque propos s'ancre sur (au moins) un topique. Ainsi,

« Chaque acte introduit une information dite activée, l'objet de discours<sup>5</sup>, et l'introduction de cette information implique au moins un point d'ancrage en mémoire discursive, le topique, sous la forme d'une information semi-active, qui peut être verbalisée ou non. » (Roulet 2000 : 225).

C'est cette relation étroite – acte – propos – topique – qui donne une grande importance à l'acte dans l'organisation informationnelle.

L'étude des actes peut être approfondie dans une approche de la linguistique textuelle. Dans ce type d'approche, Manzotti souligne la nécessité de s'occuper de la «grammaticalité» du texte. L'appel à l'analyse linguistique du texte, par niveaux, apporte de l'objectivité à la démarche de l'analyste et permet de faire parler la voix du texte.

Pour comprendre le texte d'une manière participative, Manzotti propose la *lecture intensive* qui est applicable aussi bien aux discours littéraires qu'aux discours scientifiques. Selon les dimensions du discours, cette lecture intensive prend soit la forme d'une *macro lecture*, soit la forme

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<sup>5</sup> La notion de *propos* est équivalente à la notion d'objet *de discours*. Elle a été introduite dans les dernières recherches de l'École genevoise (Roulet et al. 2001).

d'une *micro lecture* ou *lecture analytique*, pour les textes courts ou les fragments de textes<sup>6</sup>.

**2.2.** Les notions centrales de l'organisation informationnelle sont le *topique*<sup>7</sup> et la *progression informationnelle*.

Grobet 2001 fait le point sur la notion de *topique* – concept central de toute étude informationnelle du discours, en présentant une synthèse critique des études antérieures et en proposant un regard discursif sur le topique sous la définition suivante:

« Le topique se définit comme une information (un référent ou un prédicat) identifiable et présente à la conscience des interlocuteurs, qui constitue, pour chaque acte, l'information la plus immédiatement pertinente liée par une relation d'*à propos* avec l'information activée par cet acte ».

Le topique est un point d'ancrage, plus précisément, un point d'ancrage immédiat. Les points d'ancrage immédiat s'opposent aux points d'ancrage d'arrière fond. Si tous les points d'ancrage ont la même nature (information stockée en mémoire discursive, dont la source se trouve dans le cotexte, le contexte ou les inférences de l'un ou de l'autre), les topiques se distinguent

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<sup>6</sup> « I concetti-guida della lettura analitica sono l'auscultazione della parola e della frase, la individuazione di tutte le possibili regolarità e irregolarità di significato e di forma, e soprattutto la valutazione delle loro pertinenza. La lettura analitica tenterà in particolare di cogliere come in un testo i livelli espressivi normalmente ?transparenti' (che cioè non sono percepiti perché sono subordinati alla costruzione del significato) si facciano essi stessi portatori di significati particolari, che interagiscono col significato grammaticale. La descrizione di questa dialettica di significati passa ovviamente per la determinazione esatta del significato letterale, ma richiede letture lente e ripetute, letture aperte ad ogni soprassalto di fantasia interpretativa, che si concentrino sui fatti formali lasciando momentaneamente in sospeso il contenuto letterale. È una lettura che costa fatica, da cui non si può aspettare un piacere immediato, ma che pone le basi per una fruizione meno impressionistica, più profonda. » (Manzotti et al. 1992: 25).

<sup>7</sup> Il faut noter que cette étude s'appuie sur un cadre théorique précis, celui de l'École genevoise (Roulet et al. 2001) qui ignore la double distinction des oppositions : *thème vs rhème* pour l'organisation thématique et, respectivement, *topique vs focus* pour l'organisation focale (cf. Guçu-Romalo (coord.) 2008: 909).

des points d'ancrage d'arrière fond par leur statut (obligatoire vs facultatif) et par leur nombre ((au moins) un vs indéterminé). (cf. Grobet 2001: 99)<sup>8</sup>.

Les topiques sont classifiés selon plusieurs critères. Un premier critère – la trace topicale – permet le départ entre deux types de topiques: les topiques explicites (qui sont explicités par une trace) et les topiques implicités (dont le repérage n'est pas guidé par une trace). La nature non textuelle des topiques (l'ancrage sur une information présente en mémoire discursive) préconisée dans l'analyse modulaire de l'organisation informationnelle apporte beaucoup d'avantages à l'analyse du flux de l'information dans le DM, comme nous le relèverons par la suite.

Selon un autre critère – l'origine – le topique est soit issu du propos activé par l'acte qui précède (un référent ou l'acte de dire), soit de la situation (un bruit, les interlocuteurs désignés par les pronoms *je*, *tu* etc.). On peut encore faire le départ entre le topique qui a sa source dans le contenu du discours (le dit) et le topique qui a sa source dans le discours lui-même (le dire), c'est-à-dire le topique métadiscursif (cf. Grobet 2001: 113).

L'identification des topiques<sup>9</sup> nécessite un travail de couplage des informations d'ordre hiérarchique et linguistique ou référentiel:

« L'organisation informationnelle résulte du couplage entre des informations hiérarchiques et des informations lexicales ou syntaxiques, si l'acte comporte des traces de point d'ancrage du topique (pronoms, expressions définies, etc.), ou, en l'absence de telles traces, du couplage entre des informations hiérarchiques et des informations référentielles. » (Roulet 1999 : 58).

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<sup>8</sup> Grobet 2001 propose une troisième critère de distinction entre les points d'ancrage immédiat et les points d'ancrage d'arrière fond, critère qui concerne le niveau de leur repérage, à savoir le repérage, basé sur une trace ou implicite pour les points d'ancrage immédiats, respectivement le repérage basé nécessairement sur une trace pour les points d'ancrage d'arrière fond. Or, il s'avère que les traces ne sont pas toujours nécessaires pour le repérage des points d'ancrage d'arrière fond. Par exemple, le "je", sous lequel le locuteur se cache, est un point d'ancrage d'arrière fond d'un dialogue et son repérage n'impose pas sa présence explicite dans le discours sous la forme du pronom *je* ou autrement.

<sup>9</sup> Le topique qui est de nature référentielle – selon Lambrecht – peut être identifié par la combinaison des caractéristiques d'*identificabilité*, d'*état d'activation* et – ajoute Grobet – de *relation d'à propos* (v. Grobet 2001: 103).

Les tests utilisés pour l'identification du topique, à part le détachement à gauche et la construction clivée, sont les manipulations formelles (l'interrogation; la négation; la reformulation à l'aide des constructions segmentées et des marques telles qu'à *propos de*, *au sujet de*, *en ce qui concerne* ou *Je vous dis, au sujet de X, que P*) et l'intonation<sup>10</sup> (cf. Grobet 2001: 122-131).

Pour rendre compte de la continuité informationnelle du discours il faut aussi s'occuper de la progression de l'information. L'identification des types de progression informationnelle revient, en général, à la comparaison des topiques et des propos de deux actes successifs, A1 et A2. Si le topique de l'acte A2 est tiré du propos de l'acte A1, alors la progression informationnelle est linéaire; si le topique de l'acte A2 est identique au topique de l'acte A1, alors la progression informationnelle est une progression à topique constant. La progression à distance intervient quand la source du topique d'un certain acte ne se trouve pas dans l'acte précédent.

Avant de nous pencher sur quelques exemples d'analyse, nous devons faire deux précisions. Premièrement, il est évident que la spécificité du DM n'est pas une affaire de *qualité*, mais de *quantité*, car le DM ne saurait inventer une autre organisation informationnelle, au contraire, celui-ci fait un choix parmi les disponibilités de l'organisation informationnelle du discours en général<sup>11</sup>. Deuxièmement, l'aspect quantitatif de la spécificité de l'organisation informationnelle du DM ne doit pas être pris nécessairement

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<sup>10</sup> Il faut noter que les résultats obtenus par les procédés d'identification des topiques (mais aussi pour d'autres résultats d'analyse modulaire) peuvent être calculés, après coup, par l'intermédiaire des inférences. Les inférences sont des hypothèses attribuées par l'analyste aux interactants. Le calcul inférentiel est fondé sur la combinaison d'informations de natures linguistique, hiérarchique et référentielle. Les inférences nécessaires à l'interprétation d'un énoncé interviennent en deux phases successives: *l'explication* – qui assure le passage de la forme logique à la forme propositionnelle – et *l'implication* – qui part de la forme propositionnelle issue de la phase d'explication pour aboutir à l'interprétation finale. (v. Roulet et al. 2001: 191-199 et 290-292). Grobet 2001 place l'inférence parmi les moyens d'identification des topiques.

<sup>11</sup> S'efforçant de montrer une différence entre la langue commune et le langage scientifique, les scientifiques oublient que souvent ce n'est pas le cas. Par l'exemple, les types de progression informationnelle sont décidément universels: « In lingua generale si può osservare che nella strutturazione tematica lo specialista di solito segue le stesse convenzioni comunemente adottate nel linguaggio generale. » (Gotti 1991: 113).

comme le résultat d'une statistique, mais plutôt comme le résultat d'un examen des extraits du DM attentivement choisis.

L'hypothèse que nous faisons – sans la développer ici – est que le couplage entre l'organisation relationnelle et l'organisation informationnelle peut nous conduire à des résultats importants pour la spécificité du DM. Or, dans notre modèle théorique, le couplage entre ces deux formes d'organisation n'a pas une présence explicite : on traite l'organisation relationnelle, juste en passage, dans le couplage entre l'organisation informationnelle et l'organisation hiérarchique. Un tel couplage fera l'objet de l'organisation topicale, à côté des autres couplages (organisation informationnelle + structure hiérarchique et organisation informationnelle + structure conceptuelle).

### **3. Étude de cas**

**3.1.** Manzotti montre que la difficulté et l'obscurité des disciplines formelles proviennent du fait que le lecteur ne sait pas comment les ‘affronter’, comment ‘lire’ leur langage particulier:

« In gioco non è tanto la questione per qualche tempo alla moda dei ‘linguaggi settoriali’, in genere ristretta alla problematica delle scelte lessicali, quando piuttosto il genere peculiare di attenzione che deve essere portato al testo, e il genere di proprietà su cui occorre arrestarsi. » (Manzotti et al. 1992: 28).

Si nous prenons comme instrument l'étude textuelle, pour un texte mathématique, l'analyse doit partir d'un regard d'ensemble, pour aboutir à des précisions très fines.

Prenant comme exemple l'énonciation d'un théorème d'algèbre de lycée, la théorème de Cauchy comme celle-ci apparaît dans deux manuels, Manzotti démontre qu'il s'agit d'une seule identité textuelle, cachée sous deux formulations différentes. La lecture de ce théorème peut se faire, dans un premier temps, en identifiant « un periodo ipotetico del tipo ‘se si verificano certe proprietà, allora se ne verificano certe altre’ ». (Manzotti et al. 1992: 28) et, dans un deuxième temps, en identifiant les objets des discours ('funzione', 'intervallo', 'intervallo aperto', etc.). Mais ces deux étapes de la lecture peuvent toujours laisser le lecteur en confusion à cause des facteurs suivants: (I) le formalisme, essentiel pour le discours mathématique est, par sa nature,

arbitraire; (II) l'ordre des hypothèses par rapport à la conclusion (conclusion – hypothèses ou hypothèses – conclusion) est elle aussi arbitraire; (III) certaines hypothèses sont considérées évidentes dans le contexte donné; (IV) le principe de l'économie maximale des hypothèses peut connaître des atténuations partielles pour des raisons didactiques; (V) la monosémie lexicale, totalement absente du langage courant, est chez elle dans le langage scientifique et technique. Le facteur le plus important serait ce dernier qui est définitoire pour les mathématiques où

« la lettura deve prendere alla lettera ogni parola e costrutto », car « Nulla nel linguaggio della matematica è secondario . [...] È per questo d'altronde che la lettura protrauta di un testo matematico è una prova di cui solo poche forme di intelligenza, e di memoria, sono all'altezza ». (Manzotti et al. 1992: 29).

Donc, la lecture d'un texte mathématique n'impose pas de règles particulières, mais une lecture analytique intensive. Les facteurs qui pourraient empêcher la compréhension du texte mathématique tiennent soit au rapport entre la langue naturelle et la langue artificielle (cf. Marcus 1970) dans le langage scientifique (I et II), soit à la « contextualisation » mathématique comprise en termes de sous-entendus possibles grâce à l'organisation concentrique des connaissances mathématiques (III-IV). Au-delà de ces difficultés, l'exactitude règne dans le domaine des mathématiques.

Ce caractère précis, régulier et répétitif du discours mathématique nous permet de lancer l'hypothèse que l'analyse d'un cas particulier ouvre facilement la voie vers des conclusions plus larges sur le discours mathématique en général.

**3.2.** Prenons un fragment d'un cours universitaire d'algèbre linéaire (v. *Annexe 1*). Il s'agit d'un paragraphe qui présente une méthode pour la résolution des systèmes d'équations linéaires, la méthode de Gausse.

Nous avertissons que certains concepts mathématiques peuvent rester obscurs pour un novice, fait qui n'empêche pas la compréhension de la démarche analytique discursive.

Nous ne passons pas à l'analyse de notre fragment sans préciser premièrement que des cinq modules de l'analyse modulaire (*lexical, syntaxique, hiérarchique, référentiel et interactionnel*), tous les cinq sont impliqués d'une façon ou d'une autre dans l'étude qui suit, tandis que des sept

formes d'organisations élémentaires (*phono-prosodique, sémantique, relationnelle, informationnelle, énonciative, séquentielle, opérationnelle*) et des cinq formes d'organisation complexes (*périodique, topicale, polyphonique, compositionnelle et stratégique*) nous n'en retenons que cinq que nous considérons pertinentes pour l'objet de notre analyse (*graphique, sémantique, relationnelle, informationnelle* et, respectivement, *topicale*). Ce choix est imposé, d'une part, par le besoin d'établir un ordre relatif dans le foisonnement des "discours mathématiques" que nous essayons de classifier en "niveaux de scientificité" et en "genres scientifiques" à l'aide du module référentiel et de l'organisation interactionnelle (v. Toma 2009), d'autre part, par l'accomplissement de la tâche d'analyse de l'organisation informationnelle et topicale qui fait recours aux autres formes d'organisation mentionnées plus haut.

### *3.2.1. Organisation informationnelle*

Pour simplifier la lecture et la compréhension de notre démarche, nous donnons ci-dessous l'analyse informationnelle complète (topiques, propos, progressions) et détaillée d'un extrait de notre fragment, en gardant les conventions d'analyse proposées par Grobet 2001<sup>12</sup>. Les actes sont numérotés en tête de ligne, les traces topicales – en gras (suivies des topiques entre crochets), tandis que les topiques implicites prennent place entre parenthèses au début de l'acte. Nous remplaçons le tableau pour les types de progression informationnelle (cf. Grobet 2001) par les abréviations placées après le numéro de l'acte: L = progression linéaire; TC = progression à topique constant et D = progression à distance. Nous rajoutons aussi, entre parenthèse,

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<sup>12</sup> « Chaque acte, numéroté, active un objet de discours. Les traces des points d'ancre sont indiquées par un style italique ou gras; elles peuvent être pronominales (*c'*, *on*), pleines (*les grands noms*), ou absentes (acte 2, si l'on ne prend pas en compte le pronom *y*). Les points d'ancre sont explicités entre crochets après leur trace, ou, lorsqu'ils sont implicites, restitués entre parenthèses au début de l'acte (actes 2 et 4). Lorsque les points d'ancre sont implicites, comme c'est le cas dans ces actes, leur identification se fait par défaut à partir de l'information la plus récemment activée; en dernier recours, on peut considérer, avec Auchlin, qu'ils sont issus de la situation d'énonciation (Auchlin 1986: 183). [...] On distingue les points d'ancre immédiats, également appelés « topiques », dont les traces sont marquées en gras, et les points d'ancre d'arrière-fond, qui concernent le plus souvent les interlocuteurs du dialogue et dont les traces sont signalées en italique. [...] Il convient de souligner que seuls les points d'ancre immédiats – les topiques – sont explicités entre crochets ou entre parenthèses. » (Grobet 2001: 67-68).

après le type de progression par rapport au point d’ancrage immédiat, le type de progression par rapport aux points d’ancrage d’arrière fond.

18. D (7: Metoda lui Gauss) Definiția 1.1:

19. L+D i) Spunem că sistemului (**S**) [13: un sistem de  $m$  ecuații și  $n$  necunoscute] i s-a aplicat o transformare elementară de tipul (I)

20. TC (+D) dacă **sistemului** [19 : sistemului (**S**)] i se permute două ecuații,

21. L poziția celorlalte [20 : ecuații] m-2 ecuații rămânând nemodificată:

22. L (21 : poziția celorlalte m-2 ecuații rămânând nemodificată)

$$(S) : \begin{cases} E_1 \\ \dots \\ E_i \\ \dots \\ E_j \\ \dots \\ E_m \end{cases} \xrightarrow{(I)} (S') : \begin{cases} E_1 \\ \dots \\ E_j \\ \dots \\ E_i \\ \dots \\ E_m \end{cases}$$

23. L (22) Vom folosi notația

$$E_i \leftrightarrow E_j.$$

La littérature de spécialité affirme que le marquage précis de la continuation informationnelle à l'aide des traces topicales rend le discours plus cohésif (ce qui est le cas du DM en général). Par exemple, Gotti qui s'occupe de la référence anaphorique<sup>13</sup> considère que la référence anaphorique « est un des instruments les plus fréquemment utilisés pour conférer une cohésion meilleure au texte. » (Gotti 1991: 105) (la répétition ou la substitution lexicale, pour le texte juridique)<sup>14</sup>.

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<sup>13</sup> Nous devons préciser que les traces topicales sont souvent des anaphores ou, plus rarement des cataphores. (v. Grobet 2001 - Ch. III).

<sup>14</sup> « L'alto grado di relazione che si riscontra tra aspetti epistemologici e realizzazione testuale costituisce una caratteristica costante dei testi specialistici a fa sì che le realizzazioni stesse – seguendo un processo argomentativo comune e standardizzato – siano a loro volta altamente codificate. Come bene afferma Arcaini (1988, p. 35): "Le caratteristiche di un linguaggio settoriale nel suo costituirsi in testo non sono un fatto strettamente linguistico, ma

Nous pensons qu'une telle hypothèse – la cohésion est donnée par l'abondance de traces topicales – est soutenable dans une approche textuelle (où l'on cherche à relever les supports linguistiques de l'enchaînement informationnel dans le texte), mais pas dans une approche discursive (ou le flux informationnel est saisi au niveau de la mémoire discursive et non pas au niveau du texte en soi). Par contre, nous montrons ici que les topiques implicites jouent un rôle important dans le flux informationnel du DM.

Il faut remarquer la spécificité, d'une part, de la nature des traces topicales, d'autre part, du type d'information même que les topiques comprennent. Ainsi, les traces topicales sont : substantivales (nom ou syntagme ayant comme tête un nom) (*Metoda lui Gauss, sistemului*) ; symboliques (langue artificielle) ((S), l'acte 22) ; pronominales (*celoralte*) ; verbale (*poziția celoralte m-2 ecuații rămânând nemodificată*) ou propositionnelles (*l'acte 22*).

L'analyse du corpus montre que la trace topicale du discours mathématique, quand elle est présente (il y a beaucoup de topiques implicites), est un nom ou un syntagme nominal ayant comme tête un nom (*sistemului (S)*). Ce fait doit avoir la source dans la quête de l'exactitude, l'information d'un nom étant plus forte que l'information d'un prénom.

Les propos activent les deux types d'information ensemble – l'information donnée en langage naturel et l'information donnée en langage artificiel, symbolique – (par exemple, dans l'acte [19] *i s-a aplicat o transformare elementară de tipul (I)*, dans l'acte [22] *Vom folosi notația [...]*), pour qu'elles soient ultérieurement reprises sur la seule forme artificielle, soit dans les topiques, soit dans les propos qui suivent (par exemple, le fragment 108. où, topique et propos sont exclusivement en langage artificiels et nous n'avons plus procédé à une segmentation en actes).

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un tipo di ragionamento (di argumentazione) legato alla natura dell'oggetto da dibattere. Il costituirsi (attraverso le proprietà del linguaggio comune) di una tassonomia linneana o le argomentazioni giuridiche circa un fatto che riguarda la giurisprudenza hanno percorsi obbligati, che dipendono dalla natura delle discipline, ne rappresentano le regole costitutive, e sono relativamente indipendenti dalla persona che li usa." » (Gotti 1991: 119).

### **3.2.2.** Organisation topicale : organisation informationnelle et structure hiérarchique

L'organisation topicale<sup>15</sup>, forme d'organisation complexe, traite les liens conceptuels entre les objets de discours. Le couplage de la structure hiérarchique et de l'organisation informationnelle rend compte de l'enchaînement à distance et de la hiérarchie des objets de discours en distinguant les objets de discours principaux et les objets de discours secondaires. « Un objet de discours est principal ou subordonné par rapport à un autre en fonction de la place occupée dans la structure hiérarchique par l'acte qui l'active.» (Roulet, 1999 :61).

La démarche utilisée par l'analyse modulaire dans l'identification des unités textuelles va de haut en bas. Cette manière d'appréhender les données est très utile pour saisir la spécificité du DM, car, effectivement, au niveau macro -discursif il y a beaucoup de régularités intéressantes.

Dans notre fragment, négligeant les titres et les sous-titres (d'ailleurs, ceux-ci sont repérables dans tout discours, qu'il soit mathématique ou non), nous observons des régularités répétitives qui comprennent: un *concept central* (*Metoda lui Gauss sau Metoda eliminărilor succesive*), des *notations préliminaires*, *des définitions* (*transformare elementară de tipul (I), (II), (III)* et *sisteme echivalente* ), *des propriétés – remarques* et *des théorèmes* concernant la notion qu'on vient de définir, sa *notation*, des *exemples* concernant les propriétés et *des exercices* censés vérifier le degré de maîtrise des connaissances acquises dans les segments antérieurs. C'est la structuration du DM grâce au *concepts métamathématiques* (v. Toma 2006).

La structure hiérarchique émerge du processus de négociation conçu comme un dialogue entre le mathématicien (l'entité rationnelle) et la vérité mathématique. Elle est réduite à l'enchaînement emboité des *actes* (A) et des *interventions* (I) qui organise le discours en fonction de leur positionnement et leur interaction relationnelle. (Toma 2009: 32-42). La structure

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<sup>15</sup> L'organisation informationnelle ne permet pas d'identifier l'objet de discours qui occupe une place centrale dans le discours, ni de rendre compte d'enchaînements tropicaux à distance. Elle ne permet pas non plus de rendre compte des choix de l'interlocuteur parmi les différents enchaînements possibles à chaque étape de la formulation d'une réponse à une question délicate (cf. Roulet 1996: 21-22). C'est pourquoi l'analyse de l'organisation topicale s'impose comme une continuation nécessaire de l'analyse de l'organisation informationnelle, comme son complément.

hiérarchique et les concepts méta- mathématiques structurants du DM sont en rapport dynamique avec l'organisation informationnelle du DM (v. *Annexe 3*)

L'analyse du corpus élargi nous permet d'affirmer qu'il existe un prototype d'organisation textuelle du DM via les méta- concepts qui contient (avec une plus grande ou une plus petite rigueur) les éléments suivants: l'introduction ou la nomination d'une entité, sa définition, des exemples, des propriétés (qui peuvent prendre la forme de propositions ou de théorèmes), des exceptions, des cas particuliers ou des conséquences de ces propriétés (qui peuvent prendre la forme de corollaires) et un développement (des applications, des exercices, des problèmes). Ce système méta-conceptuel constitue un support d'information de type **topique** sur laquelle s'ancre constamment l'information de type **propos**.

Au premier niveau d'emboîtement, la structure hiérarchique de chaque fragment marque la présence d'un titre (de chapitre ou de paragraphe) qui est une intervention secondaire, contenant un seul acte, par rapport au reste du fragment qui constitue une intervention principale très riche en actes (par exemple, *Sisteme de ecuații liniare*). Les topiques implicite sont majoritaires.

Au deuxième niveau d'emboîtement, premièrement, on continue à introduire des sous-titres (proprement- dits, par exemple, acte 7. 1. *Metoda lui Gauss*) et , deuxièmement, on commence à introduire le passage entre le langage naturel et le langage artificiel, à savoir les concepts métadiscursifs (par exemple, 18. **Definiția 1.1, Definiția 1.2**, 40. **Teorema 1.3, Teorema 1.4**) ou les notations (par exemple, Ap 15. Notăm cu [...], 23. *Vom folosi notația [...]*). Nous sommes à ce point au niveau des entités textuelles distinguées plus haut. Le fait que parfois la définition occupe une position plus basse, dans la structure hiérarchique, tandis que les notations occupent une position plus haute est dû à leurs co-textes respectifs: la définition est un préambule pour le théorème qui suit, les notations sont précédées d'une description générale du but de leur introduction. Toujours sur le deuxième niveau d'emboîtement, nous observons la préférence pour l'introduction de plusieurs interventions coordonnées qui occupent des espaces quasi-équivalents (v., par exemple, I 19.-23 ; I 24.-28. et I 29.-33). Les concepts méta- mathématiques sont introduits en tant que propos pour devenir au niveau suivant des topiques implicites.

Au troisième niveau d'emboîtement, on accomplit l'introduction des définitions et des notations, et on commence l'introduction des exemples, des remarques et des théorèmes avec leurs démonstrations. Nous pouvons

conclure à l'issue de cette analyse, que les concepts méta -mathématiques et les concepts mathématiques occupent des places précises dans les textes, la définition détenant une place médiane entre les deux catégories. La progression linéaire ou à topique constant, basée généralement sur les points d'ancrage immédiats est doublée par une progression à distance qui s'appuie souvent sur les points d'ancrage d'arrière fond et des topiques implicites. La conscientisation de la hiérarchisation de l'information facilite l'identification des topiques implicites dont le nombre augmente à ce niveau d'emboîtement. La profondeur de la structure hiérarchique atteigne le niveau maximal au cours des démonstrations des théorèmes et elle correspond au niveau des calculs cognitifs maximaux. D'où la réputation des mathématiques comme science abstraite et difficile.

### *3.2.3. Organisation topicale : organisation informationnelle et la structure conceptuelle*

Le couplage de la structure conceptuelle et de l'organisation informationnelle rend compte de la continuité de l'information et de la dérivation de l'objet de discours. « Un objet de discours qui domine un autre objet de discours dans la structure conceptuelle est premier par rapport à celui-ci et celui-ci est dérivé du premier. » (Roulet, 1999 :62). La **structure conceptuelle** rend compte de la place occupée dans le texte effectif par les concepts desquels il traite. Elle se distingue ainsi de la **représentation conceptuelle** qui applique en traitement cognitif extra discursif aux concepts (cf. Roulet et al. 2001, Toma 2009).

La spécificité du DM consiste dans l'identité des structures conceptuelles d'un concept mathématique étant donnée la nature référentielle de ces structures (NB les structures conceptuelles ne sont pas textuelles!). Par conséquent, le fait qu'une certaine propriété d'un concept soit textualisée/ verbalisée ou pas, n'est pas significatif pour la structure conceptuelle d'un terme mathématique. Dès qu'il est actualisé dans un certain contexte, le concept mathématique renvoie sans autre choix à un ensemble fixe de propriétés qui l'individualisent. Par exemple, si l'on ouvre un manuel de mathématiques et si l'on lit "N = 0, 1, 2, 3, ... est l'ensemble des entiers naturels.", alors on pensera précisément au concept mathématique d'« ensemble » qui a une certaine notation, qui a certains éléments permettant

certaines opérations et pas d'autres et non pas à un autre sens du mot *ensemble* ("Ils sont *ensemble* depuis toujours.").

Les concepts mathématiques ne dérivent pas l'un de l'autre, comme c'est le cas pour la langue commune (cf. Roulet et al. 2001). Il est évident qu'ils entretiennent des relations très étroites entre eux, mais il nous semble inexacte de les appeler des relations de "dérivation". En effet, les relations qui se tissent entre les concepts mathématiques sont soit des relations d'inclusion (« metode directe » inclut « *Metoda lui Gauss* »), soit des relations de définition (un « un sistem de  $m$  ecuații și  $n$  necunoscute» est un «un sistem de ecuații»), soit des *relations* d'appartenance ou de structuration, pour les concepts méta-mathématiques («*transformare elementară de tipul (I)* » a une « définition » et une «notation »).

En tenant compte de cette re-interprétation de la relation de "dérivation" entre les concepts mathématiques, le couplage informationnel-structure conceptuelle nous relève le parcours informationnel du DM (v. le parcours informationnel qui inclut la construction *fie x*).

Le couplage entre l'organisation informationnelle et la structure conceptuelle met en évidence les *objets de discours premiers* et les *objets de discours dérivés* (pour éviter l'ambiguïté que ce terme pourrait provoquer pour le DM, nous préférons le terme de *concept relié*). Par exemple, le concept de « forma triunghiulară a sistemului (S) », est relié au concept de « sisteme echivalente » qui, à son tour, est relié du concept de « transformare elementară»; et la chaîne peu continuer avec « *sisteme de ecuații elementare* ».

Nous postulons que le poids informationnel d'un concept augmente avec l'augmentation du nombre des concepts avec lesquels il est relié. La structure conceptuelle nous permet d'identifier les concepts ayant un nombre riche de concepts reliés. Ceux-ci sont d'habitude introduits dans le texte en tant que *propos* et ils deviennent des topiques implicites. Par exemple, un concept (propos) comme «*Metoda lui Gauss* » et reliés avec plusieurs concepts dans la structure conceptuelle (« forma triunghiulară a sistemului (S) », « sisteme echivalente », «*transformare elementară* », etc.) et il a un *poids informationnel* plus lourd qu'un concept placé plus bas dans la hiérarchie de la richesse structurelle conceptuelle, tout en ayant moins de concepts reliés (par exemple, « *ecuații liniare* »).

Le DM a la particularité informationnelle de doubler la progression informationnelle linéaire ou à topique constant avec la progression à distance

qui prend pour topique en point d'encrage d'arrière fond identifiable dans un concept placé en haut de la structurelle conceptuelle du texte et ayant, par conséquent, un nombre plus riche de concepts reliés que les topiques explicites. Cette progression informationnelle est traductible dans la construction complexe du raisonnement mathématique. De ce fait elle est présente surtout dans les démonstrations des théorèmes.

#### 4. La construction *Fie x* et l'entité rationnelle

La construction *Fie x* a une occurrence fréquente dans le DMD. Sa fréquence (une moyenne placée entre 0,7 et 1,5 occurrences par page), mais surtout sa spécificité pour le DMD (on ne le rencontre nulle part ailleurs) lui donnent un statut spécial.

La forme détaillée de cette construction pourrait être représentée ainsi :

*Fie + a + b*

où *a* et *b* sont d'habitude deux séquences complémentaires du point de vue du matériel d'expression: si la première séquence *a* est de nature symbolique (*(S)* și *(S')*; i), la deuxième séquence *b* appartient à la langue naturelle (*două sisteme de m ecuații liniare și cu n necunoscute, indicele minim cu proprietatea că  $a_{i1} \neq 0$* ), l'inverse restant rare. Par exemple :

**Teorema 1.3:** *Fie  $(S)$  și  $(S')$  două sisteme de m ecuații liniare și cu n necunoscute. Dacă  $(S)$  și  $(S')$  sunt sisteme echivalente, atunci  $(S)$  și  $(S')$  au aceleași soluții.*

(Dăuș 2009: 111)

**Demonstrație:** Deoarece prima coloană a matricei A este nenulă, atunci există cel puțin un element nenul pe această coloană. Fie i indicele minim cu proprietatea că  $a_{i1} \neq 0$ . Dacă  $i = 1$ , atunci prima ecuație a sistemului are coeficientul lui  $x_1$  nenul. Dacă  $i > 1$ , atunci permutedând între ele ecuațiile  $E_1$  și  $E_i$  obținem un sistem echivalent cu sistemul inițial, având coeficientul lui  $x_1$  nenul în prima ecuație.

(Dăuș 2009: 111)

La formule *Fie X* est secondée – mais de loin – au niveau de la fréquence et du rôle rempli dans le DM par les expressions *Considerăm că*, *Presupunem că*, *Spunem că*. Le DM préfère l'association de la modalité déontique d'**obligation** avec l'effacement du sujet énonciateur. À l'entité

rationnelle inclusive – composée par la paire énonciateur/ destinataire – le DM ajoute et favorise une entité rationnelle impersonnelle. La valeur verbale impérative inclusive des verbes *Considerăm*, *Presupunem*, *Spunem* est similaire avec la valeur modale de *Fie*. Nous pourrions ainsi signaler une valeur modale impérative pour la troisième personne d'une forme du conjonctif qui perd la conjonction *să*.

Si nous prenons la séquence *Fie (S) și (S') două sisteme de m ecuații liniare și cu n necunoscute*, nous optons pour garder un seul acte, non pas parce que *(S) și (S')* ne ‘contiendrait’ pas l'information ‘*două sisteme de m ecuații liniare și cu n necunoscute*’, mais parce que c'est le point du discours où *(S) și (S')* ‘reçoit’ cette propriété et, donc l'association à la valeur d'une apposition déterminative.

*Fie (S) și (S')* fait partie de l'objet de discours introduit par l'acte [41] “*Fie (S) și (S') două sisteme de m ecuații liniare și cu n necunoscute*”. La progression de l'information entre les actes [39] – [40] – [41] est linéaire. L'élément symbolique (*(S) și (S')*) devient la trace topicale<sup>16</sup> dans l'acte qui suit en assurant la correspondance entre le monde mathématique abstrait exprimé à l'aide de la langue artificielle et le monde représenté par les mathématiques<sup>17</sup> traduit à l'aide de la langue naturelle. L'information contenue par l'acte 40 est segmentée à cause de la présence de *Fie (S) și (S')* en deux parties qui n'ont pas le même type de contribution informationnelle. L'information de *Fie (S) și (S')* est plus forte; c'est une information *posée*; le reste de l'acte “*două sisteme de m ecuații liniare și cu n necunoscute*” apporte une information plus faible; c'est une information *présupposée*. Si l'on affinait l'étude informationnelle, cette construction représenterait un point d'ancre secondaire pour l'acte [40] ( à côté du topique implicite “ **Teorema 1.3**”), tandis qu' “*două sisteme de m ecuații liniare și cu n necunoscute*” fait partie de l'univers des connaissances encyclopédiques du locuteur. Il semble que *Fie (S) și (S')* opère une inversion entre l'objet de discours et le point d'ancre immédiat.

Comme cette construction est une partie d'un acte secondaire, elle introduit un objet de discours secondaire, en laissant s'entrevoir un "souvenir"

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<sup>16</sup> Une étude minutieuse sur le langage symbolique pourrait nous dire si un symbole serait une trace ou s'il est le topique même, fait qui modifierait le type de progression.

<sup>17</sup> On prend l'hypothèse positiviste qui soutient que les mathématiques représentent le monde réel.

d'un point d'ancrage immédiat. Ce fait ne doit pas être indifférent à l'appui de la construction du raisonnement mathématique à l'aide de symboles.

Au niveau de la structure hiérarchique et de la structure conceptuelle aussi, toutes les constructions du type *Fie x* font partie d'un niveau bas d'emboîtement, respectivement de la chaîne de dérivation. Elles sont plutôt orientées vers l'ouverture d'une dérivation conceptuelle située sur l'axe horizontal de la même structure, dérivation dont elle constitue le premier élément.

### **5. Conclusions**

Le modèle de l'analyse modulaire nous permet de saisir ce qui est commun et ce qui distingue le discours scientifique mathématique d'autres discours, mais il ne faut pas le prendre tel quel, car certains inconvénients s'imposent à l'évidence. Ainsi, les critères utilisés pour le découpage en actes doivent être adaptés pour pouvoir rendre compte des segments de discours qui sont constitués du langage symbolique (artificiel). En outre, le fondement même de la structure hiérarchique, le processus de négociation, doit être révisé, car derrière le DM ne se cache pas toujours une négociation véritable, entre deux sujets parlants. Or, il faut admettre qu'un dialogue scientifique – science est envisageable.

Il faudra remanier aussi les notions de *représentations et structures conceptuelles* qui s'avèrent soit quasi-équivalentes, soit multiples (les propriétés mathématiques et leurs « correspondants » méta-mathématiques).

Nous venons de passer en revue les points faibles de notre instrument d'analyse. Mais, au niveau de l'organisation informationnelle même, il y a beaucoup de points forts. L'introduction de la notion de *topique implicite* nous semble cruciale et très productive dans l'étude du DM. En autre, l'analyse linguistique et référentielle des traces topicales peut, à son tour, apporter des éclaircissements importants sur l'organisation informationnelle du DM.

Il nous semble évident que le DM ne saurait pas inventer d'autres types de progression informationnelle que le discours général, mais il fait appel d'une manière spécifique à leur utilisation. La progression L et la progression à TC s'associe parfois avec la progression à distance grâce à l'activation simultanée des points d'ancrage immédiats et des points d'ancrage d'arrière fond. Cet activage est signalé par des traces topicales, souvent en langage artificielle ou nominales et les topiques implicites.

L'étude peut être enrichi par le fait d'affiner l'analyse de l'expression *Soit x*. Il reste encore des ressources du cadre théorique à explorer, notamment le couplage relationnel + informationnel qui, tout en enrichissant le couplage hiérarchique + informationnel et conceptuel + informationnel, nous permettra de mieux comprendre, entre autres, le rôle des connecteurs dans l'organisation informationnelle.

Sortir du cadre théorique choisi ouvrira aussi de nouvelles perspectives d'analyse.

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## Diversité et Identité Culturelle en Europe

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### Annexe 1 Texte

#### Sisteme de ecuații liniare

Metodele de rezolvare ale sistemelor de ecuații liniare se împart în două categorii:

- metode directe: presupun obținerea soluției exacte a sistemului după un număr finit de operații elementare;
- metode iterative: se bazează pe folosirea unei aproximării inițiale care se îmbunătățește de la o etapă la alta.

##### 1. Metoda lui Gauss

Prezentăm în această secțiune cea mai simplă metodă directă de rezolvare a sistemelor de ecuații liniare, numită *Metoda lui Gauss* sau *Metoda eliminărilor succesive*. Această metodă are la bază ideea transformării sistemului dat într-un sistem superior triunghiular sau trapezoidal prin eliminarea succesivă a necunoscutelor și apoi folosirea procedeului de substituire inversă pentru rezolvarea sistemului obținut. Considerăm un sistem de  $m$  ecuații și  $n$  necunoscute:

$$(S): \begin{cases} a_{11}x_1 + a_{12}x_2 + \dots + a_{1n}x_n = b_1 \\ a_{21}x_1 + a_{22}x_2 + \dots + a_{2n}x_n = b_2 \\ \dots \\ a_{m1}x_1 + a_{m2}x_2 + \dots + a_{mn}x_n = b_m \end{cases} .$$

Notăm cu

$$A = \begin{pmatrix} a_{11} & a_{12} & \dots & a_{1n} \\ a_{21} & a_{22} & \dots & a_{2n} \\ \dots & \dots & \dots & \dots \\ a_{m1} & a_{m2} & \dots & a_{mn} \end{pmatrix} \quad \text{și} \quad A^e = \begin{pmatrix} a_{11} & a_{12} & \dots & a_{1n} & b_1 \\ a_{21} & a_{22} & \dots & a_{2n} & b_2 \\ \dots & \dots & \dots & \dots & \dots \\ a_{m1} & a_{m2} & \dots & a_{mn} & b_m \end{pmatrix}$$

matricea coeficienților sistemului, respectiv matricea extinsă a sistemului. Putem presupune că fiecare coloană a matricea [sic!] A este nenuă, în caz contrar sistemul (S) putându-se înlocui cu un sistem cu număr mai mic de necunoscute.

**Definiția 1.1:** i) Spunem că sistemul (S) i s-a aplicat o transformare elementară de tipul (I) dacă sistemului i se permute două ecuații, poziția celorlalte  $m-2$  ecuații rămânând nemodificată:

$$(S): \begin{pmatrix} E_1 \\ \dots \\ E_i \\ \dots \\ E_j \\ \dots \\ E_m \end{pmatrix} \xrightarrow{(I)} (S'): \begin{pmatrix} E_1 \\ \dots \\ E_j \\ \dots \\ E_i \\ \dots \\ E_m \end{pmatrix}$$

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Vom folosi notația

$$E_i \leftrightarrow E_j.$$

ii) Spunem că sistemului  $(S)$  i s-a aplicat o transformare elementară de tipul (II) dacă o ecuație a sistemului se înmulțește cu o constantă nenulă, celelalte  $m-1$  ecuații rămânând nemodificate:

$$(S) : \begin{cases} E_1 \\ \dots \\ E_i \\ \dots \\ E_m \end{cases} \xrightarrow{(II)} (S') : \begin{cases} E_1 \\ \dots \\ \lambda E_i \\ \dots \\ E_m \end{cases}$$

Vom folosi notația

$$\lambda E_i.$$

iii) Spunem că sistemului  $(S)$  i s-a aplicat o transformare elementară de tipul (III) dacă unei ecuații a sistemului i se adună o altă ecuație multiplicată cu o constantă nenulă, celelalte  $m-1$  ecuații rămânând nemodificate:

$$(S) : \begin{cases} E_1 \\ \dots \\ E_i \\ \dots \\ E_j \\ \dots \\ E_m \end{cases} \xrightarrow{(III)} (S') : \begin{cases} E_1 \\ \dots \\ E_i \\ \dots \\ E_j + \lambda E_i \\ \dots \\ E_m \end{cases}$$

Vom folosi notația

$$E_j + \lambda E_i.$$

**Definiția 1.2:** Două sisteme de ecuații elementare  $(S)$  și  $(S')$  se numesc sisteme echivalente dacă sistemul  $(S')$  se obține din sistemul  $(S)$  printr-un număr finit de transformări elementare de tipul (I), (II) sau (III).

**Observație:** Relația “~” este o relație de echivalență pe mulțimea sistemelor de  $m$  ecuații liniare și cu  $n$  necunoscute.

**Teorema 1.3:** Fie  $(S)$  și  $(S')$  două sisteme de  $m$  ecuații liniare și cu  $n$  necunoscute. Dacă  $(S)$  și  $(S')$  sunt sisteme echivalente, atunci  $(S)$  și  $(S')$  au aceleași soluții.

**Demonstrație:** Înănd cont de definiția sistemelor echivalente, precum și de observația anterioară, ne putem reduce la cazul în care  $(S')$  se obține din  $(S)$  printr-o singură transformare elementară de tipul (I), (II) sau (III). În acest caz este evident că orice soluție a sistemului  $(S)$  este soluție și a sistemului  $(S')$ .

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Pe de altă parte, deoarece sistemul (S) se obține din sistemul (S') printr-o transformare elementară de tipul (I), (II) sau (III), orice soluție a sistemului (S') este soluție a sistemului (S) și astfel teorema este demonstrată. ■

### Teorema 1.4

**Teorema 1.4:** Orice sistem (S) cu m ecuații liniare și n necunoscute este echivalent cu un sistem ( $\bar{S}$ ) de forma:

$$(\bar{S}): \left\{ \begin{array}{l} \bar{a}_{11}x_1 + \dots + \bar{a}_{1n}x_n = \bar{b}_1 \\ \bar{a}_{2k_2}x_{k_2} + \dots + \bar{a}_{2n}x_n = \bar{b}_2 \\ \bar{a}_{3k_3}x_{k_3} + \dots + \bar{a}_{3n}x_n = \bar{b}_3 \\ \dots \\ \bar{a}_{rk_r}x_{k_r} + \dots + \bar{a}_{rn}x_n = \bar{b}_r \\ 0 = \bar{b}_{r+1} \\ \dots \\ 0 = \bar{b}_n \end{array} \right.$$

unde  $\bar{a}_{11}, \bar{a}_{2k_2}, \bar{a}_{3k_3}, \dots, \bar{a}_{rk_r} \neq 0$  și  $1 < k_2 < k_3 < \dots < k_r$ . ( $\bar{S}$ ) se va numi forma triunghiulară a sistemului (S).

**Demonstrație:** [...]

**Observație:** 1. Sistemul (S) este compatibil dacă și numai dacă în forma ( $\hat{S}$ ) nu apar ecuații de forma  $0 = b_p$ , cu  $b_p$  nenul.

2. [...]

**Exercițiul 1:** Să se rezolve, cu ajutorul metodei lui Gauss, sistemul de ecuații liniare:

$$\left\{ \begin{array}{l} x_1 + 3x_2 + 5x_3 - 4x_4 = 1 \\ x_1 + 3x_2 + 2x_3 - 2x_4 + x_5 = -1 \\ x_1 - 2x_2 + x_3 - x_4 - x_5 = 3 \\ x_1 - 4x_2 + x_3 + x_4 - x_5 = 3 \\ x_1 + 2x_2 + x_3 - x_4 + x_5 = -1 \end{array} \right.$$

**Soluție:** Vom folosi algoritmul descris în demonstrația *Teoremei 1.4* pentru a găsi forma triunghiulară a sistemului dat. Cu ajutorul transformărilor elementare (I), (II) și (III) sistemul se poate scrie succesiv astfel:

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$$\begin{array}{l}
 \left\{ \begin{array}{l} x_1 + 3x_2 + 5x_3 - 4x_4 = 1 \\ x_1 + 3x_2 + 2x_3 - 2x_4 + x_5 = -1 \\ x_1 - 2x_2 + x_3 - x_4 - x_5 = 3 \\ x_1 - 4x_2 + x_3 + x_4 - x_5 = 3 \\ x_1 + 2x_2 + x_3 - x_4 + x_5 = -1 \end{array} \right. \xrightarrow{\substack{E_2 + (-1)E_1 \\ E_3 + (-1)E_1 \\ E_4 + (-1)E_1 \\ E_5 + (-1)E_1}} \left\{ \begin{array}{l} x_1 + 3x_2 + 5x_3 - 4x_4 = 1 \\ -3x_3 + 2x_4 + x_5 = -2 \\ -5x_2 - 4x_3 + 3x_4 - x_5 = 2 \\ -7x_2 - 4x_3 + 5x_4 - x_5 = 2 \\ -x_2 - 4x_3 + 3x_4 + x_5 = -2 \end{array} \right. \\
 \xrightarrow{E_2 \leftrightarrow E_5} \left\{ \begin{array}{l} x_1 + 3x_2 + 5x_3 - 4x_4 = 1 \\ -x_2 - 4x_3 + 3x_4 + x_5 = -2 \\ -5x_2 - 4x_3 + 3x_4 - x_5 = 2 \\ -7x_2 - 4x_3 + 5x_4 - x_5 = 2 \\ -3x_3 + 2x_4 + x_5 = -2 \end{array} \right. \xrightarrow{\substack{E_3 + (-5)E_2 \\ E_4 + (-7)E_2}} \left\{ \begin{array}{l} x_1 + 3x_2 + 5x_3 - 4x_4 = 1 \\ -x_2 - 4x_3 + 3x_4 + x_5 = -2 \\ 8x_3 - 6x_4 - 3x_5 = 6 \\ 3x_3 - 2x_4 - x_5 = 2 \\ -3x_3 + 2x_4 + x_5 = -2 \end{array} \right. \\
 \xrightarrow{E_3 \leftrightarrow E_4} \left\{ \begin{array}{l} x_1 + 3x_2 + 5x_3 - 4x_4 = 1 \\ -x_2 - 4x_3 + 3x_4 + x_5 = -2 \\ 3x_3 - 2x_4 - x_5 = 2 \\ 8x_3 - 6x_4 - 3x_5 = 6 \\ -3x_3 + 2x_4 + x_5 = -2 \end{array} \right. \xrightarrow{\substack{E_4 + \left(\frac{8}{3}\right)E_3 \\ E_5 + E_3}} \left\{ \begin{array}{l} x_1 + 3x_2 + 5x_3 - 4x_4 = 1 \\ -x_2 - 4x_3 + 3x_4 + x_5 = -2 \\ 3x_3 - 2x_4 - x_5 = 2 \\ -\frac{2}{3}x_4 - \frac{1}{3}x_5 = \frac{2}{3} \\ 0 = 0 \end{array} \right. 
 \end{array}$$

Putem acum să tragem următoarele concluzii: sistemul dat este compatibil nedeterminat,  $x_1, x_2, x_3, x_4$  sunt necunoscute principale, iar  $x_5$  este necunoscută secundară. Utilizând substituirea inversă găsim:

$$x_1 = -\frac{\alpha}{2}, \quad x_2 = -1 - \frac{\alpha}{2}, \quad x_3 = 0, \quad x_4 = -1 - \frac{\alpha}{2}, \quad x_5 = \alpha$$

cu  $\alpha \in \mathbf{R}$ .  $\square$

**Exercițiul 2 [...]**  
(Dăuș 2018: 209-214).

## Annexe 2 Découpage en actes

### 1. Sisteme de ecuații liniare

2. Metodele de rezolvare ale sistemelor de ecuații liniare se împart în două categorii:
3. - metode directe:
4. presupun obținerea soluției exacte a sistemului după un număr finit de operații elementare;
5. - metode iterative:
6. se bazează pe folosirea unei aproximării inițiale care se îmbunătățește de la o etapă la alta.
7. *1. Metoda lui Gauss*
8. Prezentăm în această secțiune cea mai simplă metodă directă de rezolvare a sistemelor de ecuații liniare,
9. numită *Metoda lui Gauss* sau
10. *Metoda eliminărilor succesive*.
11. Această metodă are la bază ideea transformării sistemului dat într-un sistem superior triunghiular sau trapezoidal prin eliminarea succesivă a necunoscutelor
12. și apoi folosirea procedeului de substituire inversă pentru rezolvarea sistemului obținut.
13. Considerăm un sistem de  $m$  ecuații și  $n$  necunoscute:
- 14.

$$(S) : \begin{cases} a_{11}x_1 + a_{12}x_2 + \dots + a_{1n}x_n = b_1 \\ a_{21}x_1 + a_{22}x_2 + \dots + a_{2n}x_n = b_2 \\ \dots \\ a_{m1}x_1 + a_{m2}x_2 + \dots + a_{mn}x_n = b_m \end{cases} .$$

15. Notăm cu

$$A = \begin{pmatrix} a_{11} & a_{12} & \dots & a_{1n} \\ a_{21} & a_{22} & \dots & a_{2n} \\ \dots & \dots & \dots & \dots \\ a_{m1} & a_{m2} & \dots & a_{mn} \end{pmatrix} \quad \text{și} \quad A^e = \begin{pmatrix} a_{11} & a_{12} & \dots & a_{1n} & b_1 \\ a_{21} & a_{22} & \dots & a_{2n} & b_2 \\ \dots & \dots & \dots & \dots & \dots \\ a_{m1} & a_{m2} & \dots & a_{mn} & b_m \end{pmatrix}$$

matricea coeficienților sistemului, respectiv matricea extinsă a sistemului.

16. Putem presupune că fiecare coloană a matricei [sic!] A este nenulă,
17. în caz contrar sistemul (S) putându-se înlocui cu un sistem cu număr mai mic de necunoscute.

### 18. *Definiția 1.1:*

19. i) Spunem că sistemului (S) i s-a aplicat o transformare elementară de tipul (I)

20. dacă sistemului i se permute două ecuații,

21. poziția celorlalte  $m-2$  ecuații rămânând nemodificată:

$$(S) : \begin{pmatrix} E_1 \\ \dots \\ E_i \\ \dots \\ E_j \\ \dots \\ E_m \end{pmatrix} \xrightarrow{(I)} (S') : \begin{pmatrix} E_1 \\ \dots \\ E_j \\ \dots \\ E_i \\ \dots \\ E_m \end{pmatrix}$$

22.

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23. Vom folosi notația

$$E_i \leftrightarrow E_j.$$

24. ii) Spunem că sistemului  $(S)$  i s-a aplicat o transformare elementară de tipul (II)

25. dacă o ecuație a sistemului se înmulțește cu o constantă nenulă,

26. celelalte  $m-1$  ecuații rămânând nemodificate:

27.

$$(S) : \begin{cases} E_1 \\ \dots \\ E_i \\ \dots \\ E_m \end{cases} \xrightarrow{(II)} (S') : \begin{cases} E_1 \\ \dots \\ \lambda E_i \\ \dots \\ E_m \end{cases}$$

28. Vom folosi notația

$$\lambda E_i.$$

29. iii) Spunem că sistemului  $(S)$  i s-a aplicat o transformare elementară de tipul (III)

30. dacă unei ecuații a sistemului i se adună o altă ecuație multiplicată cu o constantă nenulă,

31. celelalte  $m-1$  ecuații rămânând nemodificate:

32.

$$(S) : \begin{cases} E_1 \\ \dots \\ E_i \\ \dots \\ E_j \\ \dots \\ E_m \end{cases} \xrightarrow{(III)} (S') : \begin{cases} E_1 \\ \dots \\ E_i \\ \dots \\ E_j + \lambda E_i \\ \dots \\ E_m \end{cases}$$

33. Vom folosi notația

$$E_j + \lambda E_i.$$

**34. Definiția 1.2:**

35. Două sisteme de ecuații elementare  $(S)$  și  $(S')$  se numesc sisteme echivalente

36. dacă sistemul  $(S')$  se obține din sistemul  $(S)$  printr-un număr finit de transformări elementare de tipul (I), (II) sau (III).

37. Vom desemna acest lucru prin notația  $(S) \sim (S')$ .

**38. Observație:**

39. Relația “~” este o relație de echivalență pe mulțimea sistemelor de  $m$  ecuații liniare și cu  $n$  necunoscute.

**40. Teorema 1.3:**

41. Fie  $(S)$  și  $(S')$  două sisteme de  $m$  ecuații liniare și cu  $n$  necunoscute.

42. Dacă  $(S)$  și  $(S')$  sunt sisteme echivalente,

43. atunci  $(S)$  și  $(S')$  au aceleași soluții.

**44. Demonstrație:**

45. Înănd cont de definiția sistemelor echivalente,

46. precum și de observația anterioară,

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47. ne putem reduce la cazul în care  $(S')$  se obține din  $(S)$  printr-o singură transformare elementară de tipul (I),  
 48. (II)  
 49. sau (III).  
 50. În acest caz este evident că orice soluție a sistemului  $(S)$  este soluție și a sistemului  $(S')$ .  
 51. Pe de altă parte,  
 52. deoarece sistemul  $(S)$  se obține din sistemul  $(S')$  printr-o transformare elementară de tipul (I),  
 53. (II) sau  
 54. (III),  
 55. orice soluție a sistemului  $(S')$  este soluție a sistemului  $(S)$   
 56. și astfel teorema este demonstrată. ■  
 57. **Teorema 1.4**  
 58. - 63.

**Teorema 1.4:** Orică sistem  $(S)$  cu  $m$  ecuații liniare și  $n$  necunoscute este echivalent cu un sistem  $(\bar{S})$  de forma:

$$(\bar{S}): \left\{ \begin{array}{l} \bar{a}_{11}x_1 + \dots + \bar{a}_{1n}x_n = \bar{b}_1 \\ \bar{a}_{2k_2}x_{k_2} + \dots + \bar{a}_{2n}x_n = \bar{b}_2 \\ \bar{a}_{3k_3}x_{k_3} + \dots + \bar{a}_{3n}x_n = \bar{b}_3 \\ \dots \\ \bar{a}_{rk_r}x_{k_r} + \dots + \bar{a}_{rn}x_n = \bar{b}_r \\ 0 = \bar{b}_{r+1} \\ \dots \\ 0 = \bar{b}_n \end{array} \right.$$

unde  $\bar{a}_{11}, \bar{a}_{2k_2}, \bar{a}_{3k_3}, \dots, \bar{a}_{rk_r} \neq 0$  și  $1 < k_2 < k_3 < \dots < k_r$ .  $(\bar{S})$  se va numi forma triunghiulară a sistemului  $(S)$ .

64. **Demonstrație:** [...]

+22 acte = 86

87. **Observație:**

88. 1. Sistemul  $(S)$  este compatibil

89. dacă și numai dacă în forma  $(\hat{S})$  nu apar ecuații de forma  $0 = b_p$ , cu  $b_p$  nenul.

2. [...]

+ 11

100. **Exercițiul 1:**

101. Să se rezolve,

102. cu ajutorul metodei lui Gauss,

103. sistemul de ecuații liniare:

104.

$$\left\{ \begin{array}{l} x_1 + 3x_2 + 5x_3 - 4x_4 = 1 \\ x_1 + 3x_2 + 2x_3 - 2x_4 + x_5 = -1 \\ x_1 - 2x_2 + x_3 - x_4 - x_5 = 3 \\ x_1 - 4x_2 + x_3 + x_4 - x_5 = 3 \\ x_1 + 2x_2 + x_3 - x_4 + x_5 = -1 \end{array} \right.$$

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**105. Soluție:**

106. Vom folosi algoritmul descris în demonstrația *Teoremei 1.4* pentru a găsi forma triunghiulară a sistemului dat.

107. Cu ajutorul transformărilor elementare (I), (II) și (III) sistemul se poate scrie succesiv astfel:  
108.

$$\begin{cases} x_1 + 3x_2 + 5x_3 - 4x_4 = 1 \\ x_1 + 3x_2 + 2x_3 - 2x_4 + x_5 = -1 \\ x_1 - 2x_2 + x_3 - x_4 - x_5 = 3 \\ x_1 - 4x_2 + x_3 + x_4 - x_5 = 3 \\ x_1 + 2x_2 + x_3 - x_4 + x_5 = -1 \end{cases} \xrightarrow{\begin{array}{l} E_2 + (-1)E_1 \\ E_3 + (-1)E_1 \\ E_4 + (-1)E_1 \\ E_5 + (-1)E_1 \end{array}} \begin{cases} x_1 + 3x_2 + 5x_3 - 4x_4 = 1 \\ -3x_3 + 2x_4 + x_5 = -2 \\ -5x_2 - 4x_3 + 3x_4 - x_5 = 2 \\ -7x_2 - 4x_3 + 5x_4 - x_5 = 2 \\ -x_2 - 4x_3 + 3x_4 + x_5 = -2 \end{cases}$$

$$\xrightarrow{E_2 \leftrightarrow E_5} \begin{cases} x_1 + 3x_2 + 5x_3 - 4x_4 = 1 \\ -x_2 - 4x_3 + 3x_4 + x_5 = -2 \\ -5x_2 - 4x_3 + 3x_4 - x_5 = 2 \\ -7x_2 - 4x_3 + 5x_4 - x_5 = 2 \\ -3x_3 + 2x_4 + x_5 = -2 \end{cases} \xrightarrow{\begin{array}{l} E_3 + (-5)E_2 \\ E_4 + (-7)E_2 \end{array}}$$

$$\begin{cases} x_1 + 3x_2 + 5x_3 - 4x_4 = 1 \\ -x_2 - 4x_3 + 3x_4 + x_5 = -2 \\ 16x_3 - 12x_4 - 6x_5 = 12 \\ 24x_3 - 16x_4 - 8x_5 = 16 \\ -3x_3 + 2x_4 + x_5 = -2 \end{cases} \xrightarrow{\begin{array}{l} \frac{1}{8}E_3 \\ \frac{1}{8}E_4 \end{array}} \begin{cases} x_1 + 3x_2 + 5x_3 - 4x_4 = 1 \\ -x_2 - 4x_3 + 3x_4 + x_5 = -2 \\ 8x_3 - 6x_4 - 3x_5 = 6 \\ 3x_3 - 2x_4 - x_5 = 2 \\ -3x_3 + 2x_4 + x_5 = -2 \end{cases}$$

$$\xrightarrow{E_3 \leftrightarrow E_4} \begin{cases} x_1 + 3x_2 + 5x_3 - 4x_4 = 1 \\ -x_2 - 4x_3 + 3x_4 + x_5 = -2 \\ 3x_3 - 2x_4 - x_5 = 2 \\ 8x_3 - 6x_4 - 3x_5 = 6 \\ -3x_3 + 2x_4 + x_5 = -2 \end{cases} \xrightarrow{\begin{array}{l} E_4 + \left(\frac{8}{3}\right)E_3 \\ E_3 + E_4 \end{array}}$$

$$\begin{cases} x_1 + 3x_2 + 5x_3 - 4x_4 = 1 \\ -x_2 - 4x_3 + 3x_4 + x_5 = -2 \\ 3x_3 - 2x_4 - x_5 = 2 \\ -\frac{2}{3}x_4 - \frac{1}{3}x_5 = \frac{2}{3} \\ 0 = 0 \end{cases}$$

109. Putem acum să tragem următoarele concluzii:

110. sistemul dat este compatibil nedeterminat,

111.  $x_1, x_2, x_3, x_4$  sunt necunoscute principale,

112. iar  $x_5$  este necunoscută secundară.

113. Utilizând substituirea inversă găsim:

114.

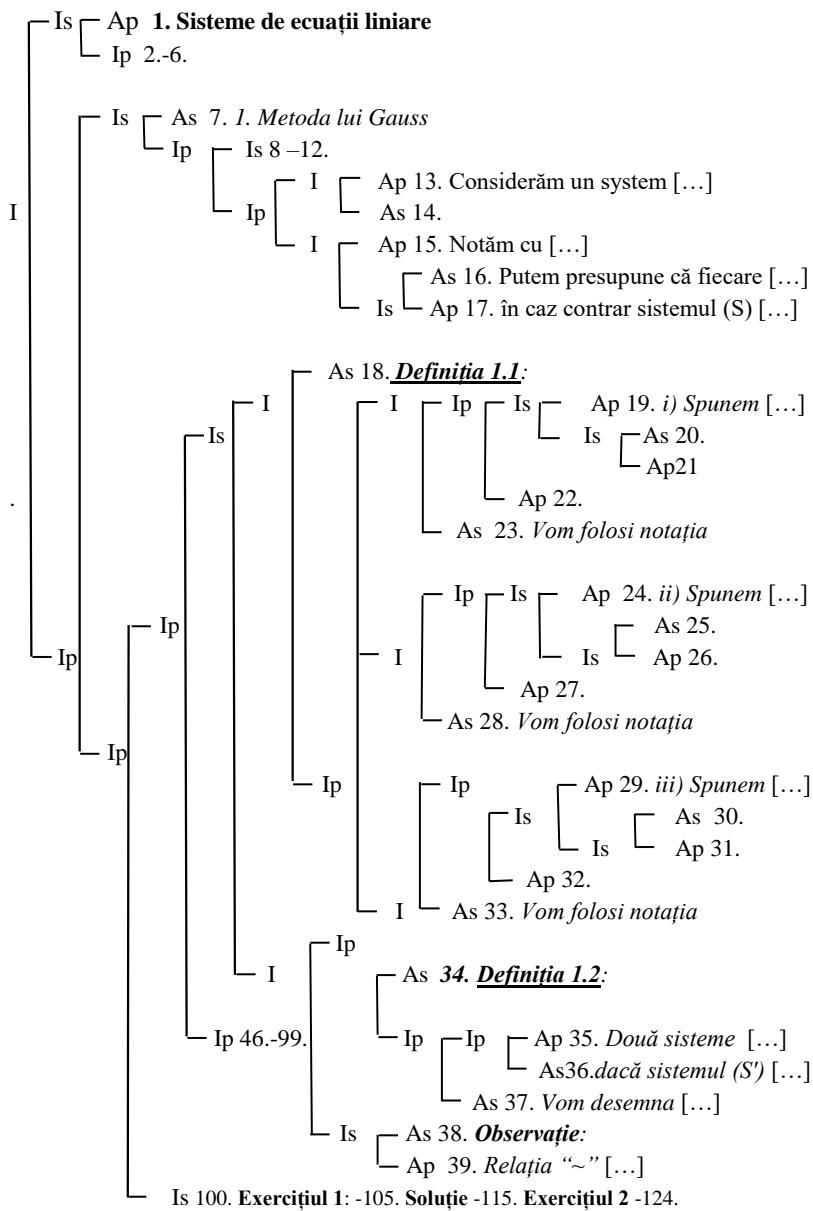
$$x_1 = -\frac{\alpha}{2}, \quad x_2 = -1 - \frac{\alpha}{2}, \quad x_3 = 0, \quad x_4 = -1 - \frac{\alpha}{2}, \quad x_5 = \alpha$$

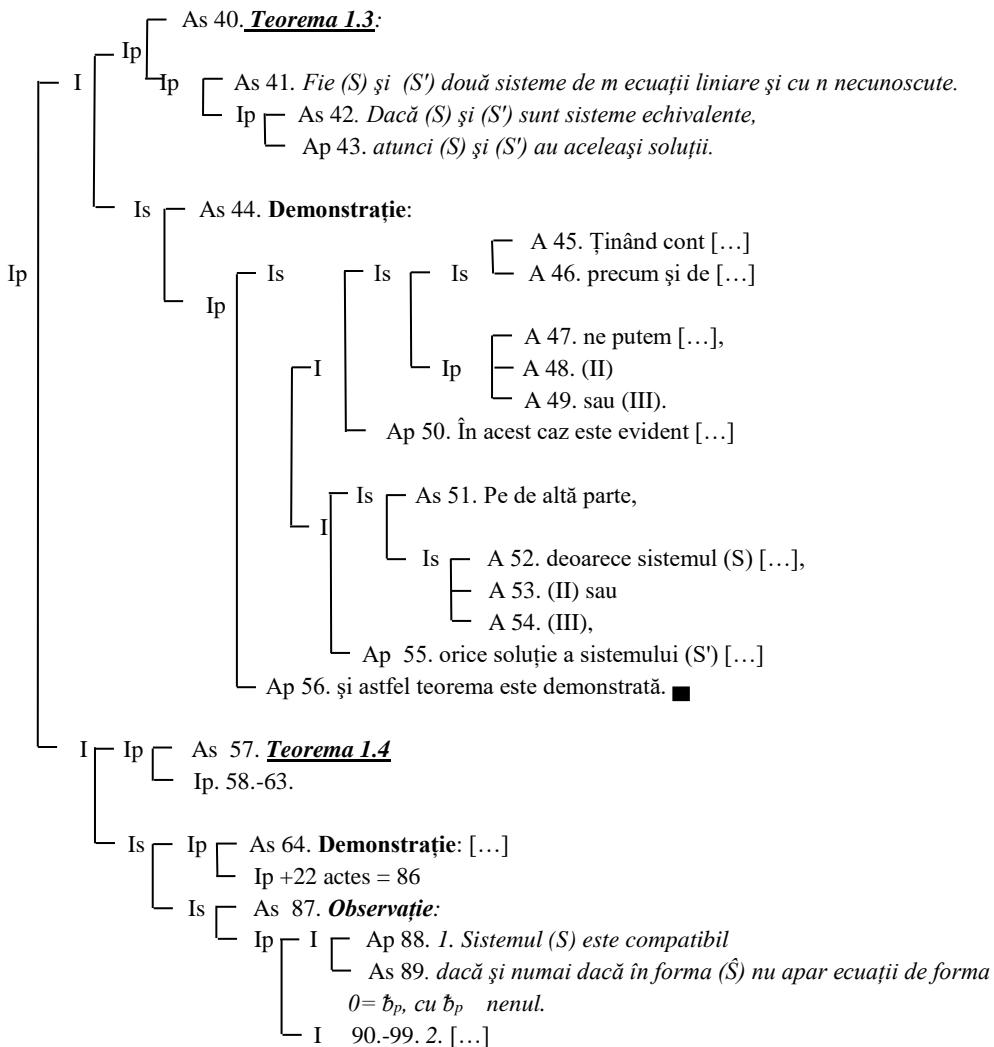
cu  $\alpha \in \mathbf{R}$ .  $\square$

**115. Exercițiu 2 [...]**

+9 = 124

### Annexe 3 Structure hiérarchique





Is 100. **Exercițiul 1:** -105. **Soluție** -115. **Exercițiul 2** -124.

#### Annexe 4 Informational Organisation

1. D Sisteme de ecuații liniare
2. L Metodele de rezolvare ale **sistemelor de ecuații liniare** [1: Sisteme de ecuații liniare] se împart în două categorii:
  3. L (2: Metodele de rezolvare) - metode directe:
  4. L (3: metode directe) presupun obținerea soluției exacte a sistemului după un număr finit de operații elementare;
  5. D+TC (2: Metodele de rezolvare) - metode iterative:
  6. L (5: metode iterative) se bazează pe folosirea unei aproximării inițiale care se îmbunătățește de la o etapă la alta.
7. D (3: metode directe) 1. Metoda lui Gauss
8. L Prezentăm în această secțiune **cea mai simplă metodă directă** [7: Metoda lui Gauss] de rezolvare a sistemelor de ecuații liniare,
9. L (8: cea mai simplă metodă directă) numită Metoda lui Gauss sau
10. TC (8: cea mai simplă metodă directă) Metoda eliminărilor succesive.
11. L+D (9-10: Metoda lui Gauss, Metoda eliminărilor succesive) Această metodă are la bază ideea transformării sistemului dat într-un sistem superior triunghiular sau trapezoidal prin eliminarea succesivă a necunoscutelor
12. TC+D (9-10: Metoda lui Gauss, Metoda eliminărilor succesive) și apoi folosirea procedeului de substituire inversă pentru rezolvarea sistemului obținut.
13. D Considerăm **un sistem** [11: sistemului dat] de m ecuații și n necunoscute:
14. L (13: un sistem)

$$(S) : \begin{cases} a_{11}x_1 + a_{12}x_2 + \dots + a_{1n}x_n = b_1 \\ a_{21}x_1 + a_{22}x_2 + \dots + a_{2n}x_n = b_2 \\ \dots \\ a_{m1}x_1 + a_{m2}x_2 + \dots + a_{mn}x_n = b_m \end{cases} .$$

15. TC Notăm cu

$$A = \begin{pmatrix} a_{11} & a_{12} & \dots & a_{1n} \\ a_{21} & a_{22} & \dots & a_{2n} \\ \dots & \dots & \dots & \dots \\ a_{m1} & a_{m2} & \dots & a_{mn} \end{pmatrix} \quad \text{și} \quad A^e = \begin{pmatrix} a_{11} & a_{12} & \dots & a_{1n} & b_1 \\ a_{21} & a_{22} & \dots & a_{2n} & b_2 \\ \dots & \dots & \dots & \dots & \dots \\ a_{m1} & a_{m2} & \dots & a_{mn} & b_m \end{pmatrix}$$

- matricea coeficienților **sistemului**, [ 13: un sistem] respectiv matricea extinsă a **sistemului** [13: un sistem].
16. L Putem presupune că fiecare coloană a **matricea** [sic !] A [15 : A] este nenulă,

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17. D în caz contrar sistemul **(S)** [14] putându-se înlocui cu un sistem cu număr mai mic de necunoscute.

18. L+D (7-17: Metoda lui Gauss) Definiția 1.1:

19. L+D<sup>18</sup> (18: Definiția 1.1) i) Spunem că sistemului **(S)** [14, 17] i s-a aplicat o transformare elementară de tipul (I)

20. TC dacă **sistemului** [sistemului **(S)**] i se permute două ecuații,

21. D poziția celorlalte **m-2 ecuații** [13: m ecuații] rămânând nemodificată:

$$(S) : \begin{cases} E_1 \\ \dots \\ E_i \\ \dots \\ E_j \\ \dots \\ E_m \end{cases} \xrightarrow{(I)} (S') : \begin{cases} E_1 \\ \dots \\ E_j \\ \dots \\ E_i \\ \dots \\ E_m \end{cases}$$

22. D **(S)** [14, 17, 19<sup>19</sup>]

23. L (22) Vom folosi notația

$$E_i \leftrightarrow E_j.$$

24.D (18: Definiția 1.1) ii) Spunem că sistemului **(S)** [14, 17, 19, 22] i s-a aplicat o transformare elementară de tipul (II)

25. L dacă o ecuație a **sistemului** [sistemului **(S)**] se înmulțește cu o constantă nenulă,

26. D celelalte m-1 [13: m ecuații] ecuații rămânând nemodificate:

27. D **(S)** [14, 17, 19, 22, 24]

$$(S) : \begin{cases} E_1 \\ \dots \\ E_i \\ \dots \\ E_m \end{cases} \xrightarrow{(II)} (S') : \begin{cases} E_1 \\ \dots \\ \lambda E_i \\ \dots \\ E_m \end{cases}$$

28. L (27) Vom folosi notația

$$\lambda E_i.$$

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<sup>18</sup> O dublă ancorare – topic implicit pentru ancorarea metaconceptuală (definiție) și trace topice pentru ancorarea conceptuală – frecvent la distanță, dar întotdeauna cu o trace topice explicită care facilită înlățuirea informației. Idem actele 24 și 29 §.a.

<sup>19</sup> Trimitere la prima ocurență a conceptului principal, dar și la ocurențele sale succesive. Idem 24 și 29 §.a.m.d.

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29. D (18: Definiția 1.1) iii) Spunem că sistemului **(S)** [14, 17, 19, 22, 24] i s-a aplicat o transformare elementară de tipul (III)

30. L dacă unei ecuații a **sistemului** [sistemului (S)] i se adună o altă ecuație multiplicată cu o constantă nenulă,

31. D celealte **m-1** [13: m ecuații] ecuații rămânând nemodificate:

32. D **(S)** [14, 17, 19, 22, 24, 27, 29]

$$(S): \begin{cases} E_1 \\ \dots \\ E_i \\ \dots \\ E_j \\ \dots \\ E_m \end{cases} \xrightarrow{(III)} (S'): \begin{cases} E_1 \\ \dots \\ E_i \\ \dots \\ E_j + \lambda E_i \\ \dots \\ E_m \end{cases}$$

33. L (32) Vom folosi notația

$$E_j + \lambda E_i.$$

34. D (7-17: Metoda lui Gauss) Definiția 1.2:

35. L+D (34: Definiția 1.2) Două sisteme de ecuații elementare **(S)** și **(S')** [21, 27, 32] se numesc sisteme echivalente

36. L (35: sisteme echivalente) dacă sistemul **(S')** se obține din sistemul **(S)** printr-un număr finit de transformări elementare de tipul (I), (II) sau (III).

37. TC Vom desemna **acest lucru** (35: sisteme echivalente) prin notația **(S) ~ (S')**.

38. L+D (34-37: Definiția 1.2) Observație:

39. L+D (38: Observație) Relația “~” [notația **(S) ~ (S')**] este o relație de echivalență pe mulțimea sistemelor de m ecuații liniare și cu n necunoscute.

40. D (7-17: Metoda lui Gauss) Teorema 1.3:

41. D Fie **(S)** și **(S')** [21, 27, 32, 35] două sisteme de m ecuații liniare și cu n necunoscute.

42. L Dacă **(S)** și **(S')** [41: două sisteme de m ecuații liniare și cu n necunoscute] sunt sisteme echivalente,

43. L (42) atunci **(S)** și **(S')** au aceeași soluții.

44. L+D (40-43) Demonstrație:

45. L+D (44: Demonstrație) Înănd cont de **definiția sistemelor echivalente** [35-36],

46. D+D (44: Demonstrație) precum și de **observația anterioară** [39-43],

47. L+D (45-46) ne putem reduce la cazul în care **(S')** se obține din **(S)** printr-o singură transformare elementară de **tipul (I)** [19-23],

48. TC+D (45-46) **(II)** [24-28]

49. TC+D (45-46) sau **(III)** [29-33].

50. L **În acest caz** [47-49] este evident că orice soluție a sistemului **(S)** este soluție și a sistemului **(S')**.

51. L (50) Pe de altă parte,

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52. L+D (51) deoarece sistemul (S) se obține din sistemul (S') printr-o transformare elementară de **tipul (I)** [19-23],  
 53. L+D **(II)** [24-28] sau  
 54. L+D **(III)** [29-33],  
 55. L+D (51-54) orice soluție a sistemului (S') este soluție a sistemului (S)  
 56. L și **astfel** [55] teorema este demonstrată. ■  
 57. D (7-17: Metoda lui Gauss) Teorema 1.4  
 58. - 63.

**Teorema 1.4:** Orice sistem (S) cu m ecuații liniare și n necunoscute este echivalent cu un sistem ( $\bar{S}$ ) de forma:

$$(\bar{S}): \left\{ \begin{array}{l} \bar{a}_{11}x_1 + \dots + \bar{a}_{1n}x_n = \bar{b}_1 \\ \bar{a}_{2k_2}x_{k_2} + \dots + \bar{a}_{2n}x_n = \bar{b}_2 \\ \bar{a}_{3k_3}x_{k_3} + \dots + \bar{a}_{3n}x_n = \bar{b}_3 \\ \dots \\ \bar{a}_{rk_r}x_{k_r} + \dots + \bar{a}_{rn}x_n = \bar{b}_r \\ 0 = \bar{b}_{r+1} \\ \dots \\ 0 = \bar{b}_n \end{array} \right.$$

unde  $\bar{a}_{11}, \bar{a}_{2k_2}, \bar{a}_{3k_3}, \dots, \bar{a}_{rk_r} \neq 0$  și  $1 < k_2 < k_3 < \dots < k_r$ . ( $\bar{S}$ ) se va numi forma triunghiulară a sistemului (S).

64. Demonstrație: [...]  
 +22 acte = 86  
 87. Observație:  
 88. 1. Sistemul (S) este compatibil  
 89. dacă și numai dacă în forma ( $\hat{S}$ ) nu apar ecuații de forma  $0 = b_p$ , cu  $b_p$  nenul.  
 2. [...]  
 + 11 acte = 99  
 100. D (7-17: Metoda lui Gauss) Exercițiul 1:  
 101. L (100) Să se rezolve,  
 102. L (101) cu ajutorul metodei lui Gauss,  
 103. L (102) sistemul de ecuații liniare:

$$\left\{ \begin{array}{l} x_1 + 3x_2 + 5x_3 - 4x_4 = 1 \\ x_1 + 3x_2 + 2x_3 - 2x_4 + x_5 = -1 \\ x_1 - 2x_2 + x_3 - x_4 - x_5 = 3 \\ x_1 - 4x_2 + x_3 + x_4 - x_5 = 3 \\ x_1 + 2x_2 + x_3 - x_4 + x_5 = -1 \end{array} \right.$$

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104. L (103)

105. L (100 : Exercițiu1) Soluție:

106. L+D (105) Vom folosi algoritmul descris în demonstrația **Teoremei 1.4** [57-63] pentru a găsi forma triunghiulară a sistemului dat.

107. L+D (106) Cu ajutorul transformărilor elementare **(I)** [19-23], **(II)** [24-28] și **(III)** [29-33] sistemul se poate scrie succesiv astfel:

108. L (107)

$$\begin{cases} x_1 + 3x_2 + 5x_3 - 4x_4 = 1 \\ x_1 + 3x_2 + 2x_3 - 2x_4 + x_5 = -1 \\ x_1 - 2x_2 + x_3 - x_4 - x_5 = 3 \\ x_1 - 4x_2 + x_3 + x_4 - x_5 = 3 \\ x_1 + 2x_2 + x_3 - x_4 + x_5 = -1 \end{cases} \xrightarrow{\begin{array}{l} E_2 + (-1)E_1 \\ E_3 + (-1)E_1 \\ E_4 + (-1)E_1 \\ E_5 + (-1)E_1 \end{array}} \begin{cases} x_1 + 3x_2 + 5x_3 - 4x_4 = 1 \\ -3x_3 + 2x_4 + x_5 = -2 \\ -5x_2 - 4x_3 + 3x_4 - x_5 = 2 \\ -7x_2 - 4x_3 + 5x_4 - x_5 = 2 \\ -x_2 - 4x_3 + 3x_4 + x_5 = -2 \end{cases}$$

$$\xrightarrow{E_2 \leftrightarrow E_5} \begin{cases} x_1 + 3x_2 + 5x_3 - 4x_4 = 1 \\ -x_2 - 4x_3 + 3x_4 + x_5 = -2 \\ -5x_2 - 4x_3 + 3x_4 - x_5 = 2 \\ -7x_2 - 4x_3 + 5x_4 - x_5 = 2 \\ -3x_3 + 2x_4 + x_5 = -2 \end{cases} \xrightarrow{\begin{array}{l} E_3 + (-5)E_2 \\ E_4 + (-7)E_2 \end{array}}$$

$$\begin{cases} x_1 + 3x_2 + 5x_3 - 4x_4 = 1 \\ -x_2 - 4x_3 + 3x_4 + x_5 = -2 \\ 16x_3 - 12x_4 - 6x_5 = 12 \\ 24x_3 - 16x_4 - 8x_5 = 16 \\ -3x_3 + 2x_4 + x_5 = -2 \end{cases} \xrightarrow{\begin{array}{l} \frac{1}{2}E_3 \\ \frac{1}{8}E_4 \\ -8 \end{array}} \begin{cases} x_1 + 3x_2 + 5x_3 - 4x_4 = 1 \\ -x_2 - 4x_3 + 3x_4 + x_5 = -2 \\ 8x_3 - 6x_4 - 3x_5 = 6 \\ 3x_3 - 2x_4 - x_5 = 2 \\ -3x_3 + 2x_4 + x_5 = -2 \end{cases}$$

$$\xrightarrow{E_3 \leftrightarrow E_4} \begin{cases} x_1 + 3x_2 + 5x_3 - 4x_4 = 1 \\ -x_2 - 4x_3 + 3x_4 + x_5 = -2 \\ 3x_3 - 2x_4 - x_5 = 2 \\ 8x_3 - 6x_4 - 3x_5 = 6 \\ -3x_3 + 2x_4 + x_5 = -2 \end{cases} \xrightarrow{\begin{array}{l} E_4 + \left(\frac{8}{3}\right)E_3 \\ E_5 + E_3 \end{array}}$$

$$\begin{cases} x_1 + 3x_2 + 5x_3 - 4x_4 = 1 \\ -x_2 - 4x_3 + 3x_4 + x_5 = -2 \\ 3x_3 - 2x_4 - x_5 = 2 \\ -\frac{2}{3}x_4 - \frac{1}{3}x_5 = \frac{2}{3} \\ 0 = 0 \end{cases}$$

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109. L (108) Putem acum să tragem următoarele concluzii:  
110. L (109: concluzii) sistemul dat este compatibil nedeterminat,  
111. TC (109: concluzii)  $x_1, x_2, x_3, x_4$  sunt necunoscute principale,  
112. TC (109: concluzii) iar  $x_5$  este necunoscută secundară.

113. D (108) Utilizând substituirea inversă găsim:

114. L (113: substituirea inversă)

$$x_1 = -\frac{\alpha}{2}, \quad x_2 = -1 - \frac{\alpha}{2}, \quad x_3 = 0, \quad x_4 = -1 - \frac{\alpha}{2}, \quad x_5 = \alpha$$

cu  $\alpha \in \mathbf{R}$ .  $\square$

115. D (7-17: Metoda lui Gauss) Exercițiul 2 [...]  
 $+9 = 124$

# **ROMANIAN LANGUAGE IN PREPARING AND EVALUATING STUDENTS**

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## **Abstract:**

Assessing students' skills in the Romanian language graduation exams has become a topic of discussion for a large part of the population. Students, parents, and assessors hear about this topic during the simulations of these exams, during regular or special sessions. Most of the time the difficulty of the exam is not given by the complex assessment of the previously taught contents, but by the ambiguous tasks of the subjects in the exams.

We therefore, intend on the one hand, to make a pragmatic analysis of the topics proposed for the national exams and on the other hand, to compare them with the exercises in the alternative textbooks, which should be effective tools in preparing students for the graduation exams.

The aim of this study is to identify at least some of the system's errors and to suggest a series of solutions that will help teachers to better prepare their students for the graduation exams (both 8th and 12th graders).

## **Keywords:**

Graduation, language skills, assessment, interrogations, pragmatics.

## **1. Key Points**

Romanian language is tested almost every year when 8th graders and 12th graders have to take the so-called national exams. Mistakes, not only in the tasks of the exam subjects, but also in the assessment grids have often been identified, which questions the linguistic (sometimes logical) language skills of those who develop these examination subjects on behalf of the Ministry of Education.

Some representatives of the teaching staff both in the pre-university and university education systems draw attention to the importance that experts proposing such tasks should give to the subject-making process.

Mrs. Rodica Zafiu, a professor at the University of Bucharest, reacted to this problem some time ago, as a lot of people do nowadays. Mrs. Zafiu is a distinguished linguistic researcher with skills in analyzing political and public discourse, rhetoric and argumentation and she is famous both in the pre-university and university education systems.

We extract both for analysis and as a theoretical support in our subsequent demonstrations, a paragraph from an article by Mrs. Rodica Zafiu, published in the famous section she signs - *Inappropriate words*, in the cultural supplement of the “Dilema Veche”:

*"The comprehension of the text (part of the reading-comprehension exam is developed by good authors who write tests for the foreign languages exams) has special techniques and criteria that cannot be formally and externally imitated: the questions must aim precise details, thus assessing the degree of connection and integration of information, being based on attention and deduction"<sup>1</sup>.* (Note that we are the authors of the bold part of the text).

This passage points very well to the issue of assessment tests in national exams. They must consist of questions that are well and carefully formulated. However, if we try to search information using the tools available for the needed sites, we find out that the subjects in the graduation examinations for the secondary school and high school students in previous years, as well as the subjects from the simulation exam in the current year... no longer contain questions, but syntactic structures in the form of statements, with a predicative verb in the imperative, which always start with verbs of action / command.

We are of the opinion that if these tasks had an interrogative structure, they would be much clearer, much easier to be understood by the students who are evaluated, and obviously there would be a significant increase in the percentage of promoting these exams. Moreover, if the authors of the

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<sup>1</sup> Rodica Zafiu, 2014, „Improvisations”, in *Dilema Veche*, no. 542, 3rd-9th July 2014, p. 4.  
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alternative textbooks took this thing into account, they would lead to a better preparation of the students in order to get a positive result, including those who are expected to fail the graduation exams.

## **2. Romanian Language and Literature exams and public opinion**

When "material mistakes", as the authors of the subjects like to call them, appear in the examination subjects, representatives of parents' associations or members of student associations express their opinion through various media. Some of them are revolted and blame the teachers, even though the teachers are the ones who prepare the students for exams, not the ones who propose the exam subjects.

Although mass-media and social media show a lot of people's opinions about how many graduate students fail to get a baccalaureate diploma, nothing is said about checking the cracks in the education system. No one is questioning the educational ideal, the curricula and their contents, the number of classes needed to accomplish the course, the number of students in the often overcrowded classes, the textbooks which are not updated according to criteria that will turn them into efficient working tools and, above all, no one talks about the relationship between the tasks in the exam subjects and the tasks the students are used to when in class.

Many commentators, becoming "specialists" overnight, talk about how many funny mistakes have been discovered in the students' exam papers, others talk about how difficult or accessible the subjects were. Usually, at least two camps are outlined. Some are at students' side, others blame the teachers, but in the end, they all agree that the education system is to blame.

The vast majority of those who analyse the phenomenon consider that the baccalaureate exam, like any other graduation exam, should reflect the students' level of knowledge and many are those who look into the topic from a perspective or another, especially when these exams are due.

## **3. What do specialists in psychopedagogy say about evaluation?**

It is true that there are few people who believe that this test should be a test for the Romanian education system as well, and among them even fewer see this examination as an internal mechanism of the system, meant to improve it, as this is the experts' approach to evaluation. Thus, one of the roles

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of evaluation is self-regulation, as we see in the paper "Pedagogy and Elements of School Psychology", coordinated by Elena Joita:

*"The role or the regulatory function is very important for the entire teaching activity, leading to the adjustment of the evaluation itself - therefore becoming the pedagogic function that can be attributed to the evaluation itself."<sup>2</sup>*

When will we see public debates in the media pointing out the relevance of evaluations in the national exams and their concordance with didactic approaches during a school cycle? These public debates could outline a national educational strategy, agreed by all political actors.

So far, it seems that decision-makers in the hierarchical line of education have been more interested in making the human resources more efficient and have introduced extra classes for "remedial education", as we can also find in a statement by the current Minister of Education, taken over by news agencies:

*"For several years now, the percentage of those who do not get 5 in the 8th grade national examination has increased alarmingly. (...) We cannot ignore these results. I have therefore considered ways of improving these results so that the students would not take the consequences of this lack of preparation for the rest of their life. Assessments from the Ministry of Education show that this gap begins in the third grade. What can we do? Let's try to introduce "remedial education" so that the students who cannot keep up with the school curriculum receive help and catch up with the others."*<sup>3</sup> (our emphasis)

As far as we can see, the only problem identified by the Minister of Education is "not keeping up", as the lady responsible for identifying and solving problems in the education system states; as for the question "What

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<sup>2</sup> Elena Joita, Vasile Ilie, Mihaela Vlad, Ecaterina Frăsineanu, 2003, *Pedagogy and Elements of School Psychology*, Bucharest: Arves Publishing House, p. 264.

<sup>3</sup> Social Department – Mediafax, *Andronescu introduces „remedial sessions” for the students with poor grades*. The extra classes might start..., Bucharest, 14th Dec 2018, retrieved from: <https://www.mediafax.ro/social/andronescu-anunta-cursuri-remediale-pentru-elevii-cu-rezultate-slabe-la-scoala-de-cand-ar-putea-incepe-orele-suplimentare-17786270>

should be done?" the proposed solution is "to introduce remedial sessions", that is extra classes for students.

We can therefore wonder: "Do we have to find the solution to" what should be done? "or would it be better to find out what went wrong in the whole process". It is because this has been going on for a long time. Of course, another question arises: why doesn't the system adjust itself?

We might have unrealistic expectations regarding the goals of education. Maybe we are too far away from the theories of pedagogy and didactics.

More than ten years ago, Florin Frumos stated that in the contemporary Romanian pedagogy the issue concerning the goals of education is disputed by two complementary subjects - didactics and curriculum theory, as we can see in the following statement:

*"The problem of education goals is today dealt with in pedagogy from a double perspective: didactics and curriculum theory [...] In what concerns the goals, we find ourselves in the normative, anticipative, desirable dimension of education."*<sup>4</sup>

Going back to the issue of national exams, we can question the fact that there is too much to learn in point of content and that some students cannot keep up with it only by attending the classes allocated to the exam subject. Should therefore extra classes be introduced? If so, this means that there are students who do not stand a chance of passing the exams from the beginning of the school year. But if the number of those who do not promote is alarmingly high, aren't we the ones who set unrealistic goals for our students? I mean, is this issue related only to the curriculum theory?

Pedagogy and curriculum theory specialists draw attention to the fact that those who choose the content for different school curricula must constantly investigate whether they help achieve the educational goal and whether they are needed in everyday life. Such a discourse is also found in Constantin Cucos's paper, "Pedagogy":

*"Those who are responsible for setting educational curricula need to constantly investigate the effectiveness of the content,*

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<sup>4</sup> Florin Frumos, 2008, „The Goals of Education”, in Constantin Cucoş (coord.), *Psychpedagogy for the Definitiv and Didactic Exams*, Revised Second Edition, Iaşi: Polirom, pp. 163-164.

*what their value in accessing new informational elements is, what the share of educational values-purpose is and what the share of educational values - means is, that is, the value of the content that needs to be learnt in order to be used in a reality that is constantly changing".<sup>5</sup>*

Starting from the statements of the psychopedagogic or philology specialists mentioned above, and referring to the exam subjects proposed both for exam simulations and the exams themselves, we can anticipate some conclusions.

Therefore, we can take into account three situations, none of which are desirable, because any of them would lead to the predictable failure of most of the students facing the graduation exam.

Firstly, the experts who design the school curricula do not consider the skills and the content that are to be assessed and, when students get evaluated, most of them fail the exams.

This first option is possible in an education system in a continuous process of change, and in the Romanian education system we often hear people talking about its reformation.

The second situation aims the specialists who facilitate learners acquiring skills and content, "textbook authors" or simply teachers who neither report correctly to the school curricula, nor report properly to the evaluation topics at the end of the school cycle and do not use the most appropriate methods to develop the students' skills that are necessary to pass the exams. Therefore, most of the graduates fail the exams.

We cannot say much about the teachers' classroom activity because we cannot make an accurate analysis of their didactic approaches. We could not use the quantitative research methods as the workload would often exceed the physical capacity of a person, and the analysis of a target group established according to various criteria would lead to generalizations that would be far from the reality of the Romanian education system.

However, the products of textbook authors are available to all of us and can be analyzed from the point of view of fidelity to school curricula and by reference to the subjects in the national exams. Obviously, even in this case, research will not be exhaustive, but it will focus on the most commonly used textbooks.

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<sup>5</sup> Constantin Cucoş, 2006, *Pedagogy*, Revised Second Edition, Iaşi: Polirom, p. 206.

The third situation is the one in which we assume that the experts who propose final exam subjects neither take into account the skills and the contents in the school curricula, nor consider the tools with which the facilitators operate - the alternative school textbooks.

We believe that students should find items similar to those in the national exams in all the alternative textbooks that they use throughout the school cycle as learning tools, as they should not only get familiar with the types of tasks required in the exams, but also to understand their approach and, obviously, their role.

#### **4. A pragmatic analysis of the graduation exams subjects**

We all agree that in order for an exam subject to be properly approached by a high school student, it should first be thoroughly understood. In the subject of "Language and Literature", "text comprehension" is one of the main goals.

For a good understanding of the demonstrations to be made below, some clarifications should be made. "Text comprehension" is covered in the curricula for the high school cycle by two general competence- one being common to the 9th and 10th grades, the other being common to the 11th and 12th grades. Each of the two general competencies have a specific competence for each year of study, as shown in the table<sup>6</sup> below.

<b>General Competence</b>		<b>General Competence</b>	
A correct and proper use of Romanian language in receiving and producing messages in different communication situations		Texts comprehension and interpretation	
<b>Specific competence</b>		<b>Specific competence</b>	
9th grade	To appropriately use the linguistic acquisitions in receiving various texts	11th grade	To use reading strategies in order to understand the texts which are being studied
10th grade	To appropriately understand the meaning (s) of a message sent through different types of oral or written texts	12th grade	To adapt reading strategies to the specifics of the literary texts in the curriculum, with the aim of a personal understanding and interpretation

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<sup>6</sup>The information in the table is taken from the school curricula in effect for high school classes.

We mentioned above an article where Mrs. Rodica Zafiu explains her view of a suitable item for assessing 'text comprehension'. In the author's view, it should be written in the form of an interrogative statement requesting accurate information ("questions must be directed to precise details," the author said in her article, suggestively entitled "Improvisations"<sup>7</sup>).

Starting with 2014, when Mrs. Rodica Zafiu's article was published, and until the 2019 national exams (National Assessment and Baccalaureate Exam), not only 'text comprehension', but all competence found in school curricula and discipline examination programs Romanian Language and Literature are evaluated by means of items formulated with a punctuation specific to assertions but using an imperative; they are false-imperative though, because it resembles the interrogative statements, while requesting information from the student.

Taking a closer look at the items aiming towards "text comprehension skills," we find that these are found within Subject I, A both in the topics proposed as a model for the baccalaureate exam in the current school year, and in the topics proposed for the preliminary preparation of this exam organized in March 2019.

Part A in Subject I consists of five items that are solved on the basis of understanding the message from a support text.

Let us take a look at the task of the "model subject"<sup>8</sup> for the Baccalaureate Exam in the exam sessions to be held in 2019 and which should be a benchmark for individual or classroom training:

- (1) Indicate the meaning of the sequence "we cannot overlook".
- (2) Mention the name of a building subject to the restoration process, by reference to the given text.
- (3) Explain the author's attitude when he returns to Vienna, as is apparent from the first paragraph of the text; motivate your answer using a significant sequence.
- (4) Explain why the play "Tristan and Isolde" makes the author feel confused.

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<sup>7</sup> Rodica Zafiu, 2014, „Improvizații”, Dilema Veche, no. 542, 3-9 July 2014, p. 4.

<sup>8</sup> The sample subject for the written exam in the Romanian Language and Literature course can be consulted on the Baccalaureate Exam Exam website at [http://subiecte.edu.ro/2019/bacalaureat/modelledesubiecte/probescrise/Bac\\_2019\\_E\\_Limba\\_si\\_litteratura\\_romana\\_modele.zip](http://subiecte.edu.ro/2019/bacalaureat/modelledesubiecte/probescrise/Bac_2019_E_Limba_si_litteratura_romana_modele.zip)

- (5) Explain, in 30-50 words, a feature of the Viennese, which is shown in the support text.

The issues raised by these items are multiple. First of all, we note that they are not formulated in interrogative statements. Then, on a more careful reading, we discover some semantic and even logical issues that we will try to analyze below.

It should be mentioned that the Ministry of Education proposes subjects for the preliminary preparation<sup>9</sup> of the Baccalaureate Exam in 2019, according to the structure of the model presented at the beginning of the current school year as we can see below:

- (6) Indicate the meaning of the sequence "to acquire his teachings".
- (7) Starting from the support text name the place the character comes from to follow high school in Bucharest.
- (8) Name a feature of an authentic mathematician; motivate your answer using a relevant sequence in the text.
- (9) Explain why Professor Banciu meant more to the author than to his colleagues.
- (10) Explain, in 30-50 words, the transformation that students in the first semester of the 5th grade go through, referring to the support text.

The similarity of the two groups of items is given by the action or command verbs: indicate, specify, explain. The wording of the requirement using the imperative but requesting information has become almost traditional in the teaching process, both in the speech of some teachers and in the discourse used in textbooks.

In our opinion, tasks (1) and (6) would be much clearer and simpler if they had an interrogatory structure such as:

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<sup>9</sup> The sample subject for the preliminary preparation written exam in the Romanian Language and Literature course can be consulted on the Baccalaureate Exam website at [http://subiecte.edu.ro/2019/simulare/simulare\\_bac\\_XII/E\\_a\\_XII\\_limba\\_romana\\_2019\\_simulare\\_varianta\\_si\\_barem.zip](http://subiecte.edu.ro/2019/simulare/simulare_bac_XII/E_a_XII_limba_romana_2019_simulare_varianta_si_barem.zip)

- (1a) What is the meaning / meaning of the sequence "we cannot overlook"?
- (6a) What is the meaning / meaning of the sequence "to acquire his teachings"?

We believe that statements (1a) and (6a) are more natural and more appropriate to the didactic discourse, especially the one aimed at the evaluation, not the formation of new competence, or the teaching of new content, didactic approaches that involve action and within which instructions can be given in order to get the student to act.

In the *Grammar of the Romanian Language*, in the chapter called *Types of statements according to the purpose of the communication*, by Andra Vasilescu and Ileana Vântu, we find that these types of imperative structure involve some aspects which, in our view, should not be used in an item at a national evaluation exam. Here is what the above-mentioned authors said:

*"By using imperative structures in order to ask a question, the speaker assumes a discursive position superior to the interlocutor, exerting a pressure on the answer"*<sup>10</sup>.

The wording of the two tasks - (1) and (6), also raises issues of a semantic nature. According to the *Dictionary of the Romanian Language*<sup>11</sup>, the second meaning of the definition is totally inappropriate to the context, and the first meaning is also quite difficult to accept in the wording of those tasks. Here's the definition:

**INDICÁ**, indic, vb. I. Trans. 1. To show someone or something; to make known, to signal. 2. Recommend, prescribe (treatments, medications, etc.). - From fr. indiquer, lat. indicare.

It would have been possible to have a semantic equalization of the verb "to indicate" with the phrase "to make known", if the authors of the dictionary had not specified that the meaning of "to make known" is "to signal".

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<sup>10</sup> Valeria Gutu Romalo, coord., 2005, *Grammar of Romanian Language* (GALR), vol. 2, Bucharest: Editura Academiei Române, p. 44.

<sup>11</sup> Ion Coteanu, Luiza Seche, Mircea Seche, coord., 1996, *Explanatory Dictionary of Romanian Language*, (DEX), 2nd Edition, Bucharest: Editura Univers Enciclopedic, s.v. *indica*.

If we tried to replace the verb explain with the verb "to indicate" (something), the latter would have been used improperly because, by looking at the same dictionary, we find the author clearly states that the meaning equalized with the verb "to indicate" also shows the execution of a gesture (possibly by hand or finger only) on the part of the person showing / indicating, as we see in the dictionary definition<sup>12</sup>, and this is obviously impossible in the case of a written exam. Here's the DEX definition:

**ARĂTA**, arăt, vb. I. 2. Trans. *Indicate (by a gesture) the person or work on which attention is drawn.* ♦ Phr. *To show (someone) the door = to show (someone) out of a place. To point to someone, it is said of someone whom the world despises for his deeds.* ♦ *Indicate a measure, a direction, etc.* ♦ *To indicate the time, minutes and seconds.*

Similar problems are identified in the other imperative verbs in the complete set of five requirements. Thus, the verb "to mention"<sup>13</sup> would have a meaning in the series of the following verbs: to signal, to remember, or to the series, to mention to note, coming from fr. *mentionner*. It is obvious that a replacement with these semantic equivalents in the context used is quite difficult to accept. And if we looked at a dictionary of synonyms<sup>14</sup>, we would discover other interesting equivalents of the verb "to mention", such as the similarity of this verb with the verb to indicate:

**MENTIONÁ** vb. 1. v. *mention*. 2. *record, specify, specify*. 3. v. *indicate*

The primary meaning - remember, indicated by this dictionary cannot replace it in the context of mentioning, because it is unacceptable to believe that the assessor can ask the candidate to remind him "the name of a building undergoing the restoration process" nor "the name of place of which the author comes to Bucharest". We can exclude the second meaning as inappropriate in the context because the authors provide a context that clarifies the correct meaning of the synonyms, and the third meaning - to

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<sup>12</sup> *Ibidem, s.v. arăta.*

<sup>13</sup> *Ibidem, s.v. menționa.*

<sup>14</sup> Mircea Seche, Luiza Seche, 2002, *Dictionary of Synonyms*, Bucharest: Editura Litera Internațional, s.v. *mentioná*.

indicate, would mean to return to the previous debate, in which the word is equivalent to the verb to point (by using your hand/finger).

Now let us see how simple it would be if statements (2) and (7) were converted into interrogative structures? Not only it would clarify the issue, but it would be very natural, appropriate to the didactic discourse that the evaluation implies. This is how the two statements would look like:

- (2a) *What is the name of one of the buildings undergoing the restoration process, mentioned in the text?*
- (7a) *What is the name of the place the character comes from to follow high school in Bucharest, mentioned in the text?*

I did not accidentally bold the final part of each statement. These are unnecessary and add to the requirement, because before the requirements there is a clarification on the five items: "Write the answer to each of the following requirements on the exam sheet."

We find interesting the use of the structure "explain the reason" in statements (4) and (9). If we put together the definitions of the two words, we make a surprising discovery:

**EXPLICÁ**, **explic**, vb. I. Trans. Making it easier to understand; to clarify.

**MOTIVUL** n. I. Reason, cause of action; the impulse that pushes action or causes action; mobile.

If we replace in sentences (4) and (9) the structure "explain the reason" with, let us say, "clarify / make the cause easier to understand"

- (4a) Explain / Make it easier to understand why the play "Tristan and Isolde" makes the author feel confused.
- (9a) Explain / Makes it easier to understand why Professor Banciu meant more to the author than to his colleagues.

We are convinced that the authors of the two items wanted the students to understand something else, especially since the suggested answer given in the correction table is:

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(4 - suggested answer) The author is puzzled by the interventions at the end of "Tristan and Isolde"<sup>15</sup>.

(9 - suggested answer) The author followed a career in mathematics / the mathematics professor was his role model<sup>16</sup>;

If we converted the structure "explain the reason" into "what is the reason", the statements (4) and (9) would be much clearer and simpler. This way the answers could easily be deduced, as Mrs. Rodica Zafiu suggested - "the questions must be aimed at precise details, [...] be based on attention and deduction."<sup>17</sup>

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<sup>15</sup> National Baccalaureate Exam 2019, Part E. a) Romanian Language and Literature, Assessment and Note Bars Model. [http://subiecte.edu.ro/2019/bacalaureat/modeledesubiecte/probescrise/Bac\\_2019\\_E\\_a\\_Limba\\_si\\_literatura\\_romana\\_modele.zip](http://subiecte.edu.ro/2019/bacalaureat/modeledesubiecte/probescrise/Bac_2019_E_a_Limba_si_literatura_romana_modele.zip)

<sup>16</sup> National Baccalaureate Exam 2019, Part E. a) Romanian Language and Literature, Class XII, Assessment and Memo Bars, Simulation. [http://subiecte.edu.ro/2019/simulare/simulare\\_bac\\_XII/E\\_a\\_XII\\_limba\\_romana\\_2019\\_simulare\\_varianta\\_si\\_barem.zip](http://subiecte.edu.ro/2019/simulare/simulare_bac_XII/E_a_XII_limba_romana_2019_simulare_varianta_si_barem.zip)

<sup>17</sup> Rodica Zafiu, *art. cit.*

**Website:**

For the sample subject for the preliminary preparation written exam in the Romanian Language and Literature course can be consulted on the Baccalaureate Exam website at  
[http://subiecte.edu.ro/2019/simulare/simulare\\_bac\\_XII/E\\_a\\_XII\\_limba\\_romana\\_2019\\_simulare\\_varianta\\_si\\_barem.zip](http://subiecte.edu.ro/2019/simulare/simulare_bac_XII/E_a_XII_limba_romana_2019_simulare_varianta_si_barem.zip)

For the sample subject for the written exam in the Romanian Language and Literature course can be consulted on the Baccalaureate Exam website at  
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# **CONFLUENCES**

## **THE BEHAVIOURAL NORM A EUROPEAN INSTITUTION**

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### **Abstract:**

The article is a review of several types of European human models for the purpose of identifying a common standard of behaviour, namely, measure, temper, moderation.

The European model of behaviour is based on the formative principle of moderation.

Measure and moderation have been, in the European space, over the centuries, the defining features of the ideal of man, of the human model of a certain era or of a certain society.

Beyond the "shell's transformations", European behaviour remains true to the founding and formative principle of Christian moderation, measure and morals, while man's aspirations remain almost the same, even if aspects have changed.

### **Keywords:**

Behaviour, European, norm, moderation, moral, Christian, the Middle Ages, model.

There is something that dies in us, as there is something that survives. Same with Europe. Despite wars, fanaticism, nationalism, it kept its *faith*, a constant feeling in which pain and pleasure are dominated by a rational heart. Obviously, the faith is the faith in love, love of the neighbour, the love of beauty, good and truth, the love of life. The European space is definitely marked since the beginnings by rationalism and philosophy, by the desire for harmony and balance, in a word, by the ideal of perfection. In the pursuit of perfection, man takes the same paths: philosophy, religion, norm of behaviour. Convention or not, the norm of behaviour represented for the

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European man a possibility of overcoming the human faith, but also a "key", "a solution for achieving efficiency<sup>1</sup> in modern times.

Regardless of the function that the behaviour standard has assumed in a certain period of European cultural history, it is a constant of the European behaviour based on politeness, seriousness, measure, temperance, *moderation*. Through *measure*, *temperance*, *moderation*, we find ourselves within the European tradition. Let us examine the great books on behaviour (books of wisdom) and the practical handbooks about moderation.

European par excellence, the rhetoric was born in Sicily in the 5th century BC. By being formalized in Greece by the Sophists - from Gorgias to Socrates and especially to Aristotle, through its Latin institution: Cicero and Quintilian, through its transmission during the Middle Ages, through its flourishing during the Renaissance, the art of persuading has accompanied the whole development of modern Europe. St. Augustine and Erasmus were great Europeans and, at the same time, eminent professors of rhetoric. Until recently, only a man filled with rhetoric in general and with behavioural rhetoric in particular could be considered European.

In *On Duties* (XXVII), Cicero included among the components of a beautiful conduct the temperance, the modesty, the complete silence of the soul's disturbances, and the measure of deeds. Following tradition, over centuries, Pico della Mirandola, in his book *On the Dignity of Man*, proposed the following precept, "nothing too much" (again, the appeal to moderation). Therefore, the European model of behaviour is based on the formative principle of moderation. The measure, the moderation has been, over the centuries, the defining features of man's ideal, of the human model of a certain era or of a particular society. The Middle Ages had the knight and the saint as a model, the latter soon becoming under the impact of Scholasticism, the wise. These two models are at the origins of European civilization, which has inspired itself from the experience of Antiquity where the Greek philosopher appeared, and they return, under various shapes, along the stages covered by the culture of the old continent or, as Johan Huizinga handsomely says, in *The Twilight of the Middle Ages*,

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<sup>1</sup> Antoaneta Tănasescu, 2003, p. 34.

*"In the course of the successive transformations of the ideal, a cover has stood out each time, which had become a lie"<sup>2</sup>. The wise and the knight appeared in the Byzantine<sup>3</sup> civilization and the Western Middle Ages, so that they would return during Renaissance and afterwards under new shapes.*

During Renaissance, the knight appears constantly in the royal courts and at the papal court that seeks to gather in itself the temporal and spiritual power. In the court of the duke of Urbino, Rafael and Castiglione work together. The knight, who has strayed through the world to establish justice with his sword, becomes a parody subject in the writings of Pulci and Boiardo. In *The Book of the Courtier*, Baldassare Castiglione insists on the need to acquire beautiful manners, part taken over from the knight, part subordinated to that human "virtue":

*"Courtier – an eternal human hope toward a perfectly balanced man model, mastering his feelings and his destiny, who has shaped his life taking into account measure in all his actions"<sup>4</sup>.*

The courtier visited all European societies, recommending the virtue and the thinking necessary to the man around the prince with powers, greater or lesser, on the life of his servants. He has transformed into *honnête homme* and in *gentleman* under the impulse of changes occurred in the social structure. L'honnête homme becomes the prototype of the classic, scholar, skillful man who masters the art of conversation and the art of living.

*"Classicism is, in general, an ideal of life, that of a well-educated man, who is constantly guided by reason, measure, self-control"<sup>5</sup>.*

In the second half of the seventeenth century, l'honnête homme was a true model. Obviously, he was supposed to be good, virtuous, right, but first there was appearance and behaviour. *L'honnête homme* was supposed to know the art of conversation and, not least, the art of make himself pleased in society, "l'honnête homme" is happy to be in the company of others and seeks it with pleasure<sup>6</sup>. Both Cástiglione's century and the classic one transforms behaviour into art.

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<sup>2</sup> Johan Huizinga, 1970, p. 165.

<sup>3</sup> Alexandru Duțu, 1974, p. 135.

<sup>4</sup> Paul Zumthor, 1983, p. 580.

<sup>5</sup> Jean Carpentier, François. Lebrun, 1997, p. 256.

<sup>6</sup> Paul Hazard, 1973, p. 325.

At the beginning of the eighteenth century, a set of rules ends and others apply. At the beginning of the century, appears a new model of humanity that is inspired also by the knight, the courtier and the "honnête homme": *the English bourgeois type - the gentleman*, a human model described by Pope, Addison, Chesterfield. Their works spread rapidly across the continent in the second half of the eighteenth century. The success of the model described by *The Spectator* indicates that he was liked by groups from European societies in the eighteenth century. Two human qualities are often referred to, social decency and mental discipline.<sup>7</sup> All writers who have contributed to the enforcing of this model, especially Chesterfield through the writings addressed to his son, talk about a "*good common sense*", the "common sense" being a way of thinking and expressing yourself, which is politeness. A true gentleman must attend a chosen society that he has to study and imitate in order to make himself be liked. "Remember that habit is more important than reason and conform to the law of society" - Lord Chesterfield does not forget to advise his son, who he was educating for his diplomatic career. We also find here the same element that struck us in the world of *l'honnête homme*: the theatricalisation of life. The gentleman is more attentive to imitation than to the depths of life, and cherishes more the background, the tact, the elegance than the inner energies. Moving from one human type to another we see that a layer disappears, that a dream dies, that the ideal moves away from Heaven and becomes closer to the Earth.

The modern European man represented by the entrepreneur, the businessman falls in its turn within the tradition, the continuity (which Huizinga spoke about in the "*The Twilight of the Middle Ages*") of European behaviour. Their textbooks foresee the "topos" specific to European space, namely: temperance, measure, deprivation, prudence. The distinction between modern and old textbooks on behaviour is the pragmatism that they impose on behaviour and the promise of obtaining unlimited happiness. Here's what Dale Carnegie says in the preface to his book, "*The Art of Succeeding in Life*": "The rules I have stated here are not mere theories, assumptions. They produce immediate results. They're magical "<sup>8</sup>. Carnegie does not intend to teach young people the art of conversing as it was understood in the 18th century French reception rooms, but the art of expressing oneself more clearly, with more power in both commercial talks as well in public speeches. Other authors also (Delafras *How I Conquered*

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<sup>7</sup> Alexandru Duțu, 1972, p. 214.

<sup>8</sup> Dale Carnegie, 1994, p. 8.

*Life*, 1939; Herbert Newton Casson *Success and Happiness*, 1939) contributed to the enforcement of the new man.

Modern times lean towards the supremacy of the deed, as if it were, the only one able to ensure success in life, prosperity, and even happiness. Their prerogatives are boldness, easiness in facing the danger and in dealing with any situation of life; the risk for achieving the desired goal, but also the measure, temperance, prudence. "That is why I strictly respected the wise laws of prudence (Delafras), and Dale Carnegie said, "In order to forgive one needs nobility and self-control."

In the Romanian medieval space, the place of crystallization of behavioural models are, of course, the princely courts. The two elites of society were gathering around the prince: the religious elite and the secular elite.

The society of the Romanian Middle Ages, structured as a pyramid, was headed by the *Voivode* who embodied the conception on world of the whole collectivity, its "mental scheme" (Alexandru Duțu).

As a monarchic and humanity model at the same time, the *voivode* had to sum up multiple qualities: wisdom, prudence, precaution, temperance, modesty.

In Romanian literature, the founding principles of the European model of behaviour (politeness, measure, temperance, modesty) can be found in the textbooks on behaviour written by the voivodes for the crown princes.

The first writing of this kind is *The teachings of Neagoe Basarab to his son Theodosius*. It inaugurates a tradition that will be continued during the times of Matei Basarab, Constantin Brâncoveanu and Nicolae Mavrocordat.

*The advice for my son Constantine* was written by Nicolae Mavrocordat - the first Phanariot prince in 1725, when young Constantin was 14 years old. These teachings were discovered by Constantin Erbiceanu and published in the Archives of the Scientific and Literary Society in Iasi, in Romanian translation, with the following title: "Advice of the Blessed Prince Mr. Nicolae Alexandru voivode Mavrocordat given to his son Mr. Constantin Nicolae voivode, before being a prince, in the year of salvation 1725"<sup>9</sup>

The text encompasses teachings on moral and religious life, on private life, on the economy of the Princely House, on relations with foreign princes, on state administration and on its relations with neighbouring states and especially with the Ottoman Empire.

To begin with, the *Advice* refer, like all the books on behaviour, to divinity, bowing before the divine being a necessary condition in the life of any individual, especially that of a crown prince. "Know how to make the

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<sup>9</sup> Nicolae Cartojan, 1933, p. 324.

distinction between the Fear of God and the foundation of happiness, "Without the help of God, all things are vain."<sup>10</sup>.

Placed at the head of the small manual on behaviour, these tips synthesize the mentality of medieval man whose life always stood under the sign of the "divine judgement", faith being for the old Romanians the only promise in achieving happiness.

The following tips are about politeness, temperance, moderation - the founding and normative principles of the European model of behaviour - as Antoaneta Tănăsescu shows in the book "*Strategies of European Behavior*". Temperance is a virtue, and the model has to keep it in all aspects of life: "The vain grandness, the many garments, the many jewels, the many horses, the edifices must be absent."<sup>11</sup>

As far as the people around him are concerned, the father recommends his son to be close to them, not to distance himself from them: "*Know the merits and defects of those who would serve you, especially of the gentlemen, the magnates, the local boyars and the customs*". Prudence should be directed not only on the earthly boyars, but also on Phanariots. Although surprising, such a recommendation proves the Phanariot ruler's perspicacity: "Have few policemen, few Phanariots."

If the first part of the paraenetic writing gives a tender, gentle impression, in the second part the tone becomes commanding, rigorous, the teachings turning into rules: "Few meals", "Few amusements," Do not waste", "Do not Drink," "Few hunts and not in distant places."

The always recommended measure, which Neagoe Basarab invoked just as often in *Neagoe Basarab's Teachings to his son Theodosius*, especially for the many hours that the banquets of religious feasts lasted or the victory of a messenger:

"...and you should still drink, to what extent, so that your mind to overcome the wine, and the wine not to overcome the mind."<sup>12</sup>.

Mavrocordat's writing is not unique in his era. Such teachings for descendants (also in Greek) have also written by: Azaria Tzigala for Mihai Kacovita's offsprings, and the cupbearer Mikhail Fotino, who composed some teachings for his son<sup>13</sup>.

By writing these advice, Nicolae Mavrocordat fulfills a very old, Bessarabian "habit" of the country, taken from the old Byzantines.

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<sup>10</sup> Dan Horia Mazilu, 2003, p. 463.

<sup>11</sup> *Ibidem*.

<sup>12</sup> *Ibidem*.

<sup>13</sup> Dan Horia Mazilu, 1998, p. 318.

Teachings to princes or future princes bloomed in the era of the Byzantine Empire's expansion, when the Empire's borders stretched over Asia Minor to the Euphrates, so that the possession of such vast territories required a true "art." In this context, the main preoccupation of emperors was to ensure a good education of the crown princes that had to preserve the prestige of Byzantium. From these concerns, the literature on the moral and political education treaties of the future emperors or princes flourished. Such writings are quite a few in Byzantine literature, being made up of kings and laymen or clergymen to guide the crown princes:

*"Agapet's paraenetic chapters toward Emperor Justinian, The teachings of Basil the Macedonian (867-886) toward his son Leon, The Book of Photius (9th century) toward Tsar Slavi, The royal teachings of Theophilactus (11th century) and The teachings of Manuel Paleologus toward his son (1417). These teachings were also imitated by Slavic and the Teachings of Vladimir Monomah, or the book known as Domostroi, are obvious reflexes of the Byzantine literature"<sup>14</sup>.*

The monarch was "God-anointed" according to the Byzantine theory, a representative of the Almighty, Master of Heaven, and he had to have multiple qualities such as: wisdom, prudence, providence, temperance, modesty, all synthesizing a ruler model acting in pursuit of diplomatic prevention of military conflicts.

Certainly, the writer prince Nicolae Mavrocordat read from the works of the Byzantine writers, for his dream, as of any young Phanariote, was to reach on one of the thrones of the Romanian Principalities:

*„... the dream of young Phanariots was how to reach the Wallachian or Moldavian throne and were preparing since school for this ambitious career, studying with diligence those authors who wrote about the rulers' duties. The contents of the school notebooks that have been preserved until today prove the above. The most frequently interpreted authors are Isocrates (The paraenetic speech to Nicocles), The Speech to Demonic, Sinesia (About the Way to Rule), Agapet (Paraenetic Chapters), Teofilactus (The Royal Teaching), etc.”<sup>15</sup>*

Mitrofan Grigoras mentions the Wise Scholar Voivode, in a Greek-written chronicle, edited for the first time by the famous Byzantinologist D.

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<sup>14</sup> D. Russo, 1939, p. 532.

<sup>15</sup> *Ibidem.*

Russo in *Greco-Romanian History Studies* (Posthumous Works) 10 NUL II: 10 NUL II:

*"But after the empire has killed Stephen Cantacuzino by hanging, 20 months after his appointment as a prince, the empire moves the wise Prince Nicolae from the seat of Moldavia to that of Wallachia in 1716 to 30 of January, in the day, I say, in which he entered Bucharest and sat on the throne."*<sup>16</sup>

The image of the wise monarch is also found in the *Chronicle about Nicolae Mavrocordat*, written by Radu Popescu, who became a High Steward and High Councilor, in 1716, that is, during the first reign of Nicolae in Wallachia. As Radu Popescu describes him, Mavrocordat becomes "a solar embodiment, a voivode with exemplary conduct, perfect from any angle he would have been analyzed."<sup>17</sup>

The eulogy is directed first and foremost on the scholar Mavrocordat, but also on the politician, administrator and "man", of an infinite wisdom: "But His Lordship, with the wisdom of His Lordship and with the impulsion he had from God [...]"<sup>18</sup>

The measure, a constant of European behaviour also characterizes the scholar voivode, wisdom and measure in deed, being practically synonymous:

*"But the country, as it was said above, was in good condition due to the good administration by His Lordship."*<sup>19</sup>

Among the qualities of the Prince, the compassion toward the people is also mentioned, manifested especially in the moments of crisis triggered by natural calamities, such as famine and plague ("... that they sent during the famine to take flour from the Turks"). Faith in God helps him find the solution for banishing the plague:

*"And for the disease of the plague, the Prince has made an act of kindness, seeing that the disease has spread all over the country, so that a multitude of people die, he sent people to Sfethagora, to bring some relics of saints, who they have heard that are very useful for this disease, which by bringing them and having a church service with them, a great miracle was noticed"*

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<sup>16</sup> D. Russo, *idem*, p. 441.

<sup>17</sup> Dan Horia Mazilu, 2000, p. 54.

<sup>18</sup> *Cronicari Munteni*, 1968, p. 154.

<sup>19</sup> *Ibidem*, p. 174.

*everywhere, the plague disappeared and people rejoiced, giving thanks to God.* "<sup>20</sup>

The courtier chronicler does not hesitate to praise and wonder at the Prince's qualities and deeds made for the "common good", facts that are (some of them) true cultural programs:

*"To mention all the good qualities that the Prince possessed, the habit of relating history does not allow me, for I would be suspected of "colachiie" (untranslatable word), which in romanian it means "ciocotnicie"(servile), this is why I silently skip them, only this much I say, that all the deeds were made with justice, with mercy, easily forgiving and in fear of God. Which all these I saw with my eyes, if I keep my silence over them, the stones will cry."*<sup>21</sup>

Radu Popescu's chronicle of Nicolae Mavrocordat builds an ideal, encomiastic, verisimilous image when referring to the scholar and wise Mavrocordat, but unlikely in relation to the attributes of the Greek (he was accused of killing Metropolitan Antim and his brother John Mavrocordat).

From the desire to be a "country man figure" and to build an image - that of a monarchic model and model of humanity, the wise Prince will put two other scholars at work to relate his Moldavian reigns, that is Nicolae Costin (for the first reign in Moldova 1709-1711) and Axinte Uricariul (for the second reign 1711-1715, in Moldavia).

When writing the story of the first reign in Moldavia, *The Chronicle of Moldavia* (1709-1711), of course, at the order of the Phanariot eager to be glorified and legitimated, Nicolae Costin, the second son of chronicler Miron Costin, was already a writer. He had done the translation from Latin of the *The Diall of Princes* book of 16th Century great writer Antonio de Guevara, bishop of Cadix and preacher of Carol Quintul, and wrote the *Chronicle of Moldavia from the building of the world until 1601*.

Nicolae Costin's translation played an important role in the epoch, especially for Phanariot princes willing to rule Moldavia or Wallachia because, in this romantic life of Marcus Aurelius, Guevara introduced chapters of advice on education and leadership (the first part contains the norms that the prince must follow in life so that his life and deeds are in accordance with a good Christian, and in the third part, the writer shows how a prince should behave in order to represent, through his own life, a model of dignity and virtue before his subjects.

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<sup>20</sup> *Ibidem*, pp.163-164.

<sup>21</sup> *Ibidem*.

It is very possible for Nicholas Mavrocordat to have read Guevara's book and might even have been inspiration for him in writing the *Teachings* for the child Constantine, who will follow him to the reign, but also for the other works of a philosophical-moral character: *About duties*, printed in 1719, the opera being written in 1716, when he was captive in Sibiu and the philosophical novel *The Respite of Filotheu*, published in 1800, in Vienna.

The translator of *The Diall*, will relate the Greek's reign very thoroughly, but without adopting an excessive laudatory attitude, *Nicolae Mavrocordat's Chronicle* is not an encomium:

*"The Phanariot is not monumentalized, the eulogy has no hagiographic elements, nothing excessive, that is, it stays between those parameters of normality that are free of antipathy."*<sup>22</sup>

The portrait is an objective one, among the qualities, the chronicler also mentioning:

*"He was an honourable man, both in philosophy and history, and in others that a gentleman should know, he was thoroughly educated: he knew a few languages... and a God's man, he protected strongly the church; tempered as regards food and drink; he was merciful toward the holy churches and impoverished monasteries; he was merciful to the poor, and to the widows. If he was hot-tempered, and especially to those who knew they were spending the treasury's money, and to those who mistreated and troubled the poor, and to whom disobeyed the commandments. He was without hesitation and vigil at the affairs of the country; ready and did everything in his power to fulfill the royal commandments."*<sup>23</sup>

After the death of Nicolae Costin, in 1712, Axinte Uricariul was appointed by the prince to write the official chronicle of Moldova - *Second Reign of Nicolai Alexandru Vodă*, valet 7720.<sup>24</sup>

For the writing of the chronicle, Axinte Uricariul studied Costin's writings, the notes and correspondence of the prince<sup>25</sup>, testimonies of some boyars, news from official acts, "journalists" and "opinions".<sup>26</sup>

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<sup>22</sup> Dan Horia Mazilu, 2000, p. 180.

<sup>23</sup> N. Cartojan, 1996, p. 304.

<sup>24</sup> Axinte Uricariul, 1994, p. 231.

<sup>25</sup> Ioan řtefan Petre, 1944, pp.177-179.

<sup>26</sup> N. Iorga, 1969, p. 118.

As Nicolae Costin, Axinte Uricariul will also insist during his chronicle on the moral qualities of the voivode: good householder, good administrator, making annual revisions to the treasury:

*"They called all the boyars into the big house, and bringing the treasury registers, they showed them how many taxes and how many royal incomes they gathered at the treasury that year."*<sup>27</sup>

The chronicler also informs us that during the second reign in Moldova (1711-1715), the Phanariot instituted free education with four teachers, one of old Greek, one of modern Greek, one Slovenian and the fourth of Romanian language and that he set up the printing house at Saint Sava ("so they sent to bring Greek and Slovenian mark-ink craftsman and made good homes at St. Sava and they set up the printing there").<sup>28</sup>

The Phanariot's image, as it emerges from Axinte's chronicle, boring, full with insignificant details, is that of the wise scholar for whom the fate of the country is above all personal interest or ambition.

Without realizing, the Wise Scholar follows the example of Brâncoveanu (who will ask Radu Greceanu to write his deeds) and his predecessors - Petru Rareş, Alexandru Lăpuşneanu, Petru Şchiopul (whose reigns will be related by the chroniclers monks: Macarie, Eftimie and Azarie).

In his effort join the lineage of the country princes, Mavrocordat follows another monarchic model, the one proposed by Brâncoveanu, the creator of a true "cultural monarchy" (N. Iorga)

At the turn of the seventeenth and eighteenth centuries, Romanian society was dominated by two cultural models (which established cultural monarchies), Constantin Brâncoveanu and Nicolae Mavrocordat.

They are intelligent, wise monarchs who draw in their court many Romanian and foreign scholars, gathered in real Republic of the letters. Moreover, they are able to gather around them the collectivity's ideals and to have as Al. Duțu says "glowing force, both in space and over time."

The cultural model is defined in relation to other models, which it considers "foreign", but which allow us to identify the forms of universality.

In the Western Middle Ages, we find the model of the knight, warrior and that of the wise. They are at the origins of European civilization (inspired by the experience of Antiquity) and come back, under various faces, along the stages covered by the culture of our continent.

The brief analysis of some of the human models of European culture shows that, despite the metamorphoses suffered throughout history, European

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<sup>27</sup> Axinte Uricariul, *Ibidem*.

<sup>28</sup> *Ibidem*.

behaviour remains true to several founding and formative principles: temperance, moderation and Christian morality, and that man's aspirations have remained almost the same, even if aspects have changed.

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# **THE THREE POSTMODERNISMS. TWO GENERATIONS OF ROMANIAN WRITERS FACING THE WEST<sup>1</sup>**

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## **Abstract:**

The Postmodern Theory, that had united the previous literary generation, is challenged and partly abandoned by the generation of the 1990s. Furthermore, the very idea of a literary generation united under a literary ideology fades away in the 1990s. What happens in the transition that separates these generations of intellectuals and writers? The purpose of this essay is to describe some of the major changes in paradigm that follow the peaking of Romanian Postmodernism and to bring to debate some of the possible causes of the successive transformations of the Postmodern Theory in the peripheral context of the Romanian artistic and intellectual environment of the 1980s and 1990s.

## **Keywords:**

Postmodern Theory; Eastern European Postmodernism; Romanian narrative fiction of the 1980s and 1990s; literary ideology; literary history; literary criticism

If we look back at the history of the Romanian literature throughout the past four decades, we will discover that the last major esthetical and

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ideological movement is the Postmodern one – and this movement, that meets its climax in the Western artistic and academic world in the eighth decade of the past century, reaches its highest point in the Romanian cultural space in the midst of the ninth decade – in the 1980's.

Then, in the 1990s (the 1990-2000 decade), a time defined by a movement of the social pendulum from authoritarianism to democracy and from a state-owned economy to (neo)liberalism, a movement that generates major social and political changes, the Postmodern Theory and, with it, the very idea of a literary generation united under a literary ideology fade away.

Therefore, we have a theory born in a certain type of society (Capitalist, Consumerist) that becomes relevant for an entire generation of writers in the alien context of a completely different type of society: Communist Romania of the 80s, a space that could be defined as “negative reflection” of the original point of emergence of the Postmodern theory. In the 80s, Postmodernism is, for the Romanian writers, much more than a theory: it's a “war banner” and the symbol of a common aspiration.

Then, suddenly, the same theory that had united the previous generation is challenged, blemished and then forgotten by the generation of the 1990s (and by some writers of the 1980s, as well). But the emotional challenging and blemishing are also atypical: and the real enemy doesn't seem to be the Postmodern theory, but the theory in a given, peripheral and atypical context. What happens during the transition between these generations? And do we agree that we're speaking of one and the same theory – or are we actually speaking of three very different Postmodern theories, **three Postmodernisms**, two of them radically restructured by this peripheral context?

The purpose of this essay is to describe some of the major changes in paradigm following the peaking of the Romanian Postmodernism and to bring to debate some of the possible causes for the transformations, ascent and decline of the Postmodern theory in the peripheral context of the Romanain academic and artistic world of the 1980s and 1990s.

### I. What is Postmodernism?

Before looking more carefully at the Romanian society and at the history of the Romanian Postmodernism, we should rise a fundamental question. What is, in fact, Postmodernism? – this is a question any essay on

the postmodern phenomena, at the beginning of the XXIth century, should start from.

“A late 20th-century style and concept in the arts, architecture, and criticism, which represents a departure from modernism and is characterized by the self-conscious use of earlier styles and conventions, a mixing of different artistic styles and media, and a general distrust of theories.” – Oxford Dictionary

The term “Postmodernism” has been applied to a great number of movements, mainly in architecture, painting, philosophy, music and literature that reacted against tendencies in modernism, and are typically marked by revival of historical elements and techniques.

One of the first usages of the term is in architecture, at the end of the fifth decade of the XXth century. The reemergence of the surface element and eclecticism are some of the signs of the postmodern architectural style.

In Western literature, the beginning of the eight decade (1971-1972) brings the term to the center of the Western academic debate. Ihab Hasssan’s *The Dismemberment of Orpheus* places the nouveau roman and the Theatre of the Absurd under the wing of postmodernism. Many other directions, such as deconstructivism and poststructuralism, have been associated, at that time, with Postmodernism.

In the Western world, the rise of Postmodernism is closely connected to the social and political context of the 60s and 70s: in the midst of the Cold War and on the background of a relative stability and prosperity, at the peaking of the baby boomers and of the Western capitalism and consumerism, the young generations are looking for new “freedoms” through the Hippie Movement, Sexual revolution, Marxism and other -isms, trying to challenge the traditional social and cultural codes and to change the establishment. There is no wonder, then, that the modernist literature and art are suddenly seen as “oppressive” and “totalitarian” and that new forms of expression are sought, often in great haste.

But, as the critics of the movement will later point out, the sudden break with modernism was not, in many cases, justified by an authentic leap in expression or message: it was more a “revolutionary” kind of leap, a demonstrative gesture, a supposedly radical break with tradition which will be, subsequently, reconsidered from more tempered positions.

Noam Chomsky, one of the critics of Postmodernism will argue the movement is meaningless, as it adds nothing to analytical and empirical

knowledge. And another critic, William Lange Craig, will also deny its meaning, pointing that „People are not relativistic when it comes to matters of science, engineering, and technology; rather, they are relativistic and pluralistic in matters of religion and ethics. But, of course, that's not postmodernism; that's modernism!”<sup>3</sup>

## **II. The First Postmodernism**

Criticism aside, the first Postmodernism (P1) that is referenced in the title of this essay is in fact what the Western world usually calls Postmodernism. Quoting Lyotard, Postmodernism is “lamenting the loss of meaning”<sup>4</sup>, the de-narativisation of knowledge, the de-realization of the world, the collision among innumerable, heterogenous language games. Or, in the words of Ihab Hassan, the opposition between Transcendece and Immanence, between the Signified and the Signifier, the Metaphor and Metonymy, between Purpose and Play etc, etc.

Speaking of Ihab Hassan – and of postmodernism in general –, Hassan himself redefined his own terms and concepts several times, during his career. And I would point out an interesting quote from a 1999 interview with Ihab Hassan: “Once, I coined the term Indeterminance (indeterminacy cum immanence) to describe the ethos or impulse or style of Postmodernism. This was an insufficient description because, in the geopolitical context, Postmodernism does not only involve Indeterminances in Western cultures but also new relations between centers and margins, margins and margins, centers and centers, nowheres and nowheres (utopias?) of every kind. That’s the emergent and tortuous syntax of localization/globalization.”<sup>5</sup>

In conclusion, we will label this postmodernism (P1) “The Western Postmodernism”, or “The Original Postmodernism”<sup>6</sup>.

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<sup>3</sup> Craig, William Lane, “God is Not Dead Yet”, in *Christianity Today*, 3.07.2008

<sup>4</sup> Lyotard, J.-F., 1984, *The Postmodern Condition: A Report on Knowledge*, Geoff Bennington and Brian Massumi (trans.), Minneapolis: University of Minnesota Press, 26

<sup>5</sup> Ihab Hassan, “Postmodernism etc”, an interview by Frank L. Cioffi, Princeton University, [http://www.ihabhassan.com/cioffi\\_interview\\_ihab\\_hassan.htm](http://www.ihabhassan.com/cioffi_interview_ihab_hassan.htm)

<sup>6</sup> Of course, labeling the Western Postmodernism, *in corpore*, as a single unity is a simplification; there are many other Postmodernism within this “Original Postmodernism”, but, when we move the point of view in the Eastern Europe, all the rivers, borders and nuances of the map tend to fade out, while the rivers, borders and nuances of the local

### **III. The Second Postmodernism**

The Second Postmodernism that I'm referencing in the title of this essay is the Romanian Postmodernism – the translation of the Western Postmodernism of the 70s in a marginal space (in the terms of Hassan) and in a non-typical society: an authoritarian, socialist, and impoverished society at the far end of the spectrum – in complete opposition with the liberal, capitalist, and prosperous societies of the Western World.

What happens in Romania in the 1980s – and how is it possible for such a movement, that is synonymous with relativity and breaking with authority, to emerge within one of the most authoritarian Eastern Europe regimes?

First of all, a new generation of writers is emerging in the 80s; it is a generation coming after some very dark times – in the 50s the Romanian literature and culture had been brutally sent off course by the communists imposing the official discourse of the “social realism” to all the writers that haven't been previously sent to prison; then in the 60s and 70s, the arts and literature started to slowly come back to their previous, modernist course. But the arts were far from being free or “genuine” and the writers often sought to camouflage their message in sophisticated allegories and smart word plays. In reality, the writers were engaged in a complicated waltz with the regime, trying, on the one hand, to write on the topics and issues they thought important and, on the other hand, to negotiate and compromise with the Communist authorities in order to gain status or privileges.

#### **III. 1. The “war banner” of Postmodernism**

The young writers of the 80s – as one Romanian literary historian points out<sup>7</sup> – were favored by some extraordinary circumstances. First of all, they went to high school in the 70s, when it was still possible to read uncensored Western literature; then, they came to the Faculty of Letters in Bucharest (many of them where philologists) where they met some benevolent and well-read professors and where it was still possible to read Western literature. And they formed strong friendships and alliances in the midst of a literary group called “Cenaclul de luni”. Some of the young writers went on

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phenomenon tend to become more and more visible. And this translation of the point of view is, in the end, the purpose of this article.

<sup>7</sup> Eugen Negrici, 2002, *Literatura română sub comunism*, vol. 2, Bucureşti: Editura Fundației Pro, p. 402.

writing poetry and prose, while others became influential literary critics, promoting and defending their common “war banner”: Postmodernism.

Some of the prominent writers of this generation are Mircea Cărtărescu, Ion Bogdan Lefter, and Alexandru Mușina. They are at the same time poets and theoreticians and we find them, at the beginning of the 80s, fighting side by side under the banner of the Romanian Postmodernism. We will call them – given they ardor and militant passion – the three ministers of the Romanian Postmodernism.

We shall follow some of their first theoretical interventions on the subject, and then we shall observe the evolutions of their opinions during the next 10-15 years.

“After an average lifetime of a human being, 70 years of wearing the crown of supremacy, the Modernism is, we can all witness, dead and buried” – was triumphantly noting the young and brilliant poet Mircea Cărtărescu in 1985. “Its great peculiarities, the fragmentarity, the impersonal objectivity, the abstract metaphorical expression, the progressive language (highlighted by Hugo Friedrich, T.S. Eliot etc) start to become ill-suited for the most recent poetry. (...) We could gather all the tendencies of the contemporary poetry after a single generic term, within reach for everyone. We are, therefore, heading towards a wide postmodernism, generous, open, which could mean a regeneration of our poetry.”<sup>8</sup>

The young poet Alexandru Mușina – a colleague of Mircea Cărtărescu within the famous “Cenaclul de luni”, a literary circle that reunites most of the young poets of the 80s, between 1977 and 1983 –, noted in an article published in the same year (1985): “The poets of my generation moved the center of gravity of the discourse from the imaginary to the language, to the existence of the ordinary man, to his problems, to our daily problems. Here is the place where one can find, I guess, a genuine originality. We are no longer dealing with Modern poetry, as defined by Hugo Friederich, but with a postmodern poetry. This is a pretty major break, I think”<sup>9</sup>.

Ion Bogdan Lefter advances a theory of a gradual advancement towards postmodernism that starts at the advent of modernism, in the 1920s:

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<sup>8</sup> Mircea Cărtărescu, „Textualism, biografism, sincronie stilistică”, in *Cronica*, 25/1985, p. 5 (all the Romanian quotes are translated by the author of this essay).

<sup>9</sup> Alexandru Mușina, 1985, “Șase teze și o addenda”, in *Astra*, 12, pp. 8-9.

“After Alexandru Macedonski the Romanian poetry becomes modernist; the Modernism becomes exhausted in the years 1960s and 1970s; with some visible roots even before WW2 and with more and more obvious symptoms in the 70s, we can see, in the Romanian literature, a transition towards «something else», towards a structure that succeeds Modernism and that we have called Postmodernism”<sup>10</sup>.

### ***III.2. Tree ministers and a guru***

In the initial “charge” of the postmodern theory we can see not only young poets – but also experienced literary critics and respected intellectuals. Nicolae Manolescu is one of the most respected critics of his time and also the leader of “Cenaclul de luni”; he steps in the debate, raising the war banner in the midst of his students: “Postmodernism is oligarchic and tolerant. It holds as essential the lyrical orientation, the intuitive and imaginative expression, but it doesn’t follow the cult of the purity of the poetic blood, as Modernism does. Therefore, it isn’t so elitist and difficult. It steps down in the street, it joins the protest. It is straightforward, not secretive, it is aggressive, persuasive, primitive, not prudent, musical, esoteric and enigmatical. It is, at the same time, ironic, histrionic, ludic and Asian. The Modernism was fundamentally «serious», Greek in spirit, it rarely played and it didn’t love any kind of staging, because it didn’t love the dialogue, but only the monologue, the confession”<sup>11</sup>.

We can identify, therefore, two major ideas behind this “charge”: 1<sup>st</sup>, we can notice a set of opposing features of Modernism (elitist, prudent, esoteric, enigmatical, secretive) and Postmodernism (tolerant, imaginative, straightforward, aggressive, ironic etc), very similar to what we find in Ihab Hassans’s famous list, and 2<sup>nd</sup>, we can notice the clear idea that the existence of a Postmodern movement in the Romanian literature and culture is not only sustained as a theoretical hypothesis – it is argued as a fact.

We basically have two schematic representations, two simplified models presented to the general public (and to the fellow writers and philologists): 1<sup>st</sup>, we find a simplified opposition between Modernism and

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<sup>10</sup> Ion Bogdan Lefter, „Secvențe despre scrierea unui «roman de idei»”, in *Caiete critice*, 1-2/1986, p. 148.

<sup>11</sup> Nicolae Manolescu, 1986, “Planeta ascunsă”, in *O ușă abia întredeschisă, Teme*, vol. 6, București: Editura Cartea Românească, pp. 106-107.

Postmodernism, where the latter is the undisputed champion (with all the desirable features on its side); 2<sup>nd</sup>, we find a visible cleavage of the literary history when at a precise point, between the end of the 1970s and the beginning of the 1980s, the literary paradigm suddenly changes and a new movement comes and replaces the old one, almost as overnight.

### ***III. 3. A few heretics show their faces***

Interestingly enough, some of the original “ministers” will soon change their point of view – pretending not to be so convinced any more. Alexandru Mușina, the same young poet we have seen defending the Postmodernism of “the poets of his generation”, will approach the VIP popular concept of the decade in a very different manner only one year later, in 1986:

“We should use the term «Postmodernism» in order to name phenomena that are specific to our contemporary literature that cannot be entirely equated with the Western models. This operation implies a rebuilding of the meanings, a theoretical reshaping that already has another ‘biography’ and another meaning in the Western world. But we shouldn’t proceed before choosing between the following starting points – the Postmodernism refers to: a) a theoretical concept emerging from “Cenaclul de Luni”; b) a distinct generation of writers in the Romanian literature; c) a poetical state – the Postbelic stage – defined by a re-writing, in a different “key”, of the models (types) of the poetry from between the two Great Wars; d) last, but not least, a certain way of writing prose consistent with Barth’s and Pynchon’s.”

Thus, what Alexandru Mușina does is to warn of the danger of a semantic confusion: if we speak of a Romanian Postmodernism, we speak of a local phenomenon that borrows, in terms of exterior qualities and expression, some of the traits of the Western Postmodernism; but that’s not the same as saying that the Romanian Postmodernism is one and the same thing as the Western Postmodernism; it is, in the best case scenario, an adaptation of a Western phenomenon to the local particularities and conditions.

“And still... Postmodernism at the Gates of the East”, adds Mușina. How nice it sounds! What an extravagant, what an impossible story!”<sup>12</sup>.

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<sup>12</sup> In Astra, nr. 4, 1988 apud *Competiția continuă, Antologie alcătuită de G. Crăciun*, Pitești: Ed. Paralela 45, 1999, p. 441.

But Alexandru Mușina is not the only skeptical mind, at the midst of the 80s. Some of the intellectuals of the older generations also join the debate, making strong objections. Monica Spiridon, for example, goes so far as saying – in 1986 – that Postmodernism is only a “Cultural Myth”. I think it is also very important to know that Monica Spiridon is one of the few Romanian scholars that came into direct contact, in the 80s, with the American academic world and the American Postmodernism; in 1984 she had a scholarship at the Indiana University, Bloomington and at the University of California, Berkeley<sup>13</sup>. I will quote not just her intervention in the debate, but also Mircea Cărtărescu’s comment from a book on the Romanian postmodernism published in 1999:

“Like some of the older critics which I referred to, Monica Spiridon sublimates, with irony and sarcasm, the fear in front of the postmodern challenge. The «real» existence of Postmodernism is denied from the outset (as real as the existence of the Avant-garde or Modernism): the whole debate is, after all, only about a cultural myth: «Postmodernism – which disturbs some people and irritate others – will be able to enter the dictionaries and the archive pages as a genuine cultural myth of the end of the millennium.»”<sup>14</sup>

The interesting fact is that, in the same book, Mircea Cărtărescu himself (we can consider Cărtărescu, together with I.B. Lefter, as the two remaining great “ministers” of the Romanian Postmodernism – after the “betrayal” of Alexandru Mușina) recognizes that the young writers of the 1980s were themselves shocked to discover they were actually postmodern writers:

“The appearance in the Romanian region of the concept of Postmodernism was therefore a shock to the writers of the 1980s, acting as a catalyst for their artistic identity. Vague self-defining intuitions («the adherence to reality», «the descent of poetry in the street», «the new sensibility») or mischievous («The Textual Engineering» – Mircea Nedelciu) are now embedded in a vast philosophical-aesthetic paradigm which suddenly gives them meaning and coherence; between 1984 and 1988 the authors of

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<sup>13</sup> Monica Spiridon’s academic CV can be consulted on the PEN Romania website:  
<http://www.penromania.ro/?p=206#more-206>

<sup>14</sup> Monica Spiridon, „Mitul ieșirii din criză”, in *Caiete critice*, 1-2/1986., p. 78., apud Mircea Cărtărescu, 1999, *Postmodernismul românesc*, București: Editura Humanitas, p. 176.

the 1980s find out that, in fact, they were writing postmodern literature – as the proverbial Monsieur Jourdain – without being aware of it.”<sup>15</sup>

Nevertheless, Mircea Cărtărescu insists that the Postmodernism was a break with the Modernism tradition and, at the same time, a radical shift of civilization, after WW2; when he’s speaking of the Romanian Postmodernism, he’s always doing that with the larger picture in mind and he’s insisting that the Romanian society was, in the 1980, in spite of the authoritarian regime and of the communist barrier – a part of the Western society and civilization:

“The central thesis of this study, namely the assertion that postmodernism is not only a stage in the evolution of artistic forms, not just a literary movement, but an *interruption* of that cultural order where the evolution of the forms and cultural currents was still possible, a “recovering” after the Modernist illusion, made possible by a change in civilization, and not just in the cultural field, is equally valid for the facts of artistic practice and for the theoretical endeavors; in the postmodern world the arts, the aesthetics, the artistic theory and criticism seem very different from their situation in European modernity, from the revolution of mentalities of the eighteenth century until after world War II.”<sup>16</sup>

In conclusion, we shall label this Postmodernism (P2) “the militant Postmodernism” – or the Romanian Postmodernism of the 1980s.

#### **IV. The third Postmodernism**

In the 1990s, the voices of the heretics/challengers of the Romanian Postmodernism become louder and louder – and the group of the challengers is now supported by literary historians with great prestige and authority. There are several reasons to doubt the authenticity of the “war banner” – and genuineness of the Romanian postmodernism. There are two questions that return, over and over, on the lips of the intellectuals that belong mainly to two distinct groups: the philologists and professors of the more mature generation (the generation of Monica Spiridon) – and the former “ministers” of the “Postmodern” generation turned skeptical in the proximity of the Romanian revolution. The two questions are:

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<sup>15</sup> *Ibidem*, p. 185.

<sup>16</sup> Mircea Cărtărescu, *op. cit*, p. 208.

1. Can modernism be declared “burnt out” and “obsolete” in a national literature in only two decades? Such a “leap” could be admitted when everything has been done and re-done, but one must not forget that we are speaking of the Romanian literature of the 80s, closely regenerating after the “social realism” plague;
2. Can Postmodernism exist in the midst of an oppressive, totalitarian society that is neither “emancipated”, nor “capitalist”? One must also keep in mind that we are speaking of the Communist Romania of Ceaușescu, one of the most oppressive country of Eastern Europe.

#### ***IV.1. Can Postmodernism exist in the midst of Communism?***

We shall start with the **second question**. At the beginning of the Millennium, Alexandru Mușina’s discourse on the Romanian Postmodernism becomes ever more nuanced – and radical. The theoretician now speaks of a complete impossibility of having a true Romanian Postmodernism in the midst of Ceaușescu’s regime:

“To talk about postmodernism in Romania seems exaggerated. And to speak, in the 80s, about a Romanian postmodernism was pure diversion. Or cowardice, schizophrenia, whatever you want to call it. Turks were besieging Constantinople, and the monks in the city were fighting over dogmatic issues; Ceaușescu was destroying the country, we were kept in cold, in darkness, we were being starved to death, and the intellectuals, the writers, instead of protesting, of thinking (as in the Czech Republic and Poland) of an alternative to the communist aberration, were discussing Postmodernism. They were Postmodern Communist supporters; Postmodern Romanian Communist Party members; we were being watched and being betrayed, we were afraid in a Postmodern way. Some decency, please – if you don’t mind!

To pretend you didn’t see what was happening around, to write in a Postmodern style in the midst of disaster, to write in the middle of a totalitarian Postmodernism a literature «with hidden meanings» is a way to postpone taking the blame by the Romanian (pseudo) elites. (...) And the West will treat us as interesting specimens of Third World writers, will say «yes, how curious, you were postmodern while you were trembling (with fear and cold), how nice, how nice»!<sup>17</sup>

#### ***IV.2. Can Postmodernism exist in the midst of a very young literature?***

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<sup>17</sup> Alexandru Mușina, 2001, „În materie de poezie nu poți să știi ce vei scrie peste o săptămână, dacă vei mai scrie”, in: Mihail Vakulovski, *Portret de grup cu generația 80*, București: Editura Tracus Arte.

The **first question** also receives a radical answer – from a few very prestigious intellectuals. One of them is Eugen Negrici, one of the professors of the young writers of “Cenaclul de Luni”, in the 1980s. In his very consistent *History of the Romanian Literature under Communism*<sup>18</sup> he states:

“And suddenly, in the early 80s, a literature like ours, where there are only a handful of prominent Balzacians, one great Realist writer and not even a true Proustian, where Baroque and Mannerist forms are very hard to find, in such a literature recently established and very young in its essence, suddenly everything started to stink of stale water and decay. A group of graduates of the Bucharest Philology Faculty (that have become, through a series of favorable circumstances, more and more influential) had the impression that, in the midst of a Communist regime, around the 1980s, after just 150 years of recorded history of fiction in the Romanian language and only two decades after the terrible social realism experience, all that had to be said was said and, for this literature, came that moment, at the end of the race, when you're tempted to review, with irony, how you ran and to make, in a mocking spirit, a few more steps beyond the finish line.”<sup>19</sup>

According to Eugen Negrici, the real “cause” of the Romanian Postmodernism is not the wearing of the Modernist paradigm (a legitimate cause for the Western Postmodernism); the real cause is a little bit different in nature – and it has very much to do with the marginality and isolation of the Romanian culture in the 1980s:

“The prose writers, poets, essayists of the generation of the 1980 wrote and acted – creating, after a while, a strong current of opinion – as if they had felt the signs of the wearing of the modernist paradigm and had heard the great noise of some rusty mechanisms. Pretending that everything had been evolving in our literature (as in our society) as naturally as possible, and assuming their initiative corresponded to a well-defined internal dialectic, the writers who were called, after a while, "writers of the eighties" and, after a decade, "postmodernists" have turned upside down the forms of the Modernity that, in their eyes, seemed exhausted. (...)

In our special and unusual case, [these forms subordinated to the category of the intellectual playfulness] might be attributed to the philological formation of the poets and to the years they spent on a strange island of normality where they could move freely, protected by the most respected

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<sup>18</sup> Eugen Negrici, 2002, *Literatura română sub comunism*. Vol. 2, *Proza*, Bucureşti: Editura Fundației Pro.

<sup>19</sup> *Ibidem*, p. 401.

literary critics of the country, who wanted a change (even stylistic, if not political) and thought these young writers could really bring that change.”<sup>20</sup>

The specifics of the situation reside, therefore, in the fact that the young writers of the eighties were educated in a “greenhouse climate”; their impressions of the world were mediated by the literature they read (it was a luxury to read the *beatnics* in the heart of Communist Romania) and the pressure of the reality was diminished by the protection of this climate. And, while they enjoyed a very special freedom, their mentors were also following, through the success of these young writers, a particular agenda, a kind of “bet”:

“In the greenhouse climate prepared by their professors (who happened to be the same guys as these influential critics), enjoying full access to many new sources of information, familiarized with the movement of the aesthetic ideas and with the general state of the poetry of the world, the young writers of «Cenaclul de luni» could easily mimic normalcy and to count themselves as citizens of the world. They could, for example, allow themselves to feel synchronous and uninhibited and behave as such.”<sup>21</sup>

#### **IV.3. Not so sure any more**

The interesting fact is that, as the attention of the former “ministers” of Postmodernism shifts towards the issues of the post-1990 liberal and capitalist Romania and as they get involved in the cultural and political debates of the liberal, post-communist Romania, their perception of the Romanian Postmodernism tends to become more nuanced.

For example, Mircea Cărtărescu admits, in 2011, that the “group debuts” were a strategy used by the young writers of the 1980s in order to open corridors more easily in an otherwise crowded and suffocated market:

“The group debuts are, after all, a habit of the writers of the 1980. These writers accredited this way of making literature as a group, as a platoon or as a squad. In a small and busy literary world, as ours, a poet trying to make his debut on himself and who is set on a direction risks to go, many times, unnoticed. This is why a group debut was a strategy that worked under the circumstances of the 1980s, i.e., under the circumstances of a strict control [by the Party] of the literature.”<sup>22</sup>

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<sup>20</sup> Eugen Negrici, *op. cit.*, p. 402-403.

<sup>21</sup> *Ibidem*, p. 403.

<sup>22</sup> Mircea Cărtărescu, „Sunt un om format în cenaclu și care își trăiește viața în cenaclu”, in: Mihail Vakulovski, *op.cit.*, p. 116.

But what are the stakes of this strategy? Are the writers of the 1980s only following their personal glory? It seems not. It seems that they are trying to steer the Romanian literature and culture on the direction of the culture they most admire – the culture that has given their models, both for poetry and prose: this is, of course, the Postmodern American culture. Let us quote another passage from Mircea Cărtărescu's book on the Romanian postmodernism:

“Perhaps a further clarification should be made: a commitment to the Postmodern world could mean the exit of the Romanian culture from the traditional Western European influences (French, German, etc.) and its orientation, for the first time in our national history, towards the North American culture, that is, nowadays, a true archetype of Postmodernity.”<sup>23</sup>

Still, this is not the only masked or camouflaged stake. This signal – “we are steering towards America” – is not just a signal for “the inside” – we have chosen “the right side of history”; it is also a signal for the outside, for the Western world: Romania and the Romanian culture has chosen “the right side”.

Finally, the ultimate victory in the fight between generations, the prevalence of the young generation over the old one is another stake: who is not a Postmodern is automatically obsolete, old-fashioned, worthless:

“Another obvious feature of the Romanian Postmodernity is its cultural *ideological dimension*. Several participants noted that the debated term, far from being used genuinely, as a simple theoretical concept, was actually loaded with militant meanings. The distance between Modernism and Postmodernism was often exaggerated in order to mark a brutal rupture, «revolutionary» in nature (actually very similar to the Avant-garde movement) between the new generations and the old ones. «Postmodern» has come to mean either «a writer of the eighties» or «a writer of the nineties» or, simply, as Alexandru Musina noted, *a good writer* in the context of the current literature, while «Modernist» (equivalent to «a writer of the sixties» or «a writer of the seventies») is sometimes taken in the sense of *old-fashioned, old, worthless*. These idiosyncrasies are in themselves unfair and regrettable. But in the literary political game – that's as tough and ruthless as the «true» political game – they are inevitable, because the new movements need, beyond the actual artistic practice

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<sup>23</sup> Mircea Cărtărescu, *Postmodernismul românesc*, ed.cit, p. 120.

(never as radical as the theory goes), a quick affirmation, even simplistic, of a conspicuous identity.”<sup>24</sup>

Finally, we can find two more statements, at the beginning of 2010, that shed a different light on Mircea Cărtărescu’s approach of the Romanian Postmodernism. The affirmation that “the artistic practice is never as radical as the theory” finds an interesting echo in the affirmation that, in fact, the literature of the “writers of the 1980s” is not a “pure Postmodern literature”:

“The writers of the 1980s are not pure postmodern poets, they are a synthesis of an older poetry, a Modernist poetry, in the spirit of T.S. Eliot, and a new poetry, a Postmodern one, that no longer suffers distances between subject and object, that transforms everything into a continuum.”<sup>25</sup>

And, commenting on the “literary output” of his colleagues after 1990, Cărtărescu states: “The most visible trend of the writers of the eighties, today, is to make anthologies of their writings.”

That means that, after 1990, most of the writers of the 1980s – although still young, at the peak of their creativity – are no longer writing anything. They make anthologies of what they have written before, in the 1980s.

If the Romanian Postmodernism peaking ten years before was a real “shift with the tradition”, a real “revolutionary movement”, and not a “war banner” used by a group of writers following political stakes (maybe these were noble stakes, in so far as they were opposed to the Communist regime, but were still political in nature) disguised as an aesthetic revolution, why aren’t the most prominent writers of the group not trying to give their very best exactly when it seems their revolution is actually succeeding? Or could it be that the feeling of their triumph on the political battlefield, the dissolution of the old opponents is, in fact, so disarming, unexpected, and confusing that all their creative fuel runs out?

In conclusion – the second Postmodernism (P2) could also be called, in the light of the objections risen in the 1990, “utilitarian” or “political”; while we are going to call the third Postmodernism (P3), the Postmodernism of the 1990s, “the fading Postmodernism” or “the disillusioned Postmodernism”.

## V. The metaphor of the island

In order to have a better perspective of these successive shifts and fracture, we can build a metaphorical parallelism. A group of castaways arrive

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<sup>24</sup> Mircea Cărtărescu, *op. cit.*, p. 203.

<sup>25</sup> Mircea Cărtărescu, „Sunt un om format în cenaclu și care își trăiește viața în cenaclu”, in: *op.cit.*, p. 120.

on a desert island. What's the first thing they are going to do after they make sure they have secured the basic conditions for survival (food, shelter and water)? They will start piling everything they find – wood, kindling, weeds – to build a big bonfire on the most visible place of the island. Then, the moment they see the smoke of a steamer on the horizon, they will jump to light the pyre – maybe someone will stand guard at all times, or maybe they will make their camp close to that pyre to be able to light the pyre as quickly as possible when the alarm signal is given.

Anyway, this means of communication will have, for the castaways, a symbolic meaning and a vital role – it's their only means to get in touch with the world, and the aim is to show the potential rescuers that they exist and, thus, to be observed and saved. The day-to-day life of the colony is centered around the pyre – and all the castaways are united around a single idea: that pyre should be maintained, increased, and, at the right time, set on fire. The construction of the pyre gives meaning to their existence and it is a means to structure a hierarchy within the group while defending the pyre from other groups that may have different approaches or visions. Furthermore, the existence of the pyre allows them to maintain hope and to dream of that day where they will go back to the civilized world – the world of comfort, of material and spiritual abundance, and, why not, of famous universities and prestigious prizes.

Now let's suppose that, after a few years, their plan miraculously works out – and that a passing ship actually notices the fire – or the smoke – of the great pyre. Or, even more likely, their rescue is the result of an accident: the pyre was really lit, but a ship got there not because the sailors noticed the smoke, but because the island was much closer to a continent than the castaways thought and that ship came with the precise mission to prospect the island. Some of the castaways leave the island, but others, learning that the island is about to be colonized, decide to stay and go on with their lives on the island.

Several years have passed, and the island is now, if not a thriving colony, at least a somewhat comfortable colony. There are ships that constantly commute between the island and the mainland, and soon a bridge will be built, linking the island to the main land. It is true that the new world is very far from what the castaway hoped – they have found themselves carried away by a radical shift they had no control of. Some of them go on with their lives – and adapt to the new society. Others walk up and down, without finding any niche for them in the new world, or talk endlessly about the new world, about how it should be and how it actually is. But at the end of the day, the castaways spread in all directions, become almost invisible and

anonymous – and they are no longer working side by side for a common cause, in a common project.

Their children also talk about the new world – but each of them has a different opinion, everyone sees things a little bit differently and believes that they should be done a little bit differently, so it's very hard to find a group larger than two to three individuals that is united by a common ideal and is able to function, as a group, for a long time.

#### **VI. Two generations of Romanian writers (1980 and 1990) facing The West**

Well, the writers of the 1980s, who try to signal the Western world through their congruent effort, under the flag of the aesthetic ideology of Postmodernism, and to send the message that "they exist" and they're not barbarians (Eastern Europeans marching under the banner of the Nationalist-Communist doctrine, led by the single party and by the Great Leader), at least not as far as their literature is concerned – are our castaways on the island.

The discovery of the island (a mere accidental one, we could say retrospectively) is the equivalent of the Revolutions in November-December 1989, that swept throughout Eastern Europe and that had put the social pendulum in motion – in some societies with a lower speed and a more uniform motion, in others (as in Romania), with a higher speed and a chaotic motion. And the dispersion of the castaways – and of their children, who are, in metaphorical terms, the writers of the 1990s and 2000 – is, on the one hand, the result of losing their common goal, and, on the other hand, the result of their absorption into the whirlpool of the social transformation over which the writers have no control whatsoever (not even an apparent leverage – as the leverage of building a pyre as a means of communication with potential "saviors" from the outside). And, when you cannot control reality, the only things you can do is to ignore it, to criticize it, or to describe it, on a spectrum where the extremes are more pronounced than the middle (i.e., either on a tragic tone, or on a parodic one).

The last two actions are specific actions of literature – but they do not automatically require an unity of purpose or a common direction. And what are the place and the role of literature in a society that is changing at breakneck speed? Action or ideological activism first, then meditation or reflection: it seems like a good slogan for a political transition such as the one that the Romanian society undergoes. This is, briefly, the context in which the writers who are carried away by this transition – and whose position is becoming more and more vulnerable, as the welfare state that was once supporting the role and the writer is eroded by the assault of the neoliberal ideology – lose their unity of purpose and direction; and, with that, they also lose their drive, their creative fuel.

## VII. Conclusions

We have discussed, up to this point, about a theory that's produced by a certain type of society (Capitalist, Consumerist) that becomes relevant for an entire generation of writers within the alien context of a completely different type of society: the Communist Romania of the 80s, a "negative reflection" of the original point of emergence of the Postmodern theory.

What is Postmodernism in the 80s, for the young Romanian writers? It is:

1. An aesthetic theory "borrowed" from the West – where the Western Postmodernism, the (P1) Original Postmodernism or the First Postmodernism emerges;
2. Something much more than a theory: a "war banner" for the young generation, and for a few respected senior intellectuals;
3. A form of change (of the literary expression, if not of the political context);
4. An ideology and a weapon used in the inter-generational wars (he who is not Postmodern is old, obsolete etc);
5. The symbol of a common aspiration – towards the "Western normality".

I labeled this Postmodernism (P2) "the militant Postmodernism"; the "utilitarian" or "political" Postmodernism – or the Romanian Postmodernism of the 1980s.

Ten years later, the same theory that had united the previous generation is being challenged, blemished and then forgotten. But the emotional blemishing is atypical: and the real enemy doesn't seem to be the Postmodern theory, but the theory in a given, peripheral and atypical context.

While crossing the bridge between these two generations, the Postmodern theory (P2) becomes unnecessary and some of the writers and intellectuals start to see the Romanian Postmodernism more like the thing it really was: an ideology used by an emerging generation in

- (1) an attempt to bring a sudden change in the aesthetic paradigm; but also to
- (2) occupy the center of the literary world.

I labeled this Postmodernism (P3) "the fading Postmodernism" or "the disillusioned Postmodernism".

Therefore, I think we actually speak of three theories and historical phenomena, and not about just one unitary theory and phenomenon; we speak of three very different Postmodern theories, **three Postmodernisms**, two of which have been radically restructured by the peripheral context of the Romanian Communist (P2) and Post-communist (P3) society.

And the main cause that produced these fractures is partly related to the peripheral context, and partly to the sudden shift that takes place, in the 134

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1990s, within this peripheral context, and partly related to the “weaponizing” of Postmodernism in the inter-generational competition.

### VIII. A few conclusions after the concluding section

In the interview I quoted at the beginning of this essay Isab Hassan – the scholar who started the whole debate over Postmodernism in literature – also stated:

“Certain topics or problems or figures, however, do run from Romanticism, through Modernism, to Postmodernism, mutating all the while. For instance, Romantic Imagination becomes Modernist Consciousness becomes Postmodernist Language – from Imagination to Language, as master tropes. And the Romantic Self becomes the Modernist Ego becomes the Postmodernist empty Subject, itself a Discourse. But these are largely French conceits: try to tell the Self or the Ego or the Subject or your child, for that matter, that its imperious needs are a form of absence, dissemination, or deferral.”<sup>26</sup>

In a certain way, we can therefore say that Romanticism has never ended – and that we all live in a prolonged Romanticism, or we all are “belated” romantics. If this is the case, Postmodernism can be seen as a convenient ideology and “war banner” not only for the Romanian communist and post-communist writers; it can be seen as “war banner” for the Western cultural wars, as well.

One of the consequences of this observation may be that the gap between the periphery and the center is not so wide as it is commonly described; and these two spaces are not so radically different, after all.

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<sup>26</sup> Ihab Hassan, *op. cit.*

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# **CONVERGENCES ET DIVERGENCES IDENTITAIRES**

## **THE CONTRASTIVE-TYPOLOGICAL ANALYSIS OF A FRAGMENT FROM THE TEXT *LE CHÂTEAU DES CARPATHES / CASTELUL DIN CARPAȚI*, BY JULES VERNE**

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### **Abstract:**

The primary objective of our article is to emphasize a potential evolution of the Romanian literary language across the one hundred and twenty-five years of confrontation with Jules Verne's novels. The successive translations of the French author's works reflect passing from the fixation of the Romanian supradialectal literary language, to its use and emphasis in diachronic and diastratic versions corresponding to the evolution of the Romanian society. We proceed from the idea that the solutions found by the Romanian translators in the lexical-semantic field, that of morpho-syntactic structures, of the transmitted pragmatic-stylistic values, have constituted true contributions to enriching, emphasising and plasticizing the Romanian literary language. Upon carrying out this analysis, we have, of course, called upon the work principles, methods and instruments of the two sciences of the word - valorised in any such undertaking - *traductology* on the one hand, and *diachronic linguistics*, on the other hand. Obviously, in both cases, we will be starting from the *contrastive-typological grammar* data, with frequent references to descriptive, normative grammar, to elements of pragmatics and stylistics, to the particularities of dialectology, in certain situations.

### **Keywords:**

Diachronic linguistics, traductology, contrastivity, evolution of the Romanian literary language, historic succession.

### **1. Romanian versions of the novel *Le Château des Carpathes***

In our country, the novelty of the Jules Verne writings with regards to literary genre, as well as the miraculous scientific and geographical descriptions, have led to a boom of translations, these having the great merit of contributing to the development of the Romanian readers' taste for lecture, simultaneously constituting precious sources for contrastive-typological grammar treaties. Famous novels, stories and anthologies belonging to Jules Verne have been translated into Romanian and published either in the pages of certain periodic publications, or in independent volumes. The series of grand novels, which could no longer be published in serial-story columns, begins with the novel *Castelul din Carpați*, the first Romanian version to ever exist thanks to Victor Onișor, which was first published in serial-story column in 1897, in a periodical publication of the time, then published as a volume<sup>1</sup>, finalized as early as the beginning of 1894<sup>2</sup>, with a preamble reflecting the life and writings of Jules Verne, by Elie Dăianu. Then followed the reeditions, at shorter and shorter still intervals of time, as did certain new versions, better still, we could say. We present bellow the table containing the no less than eight Romanian versions, with the mention that some of them have been reedited countless of times, therefore the text we are discussing here has appeared in tens of Romanian editions throughout a century and two decades:

Emblem	Title	Year of publication	Publishing house	Locality	Translator	Other comments
VO	<i>Castelul din Carpați. Roman din vîeața poporului românesc din Ardeal</i>	1897	„Tipografia”	Sibiu	Victor Onișor	With a preamble by Dr. Elie Dăianu.
IP	<i>Castelul din Carpați</i>	1929	„Cugetarea”	Bucharest	Ion Pas	
VC1	<i>Castelul din Carpați. Întâmplări neobișnuite</i>	1980	„Ion Creangă”	Bucharest	Vladimir Colin	Afterword by Vladimir Colin.
VC2	<i>Castelul din Carpați</i>	1992	„Universitas”	Chișinău	Vladimir Colin	Graphic presentation by Val Munteanu.

<sup>1</sup> Cf. Jules Verne, 1897, *Castelul din Carpați. Roman din vîeața poporului românesc din Ardeal*. Translation by Victor Onișor. With a preamble *Jules Verne – scriitor și scrieri* – by Dr. E. Dăianu, Sibiu: „Tipografia”, Jointstock company.

<sup>2</sup> Cf. Florin Manolescu, 1980, p. 196.

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TF	<i>Castelul din Carpați</i>	2004	„Corint”	Bucharest	Traian Fințescu	With illustrations reproduced after L. Bennett. Notes by Traian Fințescu.
DO	<i>Castelul din Carpați. Întâmplări neobișnuite</i>	2010	„Adevărul”	Bucharest	Dorina Oprea	Notes by Dorina Oprea
GM	<i>Castelul din Carpați</i>	2017	MondoRo	Bucharest	Gabriel Mălăescu	
MR	<i>Castelul din Carpați</i>	xxxx	Tipografia Europonic	Cluj-Napoca	Mariana Riza	

With regards to the versions, we have included that of Vladimir Colin twice - one of the most wonderful in the history of Romanian translations of Jules Verne, a fact which we state from the very beginning -, as the author later rethought certain fragments from the first version, offering new examples of professionalism and a good knowledge of the two languages used. We shall underline, at the appropriate time, the differences between the translation solutions used in the 1980 edition and the 1992 edition.

In what concerns placement in time, at least the first three versions seem to observe the fundamental requirement of any large and authentic culture: re-seeing the translations of vastly known international authors at less than half of a century intervals.<sup>3</sup> Thirty-two years have passed from the Onișor version to the Ion Pas version, and fifty-one years have passed from the latter to that of Vladimir Colin (the first version). Twenty-four years have passed from the Colin version to the Fințescu version. Then, the rhythm accelerated to an average of ten years, without taking into consideration the reeditions of the same version. From the external data taken into account by us, Mariana Riza's translation seems to be very recent.

For the theoretical support, we used, among others, the works of Teodora Cristea, the one who dedicated her life to the analysis of cultural transfer mechanisms in the French-Romanian field. She is the one that shows us how easily lexical units and ampler structures may be replaced from the source language into the target language:

FR. faire une mine de deux pieds

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<sup>3</sup> Even before traductology became a freestanding science, the people of culture had reached the conclusion that, at least with regards to the great masterpieces of humanity, translations in modern languages must “be brought up to date”, roughly every half of a century. Then, paying due consideration to the acceleration of the rhythm of linguistic acquisitions, of informational explosion, including in the field of exegeses, text analyses etc., there was talk of a cycle of at most three decades for translation in the same language, cf. Dan Slușanschi on Homeric texts, *apud* P. Gh. Bârlea, 2016, pp. 11 sqq.

ROM. *a face o mutră de doi coți*<sup>4</sup>.

Furthermore, proof is given with regards to how frequent the general meaning neutralizations are, by means of the approximate use of an equivalent which cancels the source language connotation:

FR. *Elle s'endormit, se rêva balayant la maison, la cour.*

ROM. *Adormi și visă că mătură casa și bătătura*<sup>5</sup>.

For the source text, we used the original Hetzel edition of the novel *Le Château des Carpathes*, taken in electronic format from the free lecture domain *Atramenta.net*. This electronic version has greatly facilitated the extraction of quotes from the original text. For the target texts, we used the editions cited above and within the final bibliography, under the *Sources* section. In principle, the Romanian editors observed the structure of the base-text, divided into eighteen chapters, numbered from I to XVIII, without titles. The complete title of the original, *Le Château des Carpathes. Sans dessus et dessous*, is often translated without a subtitle in the Romanian versions IP, VC<sub>2</sub>, TF, GM, MR. Certain editors have taken the roman numerals numbering of the original eighteen chapters (*cf.* VO, IP, VC<sub>1</sub> și VC<sub>2</sub>, MR), others have renamed these narrative units with the appellative *Chapter 1*, *Chapter 2*, thus using Arab numbers (*cf.* TF, DO, GM).

## **2. The contrastive-typological analysis of the text *Le Château des Carpathes/ Castelul din Carpați***

We shall continue by carrying out a detailed analysis of three fragments taken from chapter I of the novel *Le Château des Carpathes/ Castelul din Carpați*. In order to establish the similarities and differences existing between the French language and the Romanian language, we shall use the work principles and instruments of the contrastive-typological method, as has already been said, and simultaneously, we shall proceed to the comparative assessment of the translations into Romanian, in their historic succession.

As to confront the sentences within the original text with the existent translations in Romanian, we shall also apply the processes, techniques, rules formulated, in principle, in the theory of translation treaties.

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<sup>4</sup> Teodora Cristea, 1982, p. 231.

<sup>5</sup> *Idem*, 1977, p. 175.

In the next fragment, we are faced with two sentences. The first is that in which Jules Verne himself offers the answer to the question *faut-il en conclure qu'elle ne soit pas vraie, étant donné son invraisemblance?*, previously formulated, and the second has an additional explanatory role, the author trying to ensure the reader that all phenomena which may seem “unlikely” in the novel at the time of its writing, shall become possible, even trivial, in the future.

(1)	<i>„Ce serait une erreur. Nous sommes dans un temps où tout arrive – on a presque le droit de dire où tout est arrivé.”</i> (p. 3)
VO	„Ar fi o greșală. Trăim într'un timp, în care totul se întâmplă, - ba am putè zice cu tot dreptul, că totul s'a întâmplat.” (p. 1)
IP	„Ar fi o greșală. Trăim într'o vreme când totu-i cu putință, - când ai aproape dreptul de-a spune că totul s'a putut înfăptui.” (p.3)
VC1/2	„Ar fi o greșală. Aparținem unei vremi când totul se întâmplă, mai că avem dreptul să spunem: cind totul s-a întâmplat.” (p. 7)
TF	„Ar fi o eroare. Suntem într-o epocă în care orice se poate întâmpla – aproape că avem dreptul să spunem că orice s-a și întâmplat.” (p. 5)
DO	„Ar fi o greșală. Trăim într-o epocă în care se poate întâmpla orice – aproape că avem dreptul să spunem că, de fapt, chiar s-a întâmplat orice.”(p. 5)
GM	„Asta ar fi o greșală. Trăim vremuri în care orice se poate întâmpla – am spune că totul s-a întâmplat.” (p. 5)
MR	„Ar fi o eroare. Trăim vremuri în care totul se întâmplă, aproape că avem dreptul să spunem că totul s-a întâmplat.” (p. 7)

In the eight Romanian versions, the translation follows the syntactic and morphological structure of the original text. The construction *Ce serait une erreur* was given an equivalent by the Romanian translators through assertive sentences, relatively identical. Comparing the syntactic organization of the original text (demonstrative pronoun in a syntactical position of subject, the complex predicate, composed of the conditional copulative operator and the predicative expression expressed by means of a noun accompanied by an indefinite pronoun) with the Romanian versions, we observe the presence of

certain differences requested by the *compulsory vs. facultative* oppositions existing between the two languages. As such, the absence of the demonstrative pronoun in the VO, IP, VC<sub>1/2</sub>, MR, DO, TF versions is substantiated through the facultative character of the subject expressed in the Romanian language. In the aforementioned translation versions, the subject is implicit, its recovery being performed contextually. Gabriel Mălăescu offers the demonstrative pronoun *ce* an equivalent through the demonstrative pronoun expressing nearness *asta*, a rather unliterary form, but used in the standard Romanian language.

From a lexical standpoint, small differences are observed with regards to the transposition of the noun which is accompanied by an indefinite article *une erreur*. In TF and MR, the term is equated through direct transfer: *o eroare*, while within the other versions, the translators avoided literal transposition and chose the term *o greșală* out of the synonymous series<sup>6</sup>. In this case, old language elements are observed in VO, compared to the phonetic evolutions which intervened in time. These forms are easy to observe: the diphthong *ea* is noted through *a* in *greșală*, this being the current form of the age, the writing of the word *se întemplă*, with the vowel *i* which is expressed through *ê* that is in nasal position within the word. Under the influence of popular tongues, the diphthong *ea* is opened to *è*, as in *putè*, becoming *putea*.

Several comments are imposed with regards to the transposition of the fragment's second sentence into Romanian. This is made up of a complex independent clause (*nous sommes dans un temps*), a temporal subordinate clause introduced through the relative adverb *où* (*où tout arrive*), with syntactic connection function, followed by a complex independent clause and a direct compleutive clause, also introduced by the relative adverb *où* (*on a presque le droit de dire où tout est arrivé*). The punctuation sign within the original text delimits an explanation, a completion, through the pause between the two clauses of the sentence.

The translators, striving to transmit the original message in its entirety into the Romanian language, have transferred the verb *être*, which is the representation of the predicate in the first clause, through equivalents such as:

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<sup>6</sup> Today, only traditional dictionaries *greșală*.

*trăim* in VO, IP, DO, GM, MR, *aparținem* in VC<sub>1/2</sub>, and in TF, by means of the exact correspondent of the verb *nous sommes, suntem*.

The nominal group *dans un temps* - limited to the core of the group, the noun *un temps* and the simple preposition *dans* - was transferred term by term. The Romanian version of this structure follows the original text in VO, IP, TF, DO, with the mention that the noun *temps* received a literal equivalent (*timp*) only in the first translation version, and contextual synonyms were used in the others: *vreme*, respectively *epochă*, words which cover the semantic area of the French term. The equivalent "vreme" is used in the VC<sub>1/2</sub>, GM, MR translation versions, as well. In VC<sub>1/2</sub>, the syntactic-semantic nature of the verb *aparținem* requests the compulsory presence of the indirect object in Dative, *unei vremi*. In GM and MR, the direct object in Accusative is requested by the verb *a trăi*.

The VO, VC<sub>1/2</sub>, MR translation versions follow, from a syntactic point of view, the organization of the temporal subordinate clause *où tout arrive*. We can observe that in the IP, TF, DO, GM versions, the translators reorganize this structure from a syntactic point of view. Many are the divergencies which may be observed when passing from French to English. In IP, Ion Pas uses an oblique translation, transferring the element *arrive* by means of the complex structure „a fi cu putință” - *totu-i cu putință*, and in TF, DO and GM, the translators transfer the finite verb by means of the passive form construction, accompanied by the reflexive pronoun "se" and the non-finite form of the infinitive *întâmpla*, as a representation of the direct object. Another difference compared to the other translation versions would be the distributive quantifier *orice*, correspondent of the pronoun *tout* from sentence (3), it being placed at the beginning of the subordinate clause in TF and GM, and in DO, it is placed after the verb phrase.

Comparing the translation versions from the second part of the sentence, we ascertain that the translators have digressed from the structure of the original text. In his attempt to obtain a perfect equivalence of this sentence in Romanian, Vladimir Colin opted for paraphrasing. Wishing to be as explicit as possible, he introduced the punctuation sign [:], inexistent in the original text.

The complex independent clause *on a presque le droit de dire* maintains the same position it has in the original text within the structure of the sentence, in all Romanian versions. In VO, Victor Onisor offers an equivalent to the construction *on a le droit* by means of the verb phrase *am*

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*putè zice*, and in GM, by means of the finite form *am spune*. The sequence *où tout est arrivé* maintains its semantic value in all Romanian versions. Traian Fițescu and Dorina Oprea choose different translation options. As such, the indefinite pronoun *tout* is mirrored in Romanian, in both versions, by the indefinite pronoun *orice*. The presence of semi-adverbs is observed in TF *as well*, and *even* in GM, placed before the verb phrases, elements which are not found in the original text. Furthermore, due to the desire to emphasize the truth of what is being stated, Dorina Oprea introduces the adverbial phrase *de fapt*.

(2)	<i>„D'ailleurs, il ne se crée plus de légendes au déclin de ce pratique et positif XIXe siècle, ni en Bretagne, la contré des farouches korrigans, ni en Ecosse, la terre des brownies et des gnomes, ni en Norvège, la patrie des ases, des elfes, des sylphes et des valkyries, ni même en Transylvanie, où le cadre des Carpathes se prête si naturellement à toutes les évocations psychagogiques.”</i> (p. 3)
VO	<i>„De altfel la sfârșitul acestui practic și pozitiv veac al XIX-lea, nu se mai produc legende, nici în Bretagne, patria Corriganilor sălbatici, nici în Scoția, pământul brownielor și al gnomelor, nici în Norvegia, țeara asilor, a zînelor, a geniilor și a valkyrelor, nici chiar în Transilvania, unde cadrul Carpaților se potrivește atât de minunat la toate evocațiunile psichagogice.”</i> (p. 1)
IP	<i>„De altfel, nu se mai creiază legende în amurgul acestui practic și pozitiv secol al nouăsprezecelea, nici în Bretania, ținutul sălbaticilor Korrigani, nici în Scoția, locul spiritelor, nici chiar în Norvegia, patria elfelor, silfelor și-a valkyriilor, nici chiar în Transilvania, unde cadrul Carpaților e aşa de prielnic tuturor evocărilor psihagogice.”</i> (p.3)
VC1/2	<i>„Dealtminteri, la capătul acestui practic și pozitiv secol al nouăsprezecelea, nu se mai plăsmuiesc legende nici în Bretania, ținutul sălbaticilor <i>korrigani</i>, nici în Scoția, pământul <i>brownielor</i> și al <i>gnomilor</i>, nici în Norvegia, patria <i>asilor</i>, a <i>elfilor</i>, a <i>silfilor</i> și a <i>valkiriilor</i>, nici măcar în Transilvania, unde cadrul Carpaților se pretează în chip atât de firesc la toate evocările vrăjitorești.”</i> (p. 7) † Characters belonging to the mythology of the countries mentioned by the author. (Tr. N.)
TF	<i>„De altfel, la adăpostul acestui practic și pozitiv secol al XIX-lea, nu se mai născocesc nicăieri legende, nici în Bretania, pe meleagurile crâncenilor korigani*, nici în Scoția, ținutul brownielor* și al gnomilor*, nici în Norvegia, patria asilor*, elfilor*, silfilor* și a valkiriilor*, nici chiar în Transilvania unde, decorul Carpaților se potrivește atât de bine evocărilor psihagogice.”</i> (p. 5)

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	<p>Þ <i>Korrigan</i>, evil apparition, dwarf or fairy. (Tr. N.)</p> <p>Þ <i>Brownie</i>, house elf (sprite), from Scottish mythology. (Tr. N.)</p> <p>Þ <i>Gnom</i>, spirit from the depths of the earth, guardian of hidden treasures. (Tr. N.)</p> <p>Þ <i>Asii</i>, benevolent divinities from Scandinavian mythology – Odin, Thor, Frigg etc. (Tr. N.)</p> <p>Þ <i>Elf</i>, supernatural being from Germanic mythologies, representing a dwarf, which is either good or evil, symbolizing certain elements (water, fire, earth). (Tr. N.)</p> <p>Þ <i>Silf</i>, aerial apparition from Germanic mythologies, embodying, alongside the Silfida, the element air. (Tr. N.)</p> <p><i>Valkirii</i>, the messengers of the god Odin in Scandinavian Mythology. (Tr. N.)</p>
DO	„De altfel, la sfârșitul acestui practic și pozitiv secol al XIX-lea, nu se mai creează legende, nici în Bretania, ținutul sălbaticilor korrigani, nici în Scoția, pământul brownielor și al gnomilor, nici în Norvegia, patria asilor, a elfilor, a silfilor și a walkiriilor, și nici măcar în Transilvania, unde decorul Carpaților se pretează atât de firesc la toate evocările ce țin de plăsmuirii.”(p. 5)
GM	<p>„Mai mult, nimeni nu inventează legende la sfârșitul acestui al nouăsprezecelea secol practic și dedicat progresului; nici în Bretania, ținutul fioroșilor <i>korrigan</i>*; nici în Scoția, ținutul <i>brownie</i>-lor și al gnomilor; nici în Norvegia, ținutul zeilor Aesir, al elfilor, silfelor și walkiriilor; nici măcar în Transilvania, unde peisajul Carpaților se pretează atât de firesc tuturor evocărilor psihagogice..” (p. 5)</p> <p>Þ <i>Korrigan</i> – Sprite</p> <p>Þ <i>Psihagogie</i> – Educational, psychological and pedagogical methods with the purpose of developing personality. (Tr. N.)</p>
MR	„De altfel, la sfârșitul acestui secol, practic și pozitiv secol al nouăsprezecelea, nu se mai nasc legende nici în Bretania, ținutul sălbaticilor korrigani, nici în Scoția, pământul brownielor și al gnomilor, nici în Norvegia, patria asilor, a elfilor, a silfilor și a walkiriilor, nici chiar în Transilvania unde cadrul Carpaților se pretează atât de natural oricăror evocări vrăjitorești.” (p. 7)

Analysing the translations, it can be ascertained that the syntactic structure of the original sentence is maintained within the VO, IP, TF, DO, GM and MR versions. In GM, the translator used a modulation, as to reverse the terms: the relational adjective *practic* compared to the noun phrase *dedicat progresului*; the interlingual paraphrasing through expansion of the French term *positif* - are placed after the noun referent *secol*. The introduction of the noun *progres* into the translation comes from the translator's desire to contribute to the disambiguation of the original message, Gabriel Mălăescu

probably considering that the literal translation shall not cover the semantic area of the term *positif* in this context.

In IP, even though he respected the morphological and syntactic structure of sentence (2) to the letter, the translator simply ignores the appellative *des ases*, whose equivalent in the other versions is the Genitive flexional construction *asilor*. We can deduce that the translator found the text too rich in mythological terminology, very little known to the Romanian reader, so much so that he could omit a word representing only a subspecies of the supernatural beings found in the Northern legends. The other translators borrowed the word directly from French, adapting it only to the phono-morphological specific of the Romanian tongue: *les ases* - „asii”. In GM, one syntagma is introduced which explains the term in the original text through paraphrasing: *Zeii Aesir*.

Jules Verne continues his endeavour to emphasize the literary qualities of the *Castelul din Carpați* “legend”, and positioning the adverbial phrase *d'ailleurs*, as a pragmatic connector at the beginning of sentence (1), places his writing in opposition with the other romantic works of art from the end of the XIX century. As is expected, Romanian translators place the adverbial phrase *de altfel* at the beginning of the sentence, which they correctly isolate from the rest of the sentence through a comma. In VO however, the comma is absent, and this omission should have been attributed to the insufficient development of the punctuation norms of the Romanian language at the end of the XIX century. We see that in the VC<sub>1</sub> version, the adverbial phrase is translated through *dealtminteri*, as to find in the next Version VC<sub>2</sub> the construction *de altminteri*, in accordance with the new orthographic norms.

The syntactic structure of sentence (1) includes a regent clause and an attributive clause introduced through the relative adverb *où*. The IP and GM versions maintain the syntactic organization of the original sentence. In VO, VC<sub>1/2</sub>, TF, DO, MR, the structure divergence at the level of the independent clause attracts attention. As to create an equivalent of the source unit *il ne se crée plus de légendes au déclin de ce pratique et positif XIXe siècle*, the translators of these versions used a modulation, by reversing the terms: the nominal phrase *la sfârșitul acestui practic și pozitiv secol al XIX-lea* (VO, DO, MR)/ *la capătul acestui practic și pozitiv secol al nouăsprezecelea* (VC<sub>1/2</sub>)/ *la adăpostul acestui practic și pozitiv secol al XIX-lea* (TF) is placed

before the complex verb phrase, constituted from the verb core at finite form, impersonal voice + object, *nu se mai produc legende* (VO)/ *nu se mai plăsmuiesc legende* (VC<sub>1/2</sub>)/ *nu se mai născocesc legende* (TF)/ *nu se mai creează legende* (DO)/ *nu se mai nasc legende* (MR). It is also observed that the translators adopted free translation strategies when offering an equivalent for the predicate *il ne se crée plus*. To the already mentioned translation options, we also add the equivalents *nu se mai creiază* (IP) and *nimeni nu inventează* (GM). If in the IP and DO versions the verb phrase, the verb *créer* is transferred directly, and in the VO, GM, TF, the translators choose the correspondents from the synonymous series of the verb; the solutions found by Vladimir Colin and Mariana Riza as equivalents stand out: *a plăsmui*, respectively, *a se naște*. Given that these terms are also found among the immediate equivalents of the mentioned lexeme, the two translators have transferred the meaning of the source unit into Romanian, succeeding in offering a metaphoric connotation to the context. Apart from the modifications associated to the syntactic organization we have already discussed, in TF and GM, there was also a modalized translation which was performed by supplementing the original message. Considering that a contextual translation would not render an explicit text in Romanian, Traian Fințescu and Gabriel Mălăescu have transformed the propositional negation organized around the finite verb phrase *ne se crée plus* into a double negation, by introducing the negative circumstantial adverb *nicăieri*, respectively the negative pronoun *nimeni*. Following the model of the original sentence, in all Romanian versions, the negation is stylistically intensified by adding the semi-adverb *nici* before the terms that indicate northern countries. The negative terms *ni même* (en Transylvanie) from sentence (5) are literally transferred into the Romanian versions. In IP, the translator has considered the introduction of the adverb *chiar* to be necessary before the noun phrase *în Norvegia* as well, which offers his text a special semantic charge.

From a lexical point of view, we can observe the translator's efforts to find adequate correspondents, as to correctly capture the message in the source-text

The adverbial phrase *au déclin de* is equated in VO, DO, GM, MR by means of the correspondent *la sfârșitul (acestui)*, a literary translation as can be seen, and in the other versions, it is transferred metaphorically through *în amurgul (acestui)*, in IP; *la capătul (acestui)*, in VC<sub>1/2</sub>; *la adăpostul (acestui)*, in TF.

In 1897, Victor Onișor gives the noun *siècle* the equivalent *veac*, the most adequate Romanian correspondent at that time. As of the 1929 version, that of Ion Pas, and up to the last version subjected to analysis, the translators preferred the neologism *secol*

For the nominal *la contré (des farouches korrigans)*, the Romanian versions note equivalents such as *patria*, in VO; *tinutul*, in IP, VC<sub>1/2</sub>, DO, GM, MR, nouns with an apposition function in the Nominative case, with enclitic definite articles. In TF, we see a change in the number and case of the noun in the source-text, here, *la contré* being rendered by means of the noun *pe meleagurile*. This translation solution, very accurate in the present context, we believe comes from the translator's wish to avoid repeatedly using the word *tinut*, as the term is used in the same sentence to indicate the lexeme *la terre (de brownies)*. As to offer an equivalent to the adjective *farouches*, the translators have used perfect contextual synonyms: *sălbatici*, in VO; *sălbaticilor*, in IP, VC<sub>1/2</sub>, DO, MR; *crâncenilor*, in TF; *fioroșilor*, in GM. Victor Onișor considered that the semantic charge of the nominal group *des farouches korrigans* could be mirrored in the Romanian language by post-positioning the adjective *sălbatici*, while the other translators opted for the ante-positioning of the adjective and its taking over of the noun's enclitic article. Regardless of the chosen translation strategy, all versions have recovered the meaning of the original message.

As to transpose the noun *la terre* from the construction *la terre des brownies*, synonymous correspondents such as *țeară*, in VO; *patria*, in IP, VC<sub>1/2</sub>, TF, DO, MR; *tinut*, in GM are noted.

However, our attention is drawn to the treatment of the noun *des elfes* from the syntagma *la patrie des ases, des elfes [...]*. In the Romanian translation, this noun corresponds to the masculine *elf*, which symbolises, as is mentioned within the notes of translators Ion Pas and Traian Fințescu, a supernatural being from German mythology, represented by a dwarf, symbolizing certain elements (water, fire, earth). At the time of the translation, in 1897, Victor Onișor comes to the aid of his readers, selecting the metaphoric meaning *zână* for this noun, which envisages a feminine character with supernatural powers from the Romanian folk mythology, the picture of kindness and beauty. Ion Pas decides to modify the genre of the category as well, apart from the direct transfer of this term. His motivation

probably originated from the his desire to not digress from the original, but also to adapt his version to the specific of Romanian mythology

In the construction *se prête si naturellement* from the subordinate attributive clause, the passive verb was rendered through *se potrivește atât de minunat*, in VO; *se pretează în chip atât de firesc*, in VC<sub>1/2</sub>; *se potrivește atât de bine*, in TF *se pretează atât de firesc*, in DO, GM; *se pretează atât de natural*, in MR. Therefore, the translators once again used the passive formed with the reflexive pronoun *se*, however, they opted for different terms from the verbal heteronym's synonymous series. In IP, the passive verb was translated through the predicative auxiliary *a fi*, followed by the superlative predicative expression *asa de prielnic*. Regardless of the adopted translation solution, the semantic charge of the original construction was transferred into all Romanian versions.

By equating the noun functioning as indirect object in the construction *à toutes les évocations psychologique*, we observe the lexical-grammatical evolution of the words in the Romanian language: *evocațiunile*, in VO, and in the other versions we find a form that lives on to this day, *evocările*. The prepositional group *à toutes (les évocations)*, is literally translated by Victor Onișor, Vladimir Colin and Dorina Oprea, this being expressed in Romanian by means of the preposition *la - la toate (evocațiunile/ evocările)*, an extended manner of expression, as you can see, for variable words as well, tolerated within the literary language norms due to its semantic feature [- Animated], while in IP, GM and MR, the translators use the complex noun phrases acting as indirect object *tuturor evocărilor*, respectiv *oricărora evocări*. Traian Fintescu omits the translation of the prepositional phrase in question.

It seems that finding an equivalent in Romanian for the adjective *psychagogiques* posed difficulties for the translators, given the so very different translation solutions that they adopted. As such, in VO, the “verbum a verbo” principle is applied by means of *psichagogice*, as it was used in writing at the end of the XIX century; in IP, TF and GM, it is equated through the current form *psihagogice*, and in VC<sub>1/2</sub> and MR, it is translated through the contextual synonym *vrăjitoresti*. Dorina Oprea chooses a modalized translation by adding to the original message, transferring the adjective through a subordinate attributive clause with metaphoric value *ce ţin de plăsmuri*.

At the end of the contrastive analysis of this fragment of text, we can affirm that the IP version is the most loyal to the source-text.

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Jules Verne gives the following sentence a pessimistic character, due, in part, to the fact that the work was written during a period of time in which the Transylvanian land had strong roots in its folklore beliefs.

Furthermore, it appears that Jules Verne expresses the regret that his predecessors, geographer Elisée Reclus and French publicist and philosopher M. de Gérando, who were interested in the Transylvanian land, did not mention it in their writings.

(3)	<i>„En ont-ils eu connaissance? peut-être, mais ils n'auront point voulu y ajouter fois. C'est regrettable, car ils l'eussent racontée, l'un avec le précision d'un annalist, l'autre avec cette poésie instinctive dont sont empreintes ses relations de voyage.”</i> (p. 3)
VO	„Să o fi cunoscut ei oare? Se poate, că au cunoscut-o, dar n'au crezut-o. Într-adevăr e regretabil acest lucru, pentru că ar fi povestit-o, unul cu precisiunea unui analist, altul cu aceea poezie instinctivă, care caracterizează toate descrierile sale de călătorie.” (p. 2)
IP	„Au avut cunoștință de ea? Poate, dar nu vor fi vrut să-i dea crezare. Păcat, căci ar fi relatat-o – unul cu precizia analistului, celălalt cu acea poezie lăuntrică de care-s îmbibate însemnările sale de călătorie.” (p. 3)
VC1/2	„Au luat oare cunoștință de ea? Poate, dar n-or fi vrut să-i dea crezare. E păcat, pentru că ar fi povestit-o, unul cu precizia unui analist, celălalt cu poezia firească de care-i sănătățile împregnate însemnările din călătorii.” (p. 7)
TF	„Au avut oare cunoștință de ea? Poate, dar n-au vrut să-i dea crezare. Este regretabil, căci ar fi relatat-o unul cu rigoarea unui analist, celălalt cu acel lirism necăutat cu care sunt impregnate însemnările sale de călătorie.” (pp. 5-6)
DO	„Oare ei o cunoșteau? Poate, dar nu au vrut să-i dea crezare. Regretabil, căci ar fi povestit despre ea, unul cu rigoarea unui analist, celălalt cu această poezie instinctivă cu care sunt impregnate relatările sale din călătorii.” (pp. 5-6.)
GM	„O cunoșteau ei? Poate; dar nu au vrut să sporească credința în ea. Ne pare rău pentru asta; pentru că dacă ar fi relatat-o, unul ar fi făcut-o cu precizia unui analist, iar celălalt cu poezia instinctivă cu care sunt îmbibate toate poveștile lui de călătorii.” (p. 5)
MR	„O aflaseră ei oare? Poate, dar nu vor fi vrut să-i dea crezare. Lucru regretabil, deoarece ei relataseră, unul cu precizia analistului, celălalt cu acea poezie instinctivă cu care sunt impregnate impresiile sale de călătorie.” (p. 7)

The original text begins with an interrogative construction, which maintains its value in the eight Romanian versions, however, all translators

chose different equivalence methods. The anaphoric *en*, present at the beginning of the French sentence, which can be recovered from the second sentence of unit (3), where the noun phrase *la curieuse histoire* appears, has been equated by VO, DO, GM and MR through the pronominal clitic in accusative, *o*, requested by the syntactic configuration of the verbs used in each of the four versions. In IP, VC<sub>1/2</sub> and TF, the verb phrases chosen by the translators, function as regents for the indirect object *de ea*.

The modal value of unrealized possibility from the construction *En ont-ils eu connaissance?* is literally rendered in Romanian in IP and TF. Then, the verb phrase *ont-ils eu connaissance* is translated through contextual synonyms: the Romanian perfect subjunctive, *să fi cunoscut*, in VO; *au luat cunoștință*, in VC<sub>1/2</sub>. In DO, GM and MR, the translators opt for limiting the message, reducing the aforementioned verb phrase to activities that are implied from its semantics, that is *ei cunoșteau*, *cunoșteau ei* and *aflaseră ei*, out of the desire to be accurate. The pragmatic-linguistic intention of emphasizing, expressed in the source-text by means of subject predicate inversion, is also marked in Romanian in VO, GM and MR, and in DO, moving the subject into a thematic, pre-verbal position. In the other versions, due to the capacity that the Romanian language has of not mandatorily expressing its subject, the recovery of said element is performed contextually, anaphorically. In order to mark the dubitative charge that is brought to light as a result of the inversion within the first clause of the sentence subjected to analysis, translators Victor Onișor, Vladimir Colin, Traian Fintescu, Dorina Oprea and Mariana Riza introduced the interrogative adverb *oare* into their version, a lexeme for which there is no element in the French text. Regardless of the chosen strategy, the translators, by means of their creativity, have managed to maintain the semantics of the original message, with the mention that Gabriel Mălăescu's text seems to us somewhat lacking in consistency this time around.

Carrying on, in sentence (4), from a syntactic point of view, there is a suite of two independent clauses in adversative coordination relation, with the conjunction *mais* having a contradicting role:

Clause 1: *peut-être*;

Clause 2: *mais ils n'auront point voulu y ajouter fois*.

With the exception of Victor Onișor, the other translators respected the syntactic organization of the original text. In VO, the modal adverb *peut-être* is equated through the impersonal reflexive *se poate*, as opposed to the

impersonal *poate* from the other versions, this being followed by an addition to the message, by introducing a subjective subordinate clause, inexistent in the source-text: *că au cunoscut-o*. Another aspect that draws attention is the isolation of the subjective subordinate from the regent by means of a comma, what we would today call a punctuation mistake, but this option can be substantiated by referring to the punctuation norms valid at the time Victor Onișor performed the translation.

With regards to offering an equivalent to the construction *ils n'auront point voulu y ajouter fois*, whose verb is conjugated at the French future anterior (future perfect), we observe the free translation strategy chosen by Victor Onișor, focusing the entire source-unit on the contextual synonym, the verb *a crede*, used at the Romanian past simple (perfect compus), *n-au crezut*, followed by the direct object pronoun *-o*. This interlingual paraphrasing by means of reduction does not affect the transfer of the information: on the contrary, it contributes to clarifying the message. Changing the verb tense is not a bad choice either, the French future anterior (future perfect) having, as does the Romanian past simple (perfect compus), perfective value, both designating ended actions. Ion Pas, Vladimir Colin and Mariana Riza transferred the verb phrase *n'auront point voulu* in a literal manner into *nu vor fi vrut/n-or fi vrut*, which, from a pragmatic-stylistic point of view, leads the reader to the solemnity of the standard language<sup>7</sup>. In the TF, DO and GM versions, the French future anterior (future perfect) was equated through the Romanian past simple (perfect compus) as well: *nu au vrut*, respectively *n-au vrut*.

The negative message of this verb phrase was suggested in all Romanian versions by means of the simple propositional negation performed in a prototypical manner with the aid of the adverb *nu*. It seems that the translators identified the regional, archaic value of this intensification element in the French sentence, opting to omit it, thus performing a modalized translation.

At the level of the sentence, we observe a transposition of the verb forms, the infinitive expression in the French sentence, *ajouter fois*, having as correspondent in the IP, VC<sub>1/2</sub>, TF, DO and MR versions the direct object subordinate clause *să-i dea crezare* introduced by means of the conjunction *să*. Gabriel Mălăescu equates the non-finite construction in sentence (4) with

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<sup>7</sup> GBLR, p. 256.

the subordinate with the core verb at Romanian subjunctive present, *să sporească credința în ea*.

In the following sentence, the transposition of the construction *c'est regrettable* seems to have created difficulties for the Romanian translators, taking into consideration the very different solutions that they have used throughout the ages of Romanian literary language. As such, Victor Onișor opts for the literal translation of the verb phrase, *e regretabil*, however, he once again uses over-translation, by introducing the modal adverb *într-adevăr*, without any conjunctival link, which modalizes the overall sentence. Furthermore, in order to enhance the complete understanding of his version, he introduced the noun phrase *acest lucru*, which is nonexistent in the source-text. Traian Fințescu also uses a direct translation, in whose version we find the same formulation as in VO, and that is *este regreatabil*. Vladimir Colin also preserves the formulation with an impersonal construction, however, he chooses the contextual synonym *e păcat*. In IP, as well as in the previous version, the translators turn to grammatical reorganizations:

- transposition of the verb phrase into an adverb: *păcat*, in IP; *regretabil*, in DO;
- transposition of the verb phrase into a noun phrase: *lucru regretabil*, in MR;
- interlingual paraphrasing through expansion: *Ne pare rău pentru asta*, in GM.

We observe that, from this point onwards, the sentence in the Romanian language respects the syntactic construction of the original sentence. However, this is not valid for the GM version, as the translator chose a rich syntax for the equivalence of the causal subordinate *car ils l'eussent racontée, l'un avec le précision d'un annaliste, l'autre avec cette poésie instinctive*. And this time, Gabriel Mălăescu adds to the original message by means of the conjunction *dacă*, as well as the verb phrase *ar fi făcut*, which is nonexistent in the source-text. As such, in GM, the construction we are discussing is transformed into a causal clause and a conditional clause. The use of the meta-discursive conditional clause *dacă ar fi relatat-o* is evident, it being incorporated within its regent, the causal clause *pentru că... unul ar fi făcut-o cu precizia unui analist, iar celălalt cu poezia instinctivă*. We must not forget about the punctuation sign [;] which separates the causal clause from its regent (*ne pare rău pentru asta*), this type of subordinate usually being divided from her regent by means of a comma.

It is obvious that the different grammatical structures of the two languages involved in the translation has imposed certain transpositions which we shall take into consideration.

The modal value of “possibility not realized in the past”, expressed through the verb *raconter*, conjugated at French past perfect simple (*ils eussent racontée*), is indicated in Romanian by means of the past conditional: *ar fi povestit*, in VO, VC<sub>1/2</sub> and DO; *ar fi relatat*, in IP; TF, and GM. For the translation of this verb phrase, Mariana Riza chooses the archaic form of the perfect simple of the indicative *relataseră*. This option modifies the meaning of the original message leading to the idea that the action has been finalized in the past. The segmental anaphoric ante-positioned in relation to the verb phrase *eussent racontée*, the direct object pronoun *l'* in sentence (4) is translated in a literal manner by Victor Onișor, Ion Pas, Vladimir Colin, Traian Fintescu and Gabriel Mălăescu. Dorina Oprea performs a modalized translation by post-positioning the pronoun against the verb, *ar fi povestit despre ea*, with the role of indirect object, which covers the meaning of the noun phrase *la curieuse histoire* to which reference is made, while Mariana Riza avoids providing an equivalent for it.

In the following pages, we shall focus upon the unit *l'un avec le précision d'un annaliste, l'autre avec cette poésie instinctive*, in whose transposition we observe lexical and morphological differences from one Romanian translator to the next. For the translation of the noun *le précision*, the Romanian versions note equivalent terms such as: *precisiunea*, in VO; *precizia*, in IP, VC<sub>1/2</sub>, GM and MR; the contextual synonym *rigoarea*, in TF and GM. We also note the differences due to the evolution of the Romanian language, *precisiunea*, from VO, becomes *precizia*<sup>8</sup> in subsequent versions, as *poesia* becomes *poezia*. The translators' efforts to find an adequate equivalent to the adjective *instinctive*, from the noun phrase *cette poésie instinctive*, so as to transfer the meaning of the original message into Romanian, draws attention to itself. Victor Onișor, Dorina Oprea, Gabriel Mălăescu and Mariana Riza opt for the direct equivalence of this term, that is *instinctivă*. Ion Pas and Vladimir Colin avoid direct transposition, choosing to use the metaphoric equivalents *lăuntrică*, respectively *firească*, for the

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<sup>8</sup> About the concurrency of the noun forms in *-ie* versus *-iune* at the end of the XIX century, cf. P. Gh. Bârlea, „Romanian Language in 1918”, in: DICE, 15-2, 2018, p. 129.

aforementioned term, which maintain the original meaning. However, Traian Fințescu uses an indirect translation and reorganizes the source-unit, *cette poésie instinctive* becoming *acel lirism necăutat*, a construction which allows for the idea underlined in the source-text by the French author to be brought into light. It would seem that the option of giving *cette*, the demonstrative adjective expressing nearness in the original structure, an equivalent expressed through a demonstrative indicating nearness as well, did not please the translators Victor Onișor, Ion Pas and Mariana Riza, its stylistic value and force being recovered in Romanian by means of the demonstrative expressing farness *acea*, which, in our opinion, is an appropriate choice. Only in the DO version, the demonstrative adjective is equated directly, this determinant being eliminated in VC<sub>1/2</sub> and GM.

In rendering the unit *dont sont empreintes ses relations de voyage*, the translators followed the syntactic plan of the original text to the letter. The relative pronoun *dont* is transferred in IP and VC<sub>1/2</sub> by means of *de care*; in VO, only the relative pronoun *care* appears, without a preposition; and in TF, DO, GM and MR, the relative pronoun *pe care*. The possessive adjective *ses* in the noun phrase *ses relations de voyage* (direct object post-positioned against the predicate *sont empreintes*) is transformed into the direct object pronoun placed before the verb in VC<sub>1/2</sub>, a grammatical reorganization due to the specific rules of syntactic organization of the Romanian language. In the previous versions, the possessive maintains its position beside the determined noun: *descrierile sale*, in VO; *însemnările sale*, in IP and TF; *relatările sale*, in DO; *impresiile sale*, in MR; *povestile lui*, in GM. As a result of this analysis, we also observe the solutions adopted by the seven translators as to offer an equivalent for the nominal *relations*. The passive construction *sont empreintes* is preserved in the Romanian versions, with the exception of that of Victor Onișor, who moves from passive to active. Due to this modulation, we can also underline an interlingual paraphrasing, the discussed verb phrase being restricted to the lexeme *caracterizează*. This structural divergence appears as an optional solution of translator Victor Onișor, motivated, of course, by the desire to give the Romanian readers a clear and concise text. And the participle *empreintes* is translated metaphorically, the result of the options being: *îmbibate*, in IP and GM; *pătrunse*, in VC<sub>1/2</sub>; *impregnate*, in TF, DO and MR, terms which once again cover the semantic area of the Jules Verne text.

### 3. Conclusions

The state of the Romanian language in the period marked by the translations performed on Jules Vernes works has changed significantly from one version to the next, more often than not in close relationship with the events of the linguistic and extralinguistic evolution, important for the history of the Romanian language, culture and civilization.

As a result of the contrastive-typological analysis of the selected material, we can formulate the following conclusions:

a) The versions which present numerous modifications compared to the current norm of the Romanian language are VO and IP, these being the first translation attempts after the important linguistic events which took place at the end of the XIX century: that of eliminating Slavic, Hungarian, Turkish, Greek words from the Romanian language and replacing the Cyrillic alphabet with Latin letters, by means of Alexandru Ioan Cuza's reform in 1864.

b) By means of the adopted translation solutions, the authors of the Romanian versions succeeded in transferring the message contained in the source-text into Romanian.

c) In an attempt to obtain a perfect equivalence of the French phrases into Romanian, the translators opted for paraphrasing, modalizations and adaptations, indirect translation processes.

d) Out of the desire to send a clear message, the translators have used syntactic structure divergences. As such, certain word groups or syntagma have been omitted intentionally, this being due to the impossibility of finding exact correspondents at the time of the translation, be it due to reasons of a stylistic nature. For the transfer of the construction *ils n'auront point voulu y ajouter fois*, by means of interlingual paraphrasing through reduction, Victor Onișor focuses the entire unit into the verb *a crede*, used at the Romanian past simple tense (perfect compus), a reorganization which does not affect the transfer of the transmitted information.

e) Concurrently, as to prevent the occurrence of difficulties in the message being received by the Romanian readers, a decision was made to supplement the information in the source-text, the connotation of the target-message being the same as the one in the original text. An eloquent example here would be the transfer of the adjective *psychagogiques*, which is translated by DO through the attributive subordinate *ce fin de plăsmuire*.

f) The differences found in the phonetic and orthographic sector are as follows:

- final *e* accentuated by marking diphthongs is replaced with *-ea*: *am putea* (not: *am putè*, in VO), (1);

- “etymologic” *é* found in nasal position is replaced with *â*: *pământurile* (not *pămînturile*, in VO), (2);

- *a* after *ş* is replaced by the diphthong *-ea*: *greşală* (not *greşală*, in VO), (1);
- “etymologic” *ě* is replaced with *ă*: *să, călătorie, sălbatici* (not *sě, căletorie, sălbatici* in VO), (3);
- the apostrophe is limited to a small number of situations: *dar, n'au* (not *dar'*), (1);

g) The first official reform of the Romanian orthography, that of 1904, and the application of the phonetic principle in 1932, have had an effect on translations. If in VO, at the level of the nominal flexion, you can find terms such as: *evocaţiune* (2), *precisiune* (3), as of the IP version, based on the new orthography, the ending *-fiune* is eliminated, being rendered by means of *-tie*: *evocaţie, precizie*. Another rule at the base of the phonetic principle is that regarding *s* and *z* consonant alternation, which implies observing the sound of the original term: the French *précision* (3) was translated as *precisiune* in VO, and as *precizie* in the other Romanian versions. According to the new orthography, the French *poésie* (3), which was translated as *poesia* in VO, is transferred in IP, VC<sub>1/2</sub>, TF, DO, GM and MR by means of *poezia*.

h) At the level of the syntax, the infinitive constructions appear in free variation with subordinates with the subjunctive, introduced by connectors such as *că* and *să*:

*on a presque le droit de dire, (1) - am putè zice, (VO); ai aproape dreptul de-a spune, (IP) și avem dreptul să spunem, in VC<sub>1/2</sub>, TF, DO, MR; am spune că totul s-a întâmplat, in GM;*

i) Apart from the synthetic Dative form, the analytical Accusative form is also used:

*le cadre des Carpathes se prête si naturellement à toutes les évocations [...], (5):*  
*[...] cadrul Carpaţilor se potriveşte atât de minunat la toate evocaţiunile [...], in VO;*  
*[...] cadrul Carpaţilor se pretează în chip atât de firesc la toate evocările [...], in VC<sub>1/2</sub>, DO.*  
*[...] cadrul Carpaţilor e aşa de prielnic tuturor evocărilor [...], in IP, GM;*  
*[...] decorul Carpaţilor se potriveşte atât de bine evocărilor [...], in TF;*  
*[...] cadrul Carpaţilor se pretează atât de natural oricărora evocări [...], in MR.*

Therefore, the successive translations of Jules Verne’s works reflect the passing from the fixation of the Romanian supradialectal literary language, to its use and emphasis in diachronic and diastratic versions corresponding to the evolution of the Romanian society at the bridge between the second and third millennia. On the other hand, these translations not only reflect the evolution of the language as an act in itself, but they also directly contribute to fixating certain elements of detail from within the permanent transformation of the target language.

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# **ONOMASIOLOGICAL PERSPECTIVE VERBAL IDIOMS WITH KEY ELEMENT OF TURKISH ORIGIN**

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## **Abstract:**

This study addresses a certain category of Romanian verbal idioms based on key terms of Turkish origin. More specifically, we have in mind the thematic groups from which Romanian borrowed the terms, by integrating the respective Turkish loans into phrases copied from old Turkish or created on Romanian land. The onomasiological criterion applied here reflects the areas of contact between the two cultures, in the period of time between the 17th and the 20th centuries.

## **Keywords:**

Verbal idiom, Romanian, Turkish, loan, semantic evolution, onomastics.

### **1. The onomasiological criterion in the classification of idioms**

The so-called "thematic grouping" of verbal idioms is clearly a purely methodological manoeuvre, designed to provide a first level of logical-semantic ordering of dynamic structures, eternally suited to changes, by their nature. The criterion used is the onomasiological, e.g. a notional system of ordering the terms, based on what E. Coșeriu called "nomenclature domains". The working tools would be those taken from lexicography, and the models - the older dictionaries of ideas, of the kind written from a logical-linguistic perspective, theorized and elaborated in the middle of the 20th century by R. Hallig and W. von Wartburg. In fact, it is about domains of reality - names of elements and principles of the organization of the Universe, names of human qualities, terms for categories and social relations, words that refer to aesthetic and philosophical concepts, etc. In the practice of linguistic research, anyone who attempts such an ordering of lexical material notes how

unstable the boundaries between a category and another are. The general and the individual often overlap, the terms that designate quantities and qualities can change their place among themselves, the "dimensions" prove to be inconsistent; also in time and space, the material and spiritual values either appear too broadly or too narrowly integrated into an onomasiological group or another. So, even if we narrow down the thematic groups to a very simple scheme, they do wrong either by "generalization and non-defining" or by "excessive particularisation."

However, researchers continue to use this criterion because it reveals a certain link between language and thought. That is why we find it applied also to the field of Turkish language.

As far as we are concerned, we did not borrow from the thematic groups used by the quoted Turkologist, although the lexical series inventoried by him under the generic name "Semantic Spheres of Loans" are as logically selected as possible. Our reticence comes primarily from the ascertainment that we are on moving ground, eternally prone to change, to integration of a word into a group or another.

In our case, the situation is somewhat more complicated because of the bivalent status of idioms: the meaning of component terms is quite different from the general meaning of idioms. Consequently, we opted for the grouping of idioms according to the primary, concrete-denotative meaning of the key term. We have done this, first of all, because this is the word coming from Turkish, in the material studied by us, and this is the one taken into account by the objective of our study. Secondly, it is the one that imprints the general sense of the idiom, even if not directly, but through a rather complicated semantic evolution sometimes. In principle, we have terms such as "food and drink", "clothing", "finance-trade", etc. which became abstract and loaded with generalized symbols referring to human communities (social relationships, human qualities and defects, etc.) so that, all onomasiological groups should be reduced to an all-encompassing one: "Abstractions."

So if we say "*a îmbrăcat caftanul*", we can understand exactly what the statement says denotatively. In such a context, it is not clear whether we are dealing with a idiom or not. In the figurative language, however, the statement means "he/she was raised to a high social-administrative rank." In other words, it is difficult to decide whether the term caftan should be recorded in the clothing group or in social relations and hierarchies group. I

chose the first group, because the abstraction and metaphorization transfer them all automatically to the other group, which cancels any attempt at onomasiological grouping.

In some cases, the polysemanism of the key term, obtained through extensions of sense, poses a thematic framing problem even before being integrated into an idiom. For example, *astereală* means both "lining from a coat" (from a dress or skirt especially) as well as "the lining of thin boards from the roof of the houses". Therefore, in which group should the word be included - "clothing" or "house-building"? Not even a reference to the explanatory and etymological dictionaries of Turkish language, which in their turn send to the Arabs, Persians, etc., does not clarify us, because the process of meaningful movements, extensions, specializations, etc. had begun in those languages. And, anyway, for our analysis corpus, the sense that counts was the abstract, figurative one:

*a face ceva cu astereală*  
means "to do a good thing", "to act rationally"

It often happens that the key word loses its original meaning by changing the support verb and by some details of phraseology (the appearance of some connectors, additional nominal or adverbial components, etc.). There is a big difference between *a plăti bir* (literal sense) and *a da bir cu fugitii* (metaphorical sense). Other times, the idiom itself does not look structurally different from the primary denotative grammar construction (verb + noun case), but the sense of the former is granted by the wider communicative context in which it is placed. The external referent changes the overall meaning of the construction, altering its grammatical status. *A luat caimacul (cafelei)* is an usual declarative sequence ("he/she took / removed the foam of the coffee"), consisting of the predicate, the noun acting as direct object , and possibly the noun attribute as an additional referent. Whereas, *a luat caimacul (afacerii)* is a metaphorical sequence ("He took the best out of a business deal"), where the verb + first noun group forms a single lexico-semantic and morphological unit, and "business" is the additional reference in the wider context of the respective communication sequence.

Consequently, the safest way is to place the key term in its denotative onomasiological group. Even then we are confused by the polysemanism, as we have seen, which brings with it ambiguities, unclear relationships between gender and species, between the hyponym and the hypernym, etc.

In the following pages, we reduced the thematic groups to the minimum necessary, illustrating each group with fewer terms than those found in our corpus (see end index). Even so, classifications are questionable: "*a da buluc*" was classified as "Abstractions", but "*buluc*" has a concrete meaning, in diachrony, cf. *böllük* "small army of rapid intervention". We have, however, considered such an approach necessary, because it creates a real world image that generated the treasure of verbal idioms discussed here.

## **2. Thematic diversity of key words**

As we know, most of the idioms are built around the words of the main lexical fund of a language (VF), which are basically old terms with great stability in language development and with great power of derivation, composition, conversion and generally generators of new lexical structures, among which metaphorical terms and idioms occupy an important place. In the case of the Romanian language, it is the words of Latin origin (popular), as well as some terms from the Thracian and Dacian substrate, with productivity above the average of the descendants formed by internal means.

However, many lexemes from the subsequent etymological layers, such as those of Greek, Turkish or Slavic origin, have also entered the fundamental vocabulary and have become productive in every day Romanian, including under this form, the idioms that we are dealing with in this article. Referring only to the Turkish background, we can present the following situation, based on the Romanian Verbal Idioms Index from the reference book written by Florica Dimitrescu: of the approx. 800 lexical units of the verbal idioms, about 121 are built around a term of Turkish origin. Statistically, this means 15.1 units of the total count.

We recall that by the "key term" we understand the word that gives the denotative or metaphorical meaning of the idiom. It is, of course, especially about the second meaning, the connotative, which expresses the state of fact described in the idiom. For example, in case an expression like "*a ieși la maidan*", the key word is, in our opinion, the word *maidan*, because it shows the state designated by the entire phrase: "he came out of a difficult situation." We bring as evidence for our interpretation three series of facts of language:

a) The same logical concept is expressed by different key words, but which reproduce the same metaphorical image, namely the clarification of a dilemmatic situation, the successful completion of a difficult action:

*a ieși la liman*  
*a ieși la mal*  
*a ieși la lumină*  
*a ieși basma curată* etc.

We note that in this synonymous residual series, which could be long continued, two of the four key words are of Turkish origin (liman and basma) – the latter, with an epithet that completes the metaphorical meaning, it is true –, one is Thracian and Dacian (mal) and one of Latin origin (lumină).

b) The same term appears in other idioms, which express somewhat the same concept, but through another verb-vehicle: a (o) scoate la maidan

c) Finally, we could add the argument that the term "maidan" appears in many other types of idioms, a sign of lexical productivity, which, in turn, is a sign of the frequency that that word had in the usual speech, in a certain age in the history of the Romanian language: ca pe maidan, a maidanez, etc.

The latter example is a recent derivative creation that shows that the term, although old, has not entered the passive vocabulary, but has been readjusted in the vocabulary of the younger generations, which are usually the promoters of the new lexical creations.

Returning to the corpus we are talking about here, we can see that the thematic areas to which the key terms of Turkish origin around which the Romanian verbal idioms are built can be configured in a fairly coherent manner around centers of interest in the mentality and the existence of the community of speakers who generated them. In the treatises, the respective thematic groups are broken down after periods of linguistic contacts between the native population and the successive waves of population of Turkish origin established on the Romanian territories or who came only in economic, political and cultural contact with the Romanian speakers.

First, there are journalized old influences of the Turks-Tatar populations that have passed over the Carpathian-Danubian-Pontic territory, namely those of the Pecenese, who temporarily settled in Moldova, Eastern Muntenia (9th century), Transylvania and Dobrogea (10th-11th centuries), which left linguistic traces exclusively in toponymy (Peceneaga, Pecinisca, etc.) and the Cumans, who presumably had come from the northern Black Sea steppes in the 11th century (see above, chapter on the Turkish-tatarian ethnolinguistic element in Romania) and would have remained in the Wallachian territories for several centuries. Coming from them there are Romanian toponyms (Comana, Bărăgan, Teleorman, Covurlui);

anthroponymics (Coman, Itu, Talaba); words in the field of medieval military organization (beci, baltag, buzdugan, dușman, ceată, toi), in the field of clothing, household objects, as well as names of plants and animals, occupations, etc. (*aslam „camătă”*, *bardacă*, *catăr*, *cazan*, *cioban*, *hambar*, *maramă*, *suman* etc.)

Separately, there are recorded thematic groups of Romanian words coming from the Ottoman Turks from the fifteenth and nineteenth centuries and they entered the Romanian language in two stages: the 15th-17th centuries; 18th and 19th centuries. The former are more frequent and used in popular environments, the latter being mostly used in writing or in the neat talk of the Phanariot era (1711-1821). All these words refer to the house and the objects in the house (*acaret*, *balama*, *divan*); food and beverages (*baclava*, *musaca*, *cafea*, *rachiu*); clothing (*basma*, *ciorapi*); flora and fauna (*dovleac*, *zambilă*, *bursuc*); trade (*chilipir*, *cântar*, *saftea*); trades, tools, parts (*băcan*, *cazangiu*, *cazma*, *pingea*); attributes (*ageamiu*, *lichea*); words for abstractions (*berechet*, *belea*, *cusur*, *hal*, *tabiet*); various meanings (*bacış*, *ciubuc*, *haram*, *halal*, *zaiafet*).

As for the ad hoc corpus of words taken from different sources (Şaineanu, DLR, Dimitrescu, Suciu), we notice that the lexical elements usually have more than one way to contribute to the forming of verbal idioms in the Romanian language. Obviously, the quoted sources do not record all the Romanian verbal idioms that we find either in every day speech, in the lexicographic works of various types, or in some literary works.

### **3. Onomasiological groups determined by the key term**

#### **3.1. *The house and the objects in the house***

*a avea acareturi (multe)* meaning "to be rich"

*a nu mai ști numărul acareturilor* meaning "to be rich"

*a tăia alatul* meaning "to untie" "to release"

*a face ceva cu astereală* meaning "to work wisely"

*a rămâne cu ochii la bagdadie* meaning (*bagdadie „tavan sau perete din șipci tencuite”*)

*a-și ieși din balamale* meaning "to become very angry"

*a unge balamale*

*a pune bina pe cineva* meaning "to trust" (cf. *Bina* meaning "building")

*a pune la butuc*

*a trage cu bidineaua* meaning "to cover a stupidity/a thing badly done"  
*a-și lua calabalâcul* meaning " to leave"  
*a-și face calabalâcul* meaning " to pack his/her things"  
*a avea parte de calabalâc* here meaning: " to make a lot of noise"  
*a se scula cu fața la cearceaf* meaning "not to be in a good mood"  
*a albi cearceafurile*  
*a lega la ciocchină* meaning "abandon someone to his/her fate"  
*a pune la ciocchină* meaning " to forget "  
*a-și rupe ciochinele degeaba* meaning "to walk around in vain"  
*a spânzura/a atârna la ciocchină* meaning " not to care", " careless "  
*a face conac*  
*a trece prin dârmon*  
*a sta de divan*  
*a ajunge la divan*  
*a se da în dulap*  
*a întoarce pe cineva ca în dulapuri*  
*a juca pe cineva în dulap*  
*a-i trage un dulap*  
*a învârti dulapuri*  
*a învârti/a întoarce chichițe și dulapuri*  
*a bate dușumeaua*  
*a băga un fitil*  
*a lua (un) fitil*  
*a pune un fitil*  
*a da câte un ibrișin (pe la nas)*  
*a trage un ibrișin*  
*a lua luleaua (neamțului)*  
*a schimba macazul*  
*a face mușama*  
*a trage oblonul* meaning "to close temporary or for good a business",  
"to cease doing or talking about something"  
*a duce cu preșul* meaning "to lie to someone"  
*a da tina*  
*a da tava*  
*a sta cu ochii în tavan*  
*a ridica până la tavan*  
*a atinge tavanul*

*a-ți pica tavanul în cap a sta pe tandur*

Statistically, there are 35 idioms included in these series of the 121 units selected by us, which means 25% of the total Turkish words and 4% of the thematic groups considered here.

From vehicle verb, we notice the series appearing in the idioms constructed with any other type of key words: *a băga* (to introduce) (1); *a da* (to give) (4); *a duce* (to carry) (1); *a face* (to do)(4); *a ieși* (to exit) (3); *a învârti* (to spin) (1); *a (se) lăsa* (1); *a (-i) lipsi* (to miss) (1); *a lua* (to take) (6); *a pune* (to put) (5); *a schimba* (to change) (1); *a spânzura* (to hang) (1); *a sta* (to stay) (1); *a trage* (to shoot) (3); *a trece* (to pass) (1); *a unge* (to lubricate) (1).

Of those idioms we added to the DLV list, (12 idiom units), a few use the above verbs: *a unge* (to lubricate)(1); *a sta* (to stay)(2), but most rely on other vehicle verb: *a ajunge* (to reach) (1); *a albi* (to bleach) (1); *a atinge* (to touch) (1); *a bate* (to blow, to beat) (1); *a pica* (to drop, to fall) (1); *a ridică* (to lift) (1); *a scula* (to raise) (1); *a ști* (to know) (1); *a trece* (to pass) (1).

Of the key words that are repeated with several support verbs, *filil* (3 occurrences) and *ibrişin* (2 occurrences) can be noted. We will return to the analysis of the form and meaning of these idioms in due time.

### **3.2. Names of food and beverages:**

*a bea aldămaşul* meaning " to seal a deal by eating and drinking together"

*a mâncă boc*

*a-i sări bâzdâcul* meaning "to become/get angry "

*a suflă în borşul cuiva*

*a lua caimacul* meaning "to take the best out of a deal/ situation "

*a face chef* meaning " to organize a party "

*a face o ciorbă (lungă)* meaning "to cook badly/ something with no taste"

*a face (un) ghiveci* meaning "to mix things up "

*a ieși (un) ghiveci* meaning " an unwanted combination of many different things "

*a suflă în iaurt*

*a prinde maia*

*a-i sări muştarul* meaning " to get angry "

*a pune sub obroc*

*a face papară*

*a face pastramă*

*a ajunge pastramă*  
*a face pilaf*  
*a face ramazan*  
*a-l tăia la ramazan*  
*a o da pe rachiu*  
*a găsi trufandale* meaning "to find rare things" " to buy fresh/hard to find food "  
*a o da pe rachiu* meaning " to have a drinking problem "  
*a bea tutun* meaning "to smoke"  
*(a avea) răbdare și tutun* ş.a. meaning "to be patient "

In most cases the process of preparing food expressed by key words explains the distribution of support verbs: *a face* (to make) (8 occurrences in DLV plus 3 other in the complementary series, thus 11 in total); *a pune*(to put) (3); *a(-i) sări*(to jump, to burst) (2); *a sufla* (to blow)(2); *a da* (to give) (2); *a pune* (to put) (2); *a ajunge* (to get), *a bea* (to drink), *a găsi* (to find), *a lua* (to take), *a ieși*(to come out), *a face*(to do), *a mâncă* (to eat), *a prinde*(to catch), *a tăia*(to cut) (1 each).

If we refer to the key words, they express cooked foods, ingredients, elements of various dishes, beverages, etc.

The meanings often result from the failure to explain the recipe, the exaggeration of processes, actions that contradict logic or moral norms. One idiom has even a scatological a meaning: *a mâncă boc*. We will return to them.

### **3.3. Terms for clothing**

*a păti o alagea*  
*a-și respecta (tine) anteriul*  
*a-i pica basmaua*  
*a (nu) purta basma*  
*a lega basmaua*  
*a îmbrăca binișul*  
*a îmbrăca caftanul*  
*a pune la ciorap*  
*a scoate de la ciorap*  
*a turti fesul*  
*a purta fesul* (in expressions: *interesul poartă fesul*)

*a feștel iacaua* (from Romanian *iaca* "the collar of a woman's coat",  
see the Turkish *yaká* "neck")

*a trage pe panglică*

*a-și ieși din șalvari*

*a trage cuiva un tighel*

*a ascunde sub tulpan*

Obviously, there are many more, and the semantic field of clothing and footwear is more productive than many others. Significantly marked social symbolism shows that, in fact, "Clothes make the man"...

As expected, key words are part of the semantic field of the way of dressing (popular or aristocratic), with the social meanings associated (*a-și ține anteriu*l), but also with those related to gender relations (*a nu purta basma* "to be a man"); to various states (agitation, worry, annoyance). Idioms and expressions of the type: *a pune/a scoate (de) la ciorap* can be integrated all so well in the thematic group of merchandise, finance, economic activities, because they are part of the range of the concept ("to save", "to use one's saved money"), richly represented by expressive idioms: *a produce/a ține/a scoate (de) la saltea* (with other key-words of different origins), ~ *la strujac*, etc.

Support verbs are also the ones we expect: *a pune* (to put), *a scoate* (to remove), *a lega* (to tie), *a purta* (to wear), *a trage* (to shoot), by 1-2, up to 3 occurrences, as most overlap the verb *a purta* (to wear).

### **3.4. The terms expressing flora and fauna**

The actual idioms are very few, although the semantic fields of the two concepts contain quite many terms of Turkish origin:

*a fi (un) catâr* meaning "to be very stubborn"

*a trage ca un catâr* meaning "to work very hard"

*a fi tare de dobleac*

*a avea dobleacul mare/tare*

*a avea dobleacul bun*

*a fi delicat ca o zambilă*

*a fi parfumat ca o zambilă* etc.

These idioms have a strong expressive load, and the floral and animal symbolism which is rich in any natural language explains this, as well as, the metaphorical expressions generated by these key words.

### **3.5. Musical instruments**

*a avea cobză*  
*a bate ciamburul*  
*a bate darabana*

Idioms are few and can rather form a subgroup in the vast group of "objects" of various types. It is again about the symbolic values of the musical instruments, of the type of music performed, with social, moral, more than aesthetic meanings. These attributes favor the formation of new words by derivation, composition, etc. For example, *a avea cobză* means "being skilled in the art of persuasion," "enchanting someone with his/her mastery of expression." This is how the verb *a cobzări* can be justified. It is used frequently even today, although "*cobza*" is a relatively old instrument in the practice of instrumental music. However, the equivalent *a chitări* has not been created. The denomination verb is commonly used, along with other metaphorical idioms and expressions: *a avea papagal*, *a duce cu vorba*, *a încânta* (from the same aesthetic and communicative sphere), *a duce cu zăhărelul* s.a.

*a bate ciamburul* means both "to keep pace" and "to announce", "to spread the news", "to reveal a secret", then to "dance" etc., see DLR, s.v.

### **3.6. Children or adults games**

*a juca pe cineva sau ceva la arşice* "to give away for nothing"  
*a da un pui de giol* "to win everything", "to steal" (see Turkish *çö'l* "the quantity of sheep bones that every gambler needs")  
*a juca la iazâc şi tura* "to flip the coin"  
*a face marť* "to win without the benefit of the doubt"  
*a face otuzbirul* "to play 31"

There are many more expressions, because when cultural clashes happen such "novelties" are in great demand as regards the influenced population. There are interesting deviations of sense, like the much-debated derived from *otuzbir* "31", got to *a lua cu otzbirul* "to take by force", "to be violent."

### **3.7. Trade, finance, economic activities**

Idioms based on key terms in this semantic group are explained by two extra-linguistic circumstances:

- a) The importance of money, resources and financial transactions in the life of any human community - thus an ongoing motivation for anthropology
- b) The historical background of the submission of the Romanian countries, including Transylvania, to the Ottoman Gate and, earlier, the ethno-linguistic contacts due to the movements of the pre-Roman populations on the present Romanian territory.

In the synthesis paper *Romania and Europe* ..., 2010, Bogdan Murgescu devotes a consistent subchapter to the impact of Ottoman domination on the economy of the Romanian countries, studying the economic pressure exerted in the suzerainty relationship, the payment of the reverential "haraci" and "peşcheş", by supplying the raw materials, products and labor, with the analysis of taxation, trade and productive structures in the fourteenth century (1396) - the nineteenth century (1877). It was normal for such a long period of economic contacts to leave deep traces in the specialized vocabulary of the Romanian language, even though in the Romanian countries the idea of "paşalâc", meaning "total domination" was only partial and temporary.

*a lăsa amanet*  
*a face alışveriş*  
*a pune calupul*  
*a da bir cu fugiții*  
*a prinde cu ocaua mică*  
*a nu avea o para (chioară)*  
*a câştiga paraua*  
*a nu face o para*  
*a împușca paraua*  
*a știi câte parale face*  
*a fi de trei parale*  
*a lega paraua cu trei noduri*  
*a lua la trei parale*  
*a face pe cineva de trei parale*  
*a face safteaua*

The list can be long, even if we leave aside terms like: *bacşış, ciubuc, peşcheş* etc.

The fact that the same key word generates numerous metaphorical expressions and metaphors with different verbs (cf. *pară*) shows how frequent

some words from this semantic sphere were in the speech of these centuries of cultural and political-economic contacts (14th century - 19th century). Their vitality even in the present day and age, confirms their old frequency. We will come back with detailed analyzes of denotational and connotative meanings of some of these words and phrases in the case study that concludes this chapter.

### **3.8. Human qualities and defects**

- a fi abraş (la inimă)* "to be evil", "to be obstinate"
- a ieşi abraş* "to be defeated"
- a avea un adet* "have a habit"

And these are more numerous, in fact, because of the already human predisposition to make judgments about human qualities and defects. We chose only three relatively abstract terms in principle, but value judgments take the form of metaphors based on the vocabulary of concurrent objects in everyday life, as we have seen from the lists of other thematic groups.

### **3.9. Abstraction names**

- a face cuiva alai* meaning "to make a scandal"
- a lua cu anasâna* meaning „to take by force”
- a ajunge la aman* meaning "to get into trouble"
- a lăsa pe cineva la aman* meaning "to oblige someone", "to abandon someone in difficult times"
- a zice aman* meaning "to beg for forgiveness"
- a nu da aman* meaning "to refuse to forgive someone"
- a intra în bucluc* meaning "to get into trouble"
- a da buluc* meaning "to swoop"
- a face cabul* meaning "to get to an agreement"
- a avea cabul* meaning "to be superstitious"
- a face tuflă*
- a face zulă* meaning "to steal"
- da cu zula* meaning "to steal"

I have shown above how almost each thematic group relies on the process of abstraction of key terms within the metaphor of the whole construction. For example, tc. *bölük* meant a small, rapid military formation

specializing in robbery incursions. The Romanian idiom is based on an extension of sense, which accompanies other lexico-semantic transfer mechanisms. So, such a group of idioms is, in fact, redundant.

#### **4. Conclusions on TC distribution by onomasiologic groups**

1. The key terms of Turkish origin in the structure of verbal idioms, metaphorical expressions and idioms of verbal value from ancient Romanian occupy an important place, primarily from a statistical point of view. Nearly 25% of structures of this type are based on a defining element derived from one of the layers of Turanian or Turk-Tartar influence.

2. Their frequency increases with variants which have in their structure different support-verbs (from Latin or non-Turkish bases), as well as non-verbal expressions (adjectival and noun phrases, etc.) with the same key term. There are also many derivative, composite, or conversion uses which come from the same basic terms.

3. The denotational meanings are intertwined with the connotative ones, and the latter are based on a popular symbolism, with material and spiritual referents at a general level.

4. There are several other semantic fields worth considering from this semantic-structural perspective.

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# INTENSITY OPERATORS IN ROMANIAN AND SPANISH

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## Abstract:

In human communication, the ascertaining acts of speech are most often doubled by certain evaluative acts. Man is tempted, through his nature, to issue certain judgements of value with regards to everything that surrounds him and/or with regards to his own being. These are reflected in the linguistic structures in complete concordance with their degree of logical pithiness: some are more discretely formulated, such as implicit comparisons or intermediary graders, of detail for unquantifiable assessments, others are categorical formulations, placed at the beginning end of certain subjective or objective value axes.

In the following, we shall present several logical-linguistic means of expressing highest intensity within two genealogically related languages – Romanian and Spanish.

## Keywords:

Intensity, grammaticalization, variability, lexical level, morphological pattern.

## 1. Objectives

“Intensity” is a semantic category that implies judgements of value which reveal complex logical, psychological and linguistic interrelationships. The manners in which intensity is expressed reveal the language’s willingness to utilize methods which have not been subjected to use, with the purpose of ensuring its own poignancy and freshness<sup>1</sup>.

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<sup>1</sup> The subject of the defining characteristics of intensity, in the context of grammatical category, was approached by: Mioara Avram, *Gramatica pentru toți*, București: Humanitas, 2001; Elsa Lüder, *Procedee de gradație lingvistică*, Iași: Editura Universității ”Al. I. Cuza”, 1996; Corneliu Dimitriu, *Tratat de Gramatică a Limbii Române*, vol. 1, Iași: Institutul European, 1999. From a logical-semantic perspective, this concept was researched by Jean-Claude Anscombe and Irène Tamba, „Autour du concept d’intensification”, in: *Langue française*, n°. 177, Paris: Larousse, 2013, pp. 3-8; Patrick Charaudeau, *Grammaire du sens*

In the present paper, we focus upon the lexical and morphosyntactic means of marking the highest/lowest intensities in contemporary Romanian and contemporary Spanish, by performing a brief descriptive and contrastive-typological analysis of the structures. In order to provide examples, we shall consider the heterogeneous language of blogs, which blur the differences between the cult and colloquial registers.

## **2. The general theoretical framework**

In order to establish a general theoretical framework, we begin from the classic idea of communication as a process through which a sender sends a message to a recipient. Although it can be realized between two animals or between man and animal, the message circulates by means of linguistic signs only in the case of interhuman communication. The two categories of signs (linguistic and semiological) used in human communication allow for the separation of essential communicative types: semiological or nonverbal (any type of communication which does not imply using the human voice), verbal or linguistic<sup>2</sup>. Our attention shall be oriented towards linguistic communication; yet, new delimitations are imposed in this situation as well, as communication may be both oral and written. In principle, the written aspect of a language significantly differentiates itself from the spoken one. Compared to speaking, writing is of a greater complexity and implies a certain degree of elaboration, organization. The degree of involvement of the one that sends the information is sometimes reduced to this type of communication, and the information is a lot more focused. Often regarded in a dichotomous manner, the types of communication must be understood as a *continuum*, through the interferences that appear between them<sup>3</sup>. A relevant example in this respect is constituted by the language of blogs, within which we find many elements specific to the spoken language<sup>4</sup>.

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*et de l'expression*, Paris: Hachette Éducation, 1992; Georges Kleiber, „À la recherche de l'intensité”, in: *Langue française*, n° 177, Paris: Larousse, 2013, pp. 63-76.

<sup>2</sup> Cf. Jean-Marie Essono, 1998, p. 22.

<sup>3</sup> About the written-oral relationship, from a diachronic perspective, cf. Ion Gheție, Alexandru Mareș, *Originile scrисului în limba română*, București: Editura Științifică și Enciclopedică, 1985.

<sup>4</sup> About the language of blogs, cf. Rodica Zafiu, „Limbajul informatic și al mediilor electronice”, in: Rodica Zafiu, *Diversitate stilistică în româna actuală*, București: Editura Universității din București, 2001, pp. 86-90.

According to linguist Eugenio Coşeriu, a crucial factor which must be taken into consideration when speaking about communicative types is that of the essential variability dimensions of a language. Variability represents the fluctuation capacity of natural languages, which, when updated, either in written or oral form, take on multiple forms, they become diverse. The description of a language's variations, the exploration of its creative potential, are not possible without analysing the diatopic - diastratic - diaphasic correlation.<sup>5</sup> The three elements target the following aspects:

- ✓ diatopic: includes geographic parameters, which influence the linguistic behaviour (different regions; village-city; centre - suburb etc.)
- ✓ diastratic: considers differences regarding sociological parameters, such as age, sex, social class, level of education etc.
- ✓ diaphasic: reflects the contrast between the formal and informal registers, the functional styles etc.<sup>6</sup>

Eugenio Coşeriu claims, however, that due to otherness, both diversity and homogeneity must be analysed: the diatopic element develops dialects, the diastratic element refers to social hierarchy, and the diaphasic element - language styles.<sup>7</sup>

Italian linguist Alberto Mioni associated a fourth dimension to these three, the diamesic dimension, regarding the differences created by the channel used in communication: spoken language/written language/sent language.<sup>8</sup>

In the current article, we aim to follow the interferences which occur between the cult and colloquial registers, respectively between the written and spoken language, in the encryption of the highest/lowest intensity, based on our working corpus.

### **3. Highest/lowest intensity operators in Romanian and Spanish**

As we have already mentioned, “intensity” is a fundamental semantic category, which has as aim both the assessment of the degree to which a characteristic/feature is manifested, and the speaker’s attitude, with profound implications at all language levels. With regards to the concept, researcher Albelda Marco states:

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<sup>5</sup> Cf. Eugenio Coşeriu, 1995, p. 11.

<sup>6</sup> Cf. *Idem*, 2000, p. 263.

<sup>7</sup> Eugenio Coşeriu, 1995, p. 16.

<sup>8</sup> Cf. Alberto Mioni, 1983, pp. 508-510.

*,,(...) la intensificación se define como la forma de la gradación que supone un refuerzo de los rasgos semánticos de una palabra. Está representada en un eje gradual en el que existen puntos intermedios entre dos polos.”<sup>9</sup>*

This logical-semantic and grammatical category is expressed through means of expression that are relatively similar in Romanian and in Spanish, and which can be found in all Romance languages, to a certain extent. Most often, speakers attempt to over-assess or under-assess the referent within their message by referring to the socio-linguistic norm, which, of course, reflects the logical-ontological norm that is socially expected. That is why, in most texts/discourses, we find the most diverse intensification marks, and in certain situations, intensive methods may even coexist within a single sentence.

Of course, we do not plan to perform an exhaustive presentation of the forms, but we shall analyse the primary types identified based on the corpus, depending on two of the traditional linguistic analysis levels: lexical and morphosyntactic. The situation within the two languages offers an overall image of the phenomenon.

### **3.1. The lexical level**

A linguistic community can frequently determine the appearance of certain important changes within the language, which are particularly reflected at lexical level. On the one hand, changes are determined by the speaker's need to indicate new linguistic realities by name, and on the other hand, changes reflect individual psychological or social values. As such, there are signs which have a referential function, which is more or less objective (for example, “dezinformare”), and an expressive function, which is generally subjective (for example, “dragul meu”). A linguistic form is always constructed on the foundation of another form, already existent within the language, as is specified by the French researcher, Patrick Charaudeau:

*,,Il n'y a pas de création ex nihilo, pour la bonne raison que c'est le sens qui est en jeu dans toute création linguistique et que toute forme est associée à un sens.”<sup>10</sup>*

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<sup>9</sup> Albelda Marco, 2007, p. 25.

<sup>10</sup> Patrick Charaudeau, 1992, p. 67.

P. Charaudeau identifies three situations which are at the base of lexical creations: “la situation de spécialisation” (specialized languages which evolve with scientific and technological progress), “la situation de vulgarisation” (the “vulgarisation” phenomenon; certain specialized terms enter the common use sphere), “la situation de quotidienneté” (the current language of a speaker).

With regards to the third situation that was presented, the French grammarian considers all language levels and registers:

*,„Cette situation engendre un vocabulaire du quotidien que l'on entend dans la rue, dans les bars, au cours de réunions amicales etc. Évidemment, dans une telle situation le vocabulaire peut être très mélangé. Mais d'une manière générale, il se compose d'une part d'un vocabulaire fonctionnel qui sert à décrire des faits d'expérience commune, et d'autre part d'un vocabulaire qui, suivant la mode et l'actualité, est mis sur la marché du langage par la bouche à oreille, la rumeur publique et, particulièrement, par les médias.”<sup>11</sup>*

In our case, the last two situations are representative, especially the last one, as, although it represents a means of written communication, the language used by authors of blogs often distances itself from the literary canons.

Within the lexical level, we incorporate both the derived means (prefixation/suffixation), as well as the lexicalized gradation forms (for example, “oribil”), which are very productive in Romanian and in Spanish. Some means are specialized only in encrypting the linguistic intensity, while to others we can add additional, connotative nuances, such as the depreciative one (for example, *ricachón* in Spanish, “bogătan” in Romanian). Many are the internal productions and they indicate the language’s sensitivity to the derivational process. From a linguistic point of view, the productivity of derivation is enforced by the structures which include prefixoids, often associated by researchers, and justly so, to another method: composition.<sup>12</sup> These formative phenomena have concrete lexical values and, moreover, they are charged with superlative semes which they transfer to the support word. As such, the resulting structure is a unit with semantic and morphologic

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<sup>11</sup> *Ibidem*, p. 66.

<sup>12</sup> Cf. Adriana Stoichițoiu-Ichim, 2007, pp. 10-11; cf. Petre Gheorghe Bârlea, 2013, pp. 234-236.

individuality. The phenomenon is normal in the case of the adjective, however, in certain situations, the prefixoids are attached to certain adjectives which are not adapted to the Romanian language, that respect the “trend”, particularly being borrowed from English:

- (1) „[La Campana] Este paradisul calamarilor. Pentru cei care sunt mari fani locul ăsta e **mega cool**.”  
(<http://www.bloguluotrava.ro/cum-mi-am-petrecut-3-zile-la-madrid-cu-mancare-buna-si-in-tribuna-la-mai-tare-meci-de-fotbal-din-lume/#more-18869>)

However, productivity is also observed in the context of attaching these formants to certain nouns. *Super-*, *mega-*, *macro-* on the one hand, and *mini-*, *micro-* on the other, are particles which, without changing the usual meaning, complete said meaning by means of semic adjunction<sup>13</sup>: [foarte mare], [foarte mic]:

- (2), „Poți să uiți de cumpărături, de calcularea caloriilor, de încercarea de a consuma destui **macronutrienți și micronutrienți...**” (<https://www.iulia-andrei.ro/m-am-trebit-cu-mancarea-la-usa/>)

- (3), „Uite că în ultimii doi ani, însă, băieții au reușit să o facă și încă în stil mare, aducând un suflu nou, ușor mai comercial, scoțând câteva hit-uri (sigur ați cântat și voi Pleacă sau Aşa și), organizând un **mega-concert**, având o prezență foarte vivace în online, scoțându-și oamenii mai mult la înaintare și individual (vezi Cornel Ilie - scrisoare ca-ntrre colegi, piesă cu Loredana Groza, co-antrenorul ei la Vocea României, sau Gabi Maga - piesă cu Cosmin Tudoran) și, mai mult decât orice, păstrându-și bunul simț care cred că le-a caracterizat de la început atitudinea în scena muzicală românească.”

(<https://danailie2004.blogspot.com/2013/11/concert-vunk-in-cafe-teatru-play.html>)

- (4), „El magnate Richard Branson anuncia **megaconcierto** para Venezuela, con el cual pretende colaborar para hacer llegar

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<sup>13</sup> Raluca Ionescu, 2004, p. 152.

*ayuda humanitaria al país latinoamericano, que en estos momentos atraviesa una de las más profundas crisis económicas de su historia.”*

(<https://www.rilinews.com/blog/richard-branson-anuncia-megaconcierto-para-venezuela>)

If, initially, the prefixoids had a cult character and circulated especially within specialized languages, in the current language, they are frequently selected due to their expressive value, as we are not interested only in the idea of “excess”, but in the force induced by the emphatic particle, as well. Furthermore, these translate, in a simplified manner, a quality superlatively appreciated. According to the criterion of occurrence, the forms with *super-* are the most frequent, both in the current Romanian language, as well as in current Spanish. The construction with a prefixoid, frequently selected by the blogger, is colloquial, difficult to identify in the literary language, which remains loyal to the canonical means of indicating intensity:

(5),“Acum, în 2019, odată cu venirea Primăverii, Sabon a lansat o nouă colecție și un packaging **super simpatic.**”

(<http://www.anamorodan.com/buckle-up-sunny-spring-head/>)

(6),“Los precios no son **super bajos.**”

(<https://www.mochileandoporelmundo.com/restaurantes-donde-comer-en-holbox-bien-y-barato/>)

Another formant which is similar in meaning and frequency of use in Romanian to *superH*, is the formant *mega-*. In the last few years, it has been perceived as a novelty from a functional point of view, and is more and more often associated with an adjective/adverb in order to express the idea of superlative, „*transferând semnificația din sistemul metric în sintagme din limbajul obișnuit:*” (translation: transferring the meaning within the metric system in common language phrases).<sup>14</sup>

(7),“[Sanita Carbon Mexicano] Este un loc care arată foarte cool, mâncarea este bună și pe seară lumea se distrează **mega tare.** Să încercați supă zilei. Tequila.”

(<http://www.bloguluotrava.ro/cum-mi-am-petrecut-3-zile-la-madrid-cu-mancare-buna-si-in-tribuna-la-mai-tare-meci-de-fotbal-din-lume/#more-18869>)

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<sup>14</sup> Raluca Ionescu, 2004, p. 156.

For Spanish, we have inventoried only one example within the corpus we selected, the one discussed above (see example 4).

However, *supra-/sobre-*, compared to *super-* or *mega-*, has less of an association power in derivational/composed structures:

- (8),“*Pasé de ser una chica joven y feliz, a sentir que los días se me hacían largos e insufribles. Pero, aun así, yo seguía haciendo un esfuerzo sobrehumano para cumplir con mi deber*”.

(<https://viviralmáximo.net/ano-sabático/>)

- (9),“*Uriașă cutie de tablă e supraîncărcată.*”

(<https://www.cristoiublog.ro/multime-de-gradul-10/>)

With regards to the other intensity pole, *mini-* is the prefixoid with the greatest frequency:

- (10) „*Una buena opción es tomar un barquito de la compañía Batobus y hacer un minicrucero por el río Sena, rodeando la Île de la Cité y llegando hasta Torre Eiffel, para regresar de nuevo. Podrás usar las veces que quieras los barcos con tu pase.*”

(<https://www.mochileandoporelmundo.com/mejor-itinerario-paris-tres-dias/>)

- (11) „*Lefkada este una dintre cele mai frumoase insule din Grecia și o destinație inspirată pentru vacanța de vară: ape de turcoaz, plaje sălbaticice, preparate culinare delicioase, minicroaziere și multe altele!*”

(<https://www.aerotavel.ro/blog/o-vacanta-reusita-la-vila-sunny-garden-din-nidri-insula-lefkada/>)

We have to mention the fact that, regardless of the part of speech to which they are attached, the position of these intensifiers is fixed in both Romanian and Spanish: they are ante-positioned against the base-word. The concise nature of prefixoids and their expressive force substantiates the speaker's option to use them in ever-new contexts.

Another important aspect which we have to mention is that of suffixation. Even though attaching a suffix within a base is a vastly used phenomenon, suffixes rarely gain superlative value in Romanian. A “borrowed” suffix, in accordance with the Romance languages model, unspecific to our traditional grammar system, is *-isim*, associated to an

adjective/adverb (*rarisim, importantisim*). In Spanish, the equivalent suffix, yet specialized as a mark of highest intensity, is: *-ísimo* (for example, *guapísimo*). The desinence superlative from Latin disappears when passing towards the Romance languages and is replaced by the periphrastic forms. Subsequently, it is once again introduced, by scientific means, in Italian, Portuguese and Spanish. For Spanish, the expressive force of the suffix *-ísimo* is evidently greater than the analytical prototypical realization by means of *muy*. *Una mujer muy hermosa* admits a judgment of value with a lower degree of subjectivity compared to *una mujer hermosísima*:<sup>15</sup>

- (12) „*Feliz Navidad! Espero que estéis pasando unos días estupendos con vuestros seres queridos y que disfrutéis muchísimo de estas fiestas.*”

(<http://www.allthatshewantsblog.com/search?updated-max=2019-01-08T08:30:00%2B01:00&max-results=3&start=6&by-date=false>)

- (13) „*En Almería hay productos de altísima calidad, y cuenta con muchas recetas propias que harán las delicias de todo el que las pruebe.*”

(<https://www.mochileandoporelmundo.com/donde-comer-en-almeria-tapas/>)

Concurrently, in Spanish, suffixes such as *-al* or *-ada* gain augmentative value and suggest highest intensity. Apart from these, diminutives also hold a special place (*cerquita: muy cerca*):

- (14) „*Imagínate la campaña de El Corte Inglés, unos grandes almacenes que invierten una millonada en publicidad. Ellos se pueden permitir gastar un dineral en diseñar un cartel donde este título no haga daño a la vista.*”

(<https://www.maidertomasena.com/titulares-con-numeros-copywriting/>)

The examples in the corpus have not emphasized such situations for the Romanian language, which allows us to state the fact that suffixation of this type is not as productive.

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<sup>15</sup> Ana Serradilla Castaño, 2005, p. 362.

With regards to adjectives/adverbs which are incompatible with the idea of intensification, as they already contain the superlative sign, these are recurrent in both languages: *colosal*, *magnific*, *cumplit*, respectiv *maravilloso*, *estupendo* etc.:

(15) „Atmosfera este **senzațională**. Să vezi un stadion plin care își încurajează echipa preferată e minunat.”

(<http://www.bloguluotrava.ro/cum-mi-am-petrecut-3-zile-la-madrid-cu-mancare-buna-si-in-tribuna-la-mai-tare-meci-de-fotbal-din-lume/#more-18869>)

(16) „*Es increíble lo que las personas llegan a decir a través de una pantalla. Y, créeme, eso no se olvida.*”

(<https://www.maidertomasena.com/errores-correo-puerta-fria/>)

The lexical level of expressing highest/lowest intensity represents a rather similar situation in both Romanian and Spanish, with the exception of the intensive value suffixation method, which is a lot more productive in Spanish.

### 3.2. *The morphosyntactic level*

Language is constantly transforming, and one of the linguistic tasks is that of studying this phenomenon, as to emphasize both the cause and the obtained results. The “grammaticalization” concept has been created at the beginning of the twentieth century with the purpose of emphasizing a certain type of linguistic change, that in which a lexical element transforms into a functional unit (the lexemes become morphemes).<sup>16</sup>

At morphosyntactic level, a first distinction can be made between the grammaticalized intensive value structures, fixed in other languages, and other types of constructions, non-grammaticalized, with occasional occurrence. In each of the Romance languages, there is a prototypic means of marking highest/lowest intensity. In Romanian, highest intensity is expressed by means of the operator *foarte*, which has lost its semantic and grammatical independence. Its evolution from lexical item to function unit has been gradual, within a subset of linguistic changes.<sup>17</sup> Its equivalent in Spanish is *muy*, which, in general, precedes the adjective or adverb:

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<sup>16</sup> Cf. Elizabeth C. Traugott, 1996, p. 183; cf. DŞL, s.v. *gramaticalizare*.

<sup>17</sup> Cf. Raluca Brăescu, 2015, p. 61.

- (17) „Acestia alungesc și subțiază vizual piciorul și sunt **foarte versatili!**”  
 (<https://www.iulia-andrei.ro/ce-incaltaminte-purtam-in-2019/>)
- (18) „Es **muy** optimista colarte en la bandeja de entrada de alguien y, de buenas a primeras, ponerte a pedir favores esperando que te los hagan.”  
 (<https://www.maidertomasena.com/errores-correo-puerta-fria/>)

Lowest intensity is expressed by means of the structure *foarte puțin/muy poco*, with the mention that, often, it is replaced by the adjective's antonym, in its basic form. We haven't identified any examples for the Romanian language in our corpus, yet, this type of construction is mentioned in *GALR*.<sup>18</sup>

- (19) „Una de las creencias que comparten estas personas es que vivimos en un mundo complejo, en el que existen **muy pocos efectos** que tengan una sola causa.”  
 (<https://viviralmaximo.net/ganar-casino-vida/>)

In *GALR*, it is explained that *tare* and *mult* are also found in the colloquial language, and they have the value of component adverbs of the superlative analytical forms, yet, the latter is perceived as old:<sup>19</sup>

- (20) „Cu toate acestea, San Diego Safari este o experiență **tare frumoasă** atât pentru cei mici, cât și pentru cei mari.”  
 (<https://www.iulia-andrei.ro/la-plimbare-prin-safari-san-diego-zoo/>)

In Spanish, the equivalent of *tare* may be considered *bien*, frequently found in informal language:

- (21) „Además la cervecita Turia está **bien rica**. El local, por cierto, nos encantó y el personal muuuuy majo.”  
 (<https://www.mochileandoporelmundo.com/donde-comer-en-almeria-tapas/>)

The excessive presence of a quality is signalled with the aid of the intensifier *prea /demasiado*:

- (22) „Îi blamăm pe cei care ne vor cu adevărat binele. Înțelegem **prea târziu** dragostea unor astfel de oameni.”  
 (<http://www.desprerealitate.ro/2019/03/nu-ti-e-dor-de-tine/>)

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<sup>18</sup> Cf. *GALR*, I, p. 161.

<sup>19</sup> *Ibidem*.

- (23) „*Por eso quiero avisarte antes de que sea demasiado tarde.*”  
(<https://www.maidertomasena.com/social-proof/>)

In the second category, that of non-grammaticalized structures, we shall include all forms constructed with a powerful expressive intention, which, most times, disappear from the language once with the relative loss their expressive capacity. As opposed to these, the prototypical forms are rather perceived as neutral, without implying a certain intention in their selection by the speaker. Among the constructions inventoried by *GALR*, it is considered that the most common construction used is that formed from an adverb, followed by the preposition “de” and by an adjective “*totdeauna în antepozиtie față de substantivul determinat*” („always in ante-position against the determined noun”), with the mention that the idea of superlative is found in the semantics of the adverb “*purtător al unor seme gradual-superlative*.” („bearing gradual-superlative semes”).<sup>20</sup> According to *GALR*, these structures may indicate: the highest degree of a quality (*colosal de, infinit de, fabulos de* etc.), exceeding a certain limit (*excesiv de, exagerat de*), the maximum distancing from a reference point (*extrem de*), superlative semes in the area of quality (*extraordinar de, fantastic de, formidabil de, desăvârșit de* etc.), semes in the area of the “*dezagreabilului (disagreeable)*” (*crunt de, cumplit de, fioros de* etc.), deviation from the class taken as point of reference (*anormal de, neobișnuit de, neverosimil de* etc.), incorporation under a certain class (*nemaipomenit de, nemaivăzut de* etc.).<sup>21</sup>

Based on the data provided to us by our corpus, we have identified both examples representative for the situations mentioned in *GALR*, as well as other structures which follow the same pattern. In the current article, we shall select a small number of examples, with the purpose of illustrating the language’s availability to always create new intensive value structures:

- (24) „*Eu îi consider un model extrem de sexy de încălțăminte și mă bucur să-i revăd printre tendințele Primăvară Vară 2019.*”  
(<https://www.iulia-andrei.ro/ce-incaltaminte-purtam-in-2019/>)
- (25) „*Frumusetea unei femei care devine insuportabil de dureroasă pentru bărbații care nu o pot avea și care devine mohorâtă și lipsită de mister pentru cei care au cunoscut-o cu adevărat...*”  
(<http://www.desprerealitate.ro/2018/05/absoluta-frumusete/>)

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<sup>20</sup> Cf. *GALR*, vol. I, p. 162.

<sup>21</sup> *Ibidem.*

In the first situation, there is a structure which is recurrent in the language, formed with the aid of an adverb that shows the distance from the generally accepted norm (*extrem de*), while the second structure, which is innovative, suggests the deviation from the class taken as point of reference (*insuportabil de*).

For the Spanish language, we have identified a series of similar examples, formed with an adverb and an adjective. The adverb is directly associated to the intensified adjective. In general, the adverbs ending in *-mente* are those that enter in such constructions (for example, *extremadamente*):

- (26) „*Hoy en día me siento un ser libre... y, como yo siempre digo, ¡asquerosamente feliz!*” (<https://viviralmáximo.net/ano-sabático/>)  
(27) „**Extremadamente preparada** para recorrerla sobre ruedas, no podemos olvidar que es uno de los **mejores viajes en autocaravana del mundo**, Nueva Zelanda es conocida también por ser un país tranquilo, en el que todo funciona correctamente y en el que la seguridad es la gran protagonista.”

- (<https://www.viajeroscallejeros.com/viaje-a-nueva-zelanda-36-días/>)  
(28) „*Gracias por el chute de motivación, es tan satisfactorio saber que el contenido os resulta de utilidad.*”

(<https://www.maidertomasena.com/titulares-con-numeros-copywriting/>)

In the case of the first example, we observe the use of an adverb found under the sphere of the disagreeable (*asquerosamente*) in a positive context, with the purpose of accentuating the feeling of happiness. In the second situation, the adverb *extremadamente* is used as an intensifier, equated in Romanian through the structure *extrem de*. The adverb *tan* appears in numerous examples, as is the case of the structure *atât de* in the Romanian language:

- (29) „*Greu de crezut însă, imposibil, să se poată păcăli dintr-o dată **atât de mulți**.*”  
(<https://blogsport.gsp.ro/ianitoaia/2019/03/18/ce-lume-rea/>)

There are also other structures used with an intensive value, such as: *de minune/de excepție/de vis//todo un sueño/de mis sueños:*

- (30) „*Tara asta este un tărâm magic, plin cu absolut orice ai nevoie pentru ca vacanța ta să fie **de vis**.*”  
(<http://www.blogluotrava.ro/destinatia-care-ofera-peisaje-care-pur-si-simplu-iti-taie-respiratia-insule-pitoresti-si-plaje-superbe/>)

(31) „*Como muchas ya sabréis, este fin de semana he tenido la enorme suerte de viajar a Sevilla para los premios Goya. Ha sido todo un sueño y la verdad es que aún no me lo creo.*”

(<http://www.allthatshewantsblog.com/search?updated-max=2019-02-07T10:52:00%2B01:00&max-results=3>)

With regards to the variety offered by the corpus we have selected, both for the Spanish language and the Romanian language, we have also identified a series of structures which can be equated or which have only a close equivalent in the other language (they can be translated through similar expressions):

(32) „*Plus: los cocktails están de muerte.*”

(<https://www.mochileandoporelmundo.com/restaurantes-donde-comer-en-holbox-bien-y-barato/>)

(33) „*Ámsterdam debería aparecer en cada listado que se precie de las ciudades más bonitas de Europa. Es elegante pero con espíritu rebelde, alternativa pero con aires coquetos, posee ricas recetas tradicionales con las que chuparte los dedos y ofrece montones de cosas que ver y hacer. En resumen, si tienes pensado un viajecito a este destino, vas a pasártelo en grande.*”

(<https://www.mochileandoporelmundo.com/las-mejores-excursiones-desde-amsterdam-de-un-dia/>)

(34) „*Este o piață de unde îți poți cumpăra pește proaspăt, fructe de mare, cele mai bune sortimente de mezeluri, celebrul jamon, tot felul de brânzeturi care mai de care mai gustoase.*”

(<http://www.bloguluotrava.ro/cum-mi-am-petrecut-3-zile-la-madrid-cu-mancare-buna-si-in-tribuna-la-mai-tare-meci-de-fotbal-din-lume/#more-18869>)

(35) “*Locul arată într-un mare fel, mâncarea este foarte bună, iar atmosfera este pur și simplu senzatională. De aici am plecat într-un club foarte aproape de Colón unde o trupă formată din 4 băieți la chitară cântau live.*”

(<http://www.bloguluotrava.ro/cum-mi-am-petrecut-3-zile-la-madrid-cu-mancare-buna-si-in-tribuna-la-mai-tare-meci-de-fotbal-din-lume/#more-18869>)

In order to verify the equivalence of the structures in the two languages, we shall try to translate the constructions, and they will be marked by an asterisk (\*). In the first case, the meaning of the structure *estar de*

*muerte* is *\*a fi mortal* (*foarte bun*), in the second case, (*pasartelo*) *en grande* has the meaning *\*într-un mare fel*. As you can see under example (35), the structure exists in Romanian as well, (*arată*) *într-un mare fel*. The construction *care mai de care mai gustoase* can be equated only approximatively by means of the expression *\*de las mas sabrosas*.

It is important to mention the fact that, most times, each language lexicalizes other constructions as to indicate highest intensity:

(36) *“În fond, e ușor să iubești când lucrurile merg strună, iar echipa ta câștigă meci după meci și competiție după competiție. Mai greu e însă, infinit mai greu, să faci dovada dragostei și a devotamentului în momentele proaste, de criză. La acest capitol, fanii Realului trebuie luati drept pildă.”*

(<https://blogspot.gsp.ro/2019/03/19/dragoste-la-greu/>)

(37) „Ok, aquí quizá **pequé de pardillo** y debería haberle pedido alguna garantía más, pero era un chaval joven, su historia me pareció creíble y yo me vi haciendo lo mismo si me hubiesen robado en el extranjero, así que decidí ayudarle.”

(<https://viviramaximo.net/coste-no-confiar/>)

“Pecar de pardillo” has the sense of *a fi prea naiv* and is constructed, at semantic level, based on a metaphor that suggest highest intensity.

At times, highest intensity is indicated by comparative structures. In this case, the reference term is represented by a template of the respective characteristic/feature:

(38) *“Pero lo que estaba por llegar era mucho más fuerte aún: entré en una depresión devastadora, lo cual se convirtió básicamente en la crisis existencial más fuerte que había tenido nunca.”*

(<https://viviramaximo.net/ano-sabatico/>)

(39) *“Cred că prostia devine perfectă atunci când întâlnim toate aceste 7 trăsături într-un om. Abia atunci putem spune cu mâna pe inimă: Bă, eşti proastă sau **prost ca noaptea**, de dai în bălți, de împungi, nu mai ai scăpare. Dacă prostia ar durea...”*

(<https://www.personalitatealfa.com/blog/7-trasaturi-ale-unui-om-prost-si-cum-sa-le-eviti/>)

A particular situation, which is frequent in Spanish, is that of the use of a post-positioned adjective against names with an intensive value:

(40) „Aviso a navegantes: Este proceso puede dar un miedo horrible, porque sientes que estás cambiando tanto, que a veces,

*no te reconoces ni a ti mismo. Si duele, adelante, es que vas por buen camino.”*

(<https://vivirmaximo.net/ano-sabatico/>)

(41) „*A México le teníamos unas ganas locas desde hace varios años.*”

(<https://www.mochileandoporelmundo.com/guia-de-viaje-a-mexico-peninsula-de-yucatan/>)

(42), „*Malgastarás una cantidad loca de tiempo, energía y dinero en anuncios que no te generarán los resultados que esperabas.*”

([www.maideromasena.com](http://www.maideromasena.com))

Even though these structures do have an equivalent in Romanian, we have not found similar structures in our corpus of texts. In the first situation, an adjective found under the sphere of the “disagreeable” is selected as to indicate highest intensity. In the second, the structure may be rendered by means of a compensatory construction “chef nebun”, with the mention that, in Spanish, it is especially used in plural form. A peculiar association is performed in the third situation, between a noun in the quantitative sphere, and an adjective that has qualitative value, *loca* („nebună”), which designates excessively lost time.

The analysis of these forms can continue, as both languages present a vast range of intensifiers, however, as we have mentioned, our purpose is not that of presenting an exhaustive inventory, but to discuss several of the most frequently encountered situation in our corpus of selected texts.

#### **4. Final comments**

As was observed, the language used in blogs is highly heterogenous both in the Romanian language and in the Spanish language, blurring the borders between the cult and the colloquial registers. Bloggers, just as usual speakers, resort to varied structures as to draw attention to their own discourse. When intensifiers are subjected to the use process, they are replaced with others which bear the mark of novelty, with the exception of grammaticalized forms, which are, as is known, much more stable within a language. In the case of Spanish, highest intensity is rendered by means of suffixation as well, a method that is lacking to a rather great extent in the Romanian language. At morphosyntactic level, we observe the availability of both languages with regards to encrypting intensity through similar means, but also their capacity to select certain different structures, created within the language.

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## ÉVÉNEMENTS

### REVIEW

**ANCA URSA AND NORA MĂRCEAN, *LIMBA ROMÂNĂ MEDICALĂ. ROMÂNĂ PENTRU OBIECTIVE SPECIFICE [ROMANIAN MEDICAL LANGUAGE. ROMANIAN FOR SPECIFIC PURPOSES]*, CLUJ-NAPOCA, EDITURA LIMES, 2018, 276 p.**

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Over the last few years, in addition to the general textbooks for learning Romanian as a foreign language (RLS/RFL), structured in accordance with the standards of the European Reference Framework for Foreign Languages, on the Romanian book market started to appear works related to teaching and learning specialized languages in RLS, especially in the medical field, many of them managing to meet high standards in terms of content and editing. This perspective has also been adopted by the two teaching staff members Anca Ursă and Nora Marcean of “Iuliu Hațieganu” University of Medicine and Pharmacy in Cluj-Napoca, in their book, *Romanian Medical Language. Romanian for specific purposes*.



The authors assert that the book was in the beginning a “coursebook for internal use only” having as target audience, first of all, international medical students and foreign physicians interested in “learning the medical

terminology in Romanian” (Ursa, Marcean, 2018: 11). Consequently, the content is adapted to this category of students, and the textbook can be successfully used by all foreigners interested in acquiring the medical language, but who already have strong Romanian language skills and are at a level of linguistic competence of B1 + / B2; otherwise, the foreigners’ attempt to study the material proposed for learning would be doomed to failure.

The material is very well structured in 12 learning units created in agreement with CEFR, each unit having five working levels (vocabulary and grammar, listening, speaking, reading and writing) followed by the transcription of the audio materials, the answer key to exercises and a selective bibliography. At the beginning of each lesson, under the title of the unit, the morphological and lexical items that the authors intended to address in the lesson are also mentioned.

Thus, at the structural level, each lesson comprises: a first part consisting of exercises or texts that are meant to support the theme announced in the title; the second part, dedicated to grammar notions that aim at updating knowledge through the “do you remember?” section or teaching-learning of the new morphology issues specific to the B1-B2 competence level; and the third part, which closes the unit, including the essential vocabulary, a table with the terms encountered in the unit, with their English and French translation.

The contents are inspired from common hospital communication situations, especially from physician-patient dialogues, being very well chosen and giving the impression of absolute authenticity. Moreover, the authors themselves testify in the Preface of the textbook that, in the spirit of teaching materials authenticity, they participated in the practical semiology courses for medical students, which inspired them to choose the learning themes of this volume.

In the first five lessons, the authors say, the patient’s path in the hospital is followed: hospitalization (*At the hospital. Spaces and people*), anamnesis, clinical and paraclinical examinations (*Paraclinical and diagnostic investigations*), treatment recommendations, and in the next six units 10 different medical specialties (cardiology, pneumology, gastroenterology, nephrology, rheumatology, orthopedics, ENT, dermatology, allergy, neurology, psychiatry) are included so that the last unit discusses some aspects of inter-culturalism (*The Romanian Patient:*

*Intercultural issues*), “inevitable in the process of immersion in the Romanian clinical context” (Ursa, Marcean, 2018: 11).

The medical content is introduced and practised particularly through communication skills (oral and written), but linguistic comprehensiveness is not neglected; thus, the authors have selected grammatical aspects such as: personal pronouns in the accusative and dative cases, verbs with reflexive pronouns in the dative case, prepositions and prepositional phrases in the genitive case, the interrogative and relative pronouns, but also the possessive and demonstrative pronouns, “articolul genitival”, the verb in the “conditional optativ” mood, “supin” and gerund verbs/moods, the passive voice, etc. All these notions included in the grammar section are presented very clearly and concisely, so that the textbook succeeds in avoiding overloading with metalingual elements, which the medical student does not need, because his/her purpose is to acquire the specialty terminology in order to use it appropriately for specific purposes and not to conduct a grammatical analysis. And in this sense, the authors’ and implicitly the work’s merit lies in the fact that, through very diverse and exhaustive contextual situations in which they place the non-native speaker, the authors succeed in training the oral and written communication competence supported by a developed linguistic ability.

Taking into account the topic, the book is useful for foreign students especially at the stage when they enter the hospital and work effectively with the patients under the guidance of Romanian doctors, the authors preferring the oral skills, the receptive ones and the production of texts (on medical topics such as: haemorrhage, gastritis, stroke or cerebrovascular accident, medical report, clinical observation sheet, medical advice, etc.), thus attempting to train the foreign students from the linguistic point of view, for their work as future physicians. In view of the varied contexts in which the trainee is placed and the variety of medical aspects (documents, clinical and paraclinical investigations, etc.) discussed, one can notice that the notions of human anatomy and physiology sporadically found in certain learning units (U6: anatomy of the heart, U8: the bone system) are dealt with at a subsidiary level. Therefore, we can notice that anatomical terms are mainly exploited in exercises (e.g., in U7: “match the images below with the organ series” for the digestive tract or excretory apparatus, etc.) without being explained before, at least in the present edition of the paper, in the form of theoretical information transmission, the student being put in the position of not being able to solve some exercises (we refer to the ones relating to choosing the correct answer,

finding the correct term for the given definitions, etc.) if s/he no longer remembers the notions of anatomy. Thus, taking into account the fact that the textbook follows the specialized curriculum of the third year of clinical studies for foreign students, and that at this level it is assumed that they have already acquired the basic notions of medical terminology, we believe that updating this knowledge before the terms are presented in exercises would be appropriate.

Another plus point of the textbook is undoubtedly given by the variety of exercises: from lexical exercises (antonymy, synonymy, definition, explanation, association), grammatical (substitution, transformation, joining, choice) to audio and composition exercises.

We have also been glad to notice the idea that each exercise was marked with a very suggestive symbol so that the learner can predict the competence assessed in that section. However, it must be mentioned, as a small imperfection, inherent in these types of materials, that some exercises, although having a clear requirement, are still ambiguous in terms of ways for solving them.

Also, speaking of a fairly comprehensive volume, with very rich information and abundant and highly specialized terminology with a high degree of abstraction, we consider that studying the whole book might pose problems to those foreign students who, although theoretically, have already been for three years in Romania, but have failed to develop the necessary skills in order to understand and produce oral texts/messages in RLS at a minimum level of B1-B2. With all these small drawbacks, which in no way affect the merit of the book, we need to notice that the publication of this textbook enriches and adds value to the contributions to medical terminology through RLS, and in the end, last but not least, we would like to appreciate both the graphic quality of the textbook with its very suggestive and sometimes funny pictures and photos, and the professional recording of the audio exercises.