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ARTICOLE – ARTICLES

NINETEENEIGHTYFOUR: ASPEKTE DES VERRATS

(NINETEENEIGHTYFOUR: ASPECTS OF "TREASON")

Simon ANGERER

Abstract: The following article aims at scrutinizing the motive of treason in George Orwell's novel *Nineteeneightyfour*. The text's main purpose focuses on the interpretation of the various functions of the notion of treason within the narrative. Furthermore, the article yields at revealing the connections between the motive of treason and the totalitarian forms of rule and governmental surveillance in *Nineteeneightyfour*. Additionally, this article attempts to isolate the narrative role of the notion of treason. The definition of the primary term treason adheres to Hans Magnus Enzensberger's *Theorie des Verrats*, which will provide the working concept of the arguments provided in the subsequent text. The aim of the article can therefore be defined as suggesting a clarification of the different aspects of treason and its occurring functions within the novel.

Keywords: *treason, betrayal, Orwell, totalitarianism, dystopia*

Einleitung

Weil jede Handlung eines jeden Untertanen sie bedrohlich düngt, antworten sie (die Herrschenden Anm. d. Verf.) mit der Gegendrohung, jeden beliebigen Akt, ja jede beliebige Gesinnung als Verrat zu bestrafen (Enzensberger, 1978: 371).

In seinem Essay *Why I write* definiert Orwell seine Motivation zu schreiben folgendermaßen: „Every line of serious work that I have written since 1936 has been written, directly or indirectly, against totalitarianism and for democratic socialism, as I understand it“ (Orwell, 1946: unpag.). Die totalitarismuskritische Absicht des Romans steht daher nicht zwingend zur Diskussion, während jedoch das mancherorts postulierte Verdikt, Orwell habe in seinem Roman einen abgeschlossenen, zu Ende gedachten totalitären Staat geschaffen, zumindest diskussionswürdig erscheint (vgl. Lange, 1982: 15, vgl. Zeißler, 2008: 40). Ausgehend von einer, vielerorts bereits konstatierten, teilweisen Inkonsistenz des totalitären Staates, in Gestalt einiger von der flächen-deckenden Überwachung ausgesparter Bereiche (vgl. bspw. Phillips, 2014: 134-145), soll die folgende Arbeit das Motiv des Verrats in *Nineteeneightyfour* fokussieren und dessen Funktionen in der Erzählung thematisieren. Neben der erzähltheoretischen Funktion des Motivs Verrat soll vor allem auf dessen Wechselwirkungen mit den im Roman dargestellten Erscheinungsformen totalitärer Herrschaftspraxis eingegangen werden. Das begriffliche Instrumentarium zur Beschreibung und Erfassung totalitärer

Herrschaft orientiert sich an einem definitorischem Minimum nach Uwe Backes (vgl. Backes, 2013).

Die Definition des Begriffs Verrat orientiert sich an Hans Magnus Enzensbergers *Theorie des Verrats* (Enzensberger, 1978), die aufgrund ihres weit abgesteckten Rahmens ein präzises Analyseinstrument zur Lokalisierung und theoretischen Erfassung der unterschiedlichen Facetten der Verratsmotivik in *Nineteeneightyfour* darstellt. Enzensbergers implizite Hauptthese, dass Verrat in erster Linie eine Frage von Definitionsmacht in Gestalt von Machtausübung sei (vgl. Enzensberger, 1978: 371), begünstigt das Vorhaben des Artikels, da sowohl der Primärtext als auch dessen zentrales theoretisches Analyse-instrument eine Verquickung von Macht und Verrat beinhaltet. Diese Verquickung liegt, wie die weiteren Ausführungen zeigen werden, allen untersuchten Erscheinungsformen des Verrats in *Nineteeneightyfour* zugrunde. In Bezug auf die Gattungskonventionen der Dystopie verzichtet der Text auf die Wiedergabe von bereits Bekanntem und verweist in erklärenden Fußnoten auf aktuelle, einschlägige Literatur (vgl. Zeißler, 2008, Pínter, 2010, Layh, 2014).

1. Typen des Verrates in *Nineteeneightyfour*

1.1 *crimen maiestatis*: Verrat als Verletzung der Herrschaft

Um sich an Enzensbergers Terminologie zu halten, wird das Motiv des Verrats als *laesa maiestas* oder *crimen maiestatis* in die Erzählung eingeführt. Verrat bedeutet hier nichts anderes, als die Verletzung der Herrschaft oder des Herrschenden (vgl. Enzensberger, 1978: 366). In Bezug auf Orwells Roman ist dieser Aspekt essenziell, da die Erzählung durch ein *crimen maiestatis* initiiert wird: Der Protagonist Winston beginnt mit der Verfassung eines Tagebuchs (vgl. Orwell, 2017: 13-16). „Jetzt wollte er sein Tagebuch beginnen. Das war nicht illegal (nichts war illegal, denn es gab ja keine Gesetze mehr) aber wenn es herauskam, durfte man ziemlich sicher mit der Todesstrafe oder mindestens 25 Jahren Zwangsarbeitslager rechnen“ (Orwell, 2017: 13).

Es zeigt sich in aller Deutlichkeit, dass der Akt des Tagebuchschreibens einen Verstoß gegen die herrschende Ordnung darstellt. Umgekehrt wird Winstons Schicksal bzw. der Verlauf des Romangeschehens dadurch bereits antizipiert. So notiert Winston in seinem Tagebuch: „Gedankendelikt hat nicht den Tod zur Folge, Gedankendelikt ist der Tod“ (Orwell, 2017: 37). Der Gedankenpolizei könne man nicht entrinnen, Gedankendelikte ließen sich nicht ewig verbergen (vgl. Orwell, 2017: 26-27). Davon ausgehend wird die Handlung permanent

von einer fatalistischen Todesgewissheit des Protagonisten begleitet, welche durch jene Verletzung der herrschenden Ordnung motiviert wird. Ob dieser Aspekt nun biographistisch als Referenz auf Orwells tödliche Krankheit während der Verfassung von *Nineteeneightyfour* (vgl. Schröder, 1988: 241), oder als latente Andeutung des ‚klassischen‘ dystopischen Romanendes¹ gedeutet wird, ist für die Funktion des Motivs Verrat zweitrangig. In Bezug auf das Vorhaben dieses Textes ist der Umstand von elementarer Bedeutung, dass der Niedergang des Protagonisten² durch einen Verrat im Sinne einer Herrschafts-verletzung initiiert wird.

1.2 Staatstragender Verrat: Verrat als Heldenat

Neben dem Verrat als *crimen maiestatis* (Enzensberger, 1978: 366), der in *Nineteeneightyfour* die genretypische Konfliktlinie Außenseiter vs. System³ begründet, wird im Rahmen der Exposition⁴ ein zweiter Typus des Verrats in die Erzählung eingeführt. Dieser betont die staatstragende und system-stabilisierende Rolle des Verrats, die in *Nineteeneightyfour* von einer Reihe an Akteuren erfüllt wird. Angefangen bei verschiedensten, ideologischer Indoktrination dienlichen, Jugendorganisationen der Partei, wie beispielsweise den Spitzeln oder der Jugendliga, bis hin zur Gedankenpolizei, werden in Orwells Roman Menschen im Dienst des Systems verraten.⁵ In Gestalt des Teleschirms ist ein nichtmenschlicher Verräter nahezu überall im Alltag eingebaut (vgl. Meyers, 2012: 2-4). Die Zeitungen in Ozeanien berichten tagtäglich von Kinderhelden, die ihre Eltern als Verräter enttarnen. Furcht vor den eigenen Kindern, den Nachbarn und prinzipiell allen Mitbürgern ist integraler Bestandteil der von Orwell entworfenen Lebensrealität. Die staatstragende Rolle des Verrats in *Nineteeneightyfour* erschöpft sich allerdings nicht in der Durchwirkung des ozeanischen Alltags durch regimekonforme Spitzel oder den Teleschirm. Eine zumindest suggerierte Omnipräsenz staatlicher Überwachung mag nun, vor allem in Gestalt des

¹ Das gattungstypische Romanende beinhaltet entweder die erzwungene Re-Integrierung oder die physische Vernichtung des rebellierenden Protagonisten (vgl. Zeißler, 2007: 30).

² Nach Phillips ist der Niedergang Winstons der eigentliche Stoff der Erzählung (vgl. Phillips, 2014: 134-145).

³ Der Widerstand eines Außenseiters gegen ein Regime ist ein zentraler Baustein des dystopischen Romans (vgl. Zeißler, 2007: 50-55).

⁴ Die Exposition dystopischer Romane beinhaltet die Schilderung der Lebensrealität in der darstellten dystopischen Welt (vgl. Zeißler, 2008: 27-31).

⁵ Derartige Organisationen stehen im Zeichen einer, für totalitäre Herrschaft typischen, möglichst umfassenden Mobilisierung der Bevölkerung für die Parteidoktrin (vgl. Backes, 2013: 63).

Teleschirms in dystopischer Manier extrapoliert,⁶ das potentiell erschreckende Ausmaß staatlicher Kontrolle symbolisieren, erinnert jedoch deutlich an das Charakteristikum einer möglichst effizient überwachten Gesellschaft in realen totalitären Regimen (vgl. Friedrich/Brzezinski, 1999: 231). Die permanente Angst vor „willigen Parolenschluckern, Amateurspitzeln und Gesinnungsschnüfflern“ (Orwell, 2017: 17) verweist auf einen weiteren systemimmanenten Mechanismus des Verrats, welcher den Verräter als Sündenbock kennzeichnet, der „die negativen, unzulässigen Energien einer Gesellschaft auf sich sammelt und mit seinem Tod“ (Brittnacher, 2014: 12), oder zumindest mit seiner Ächtung büßt. Die Abscheu und der Hass, den die Figur des Verräters auslöst, dient nicht allein emotionaler Abfuhr, sondern wirkt ebenso stabilisierend auf den Konformismus. Folglich besteht eine zentrale Charakteristik der Figur des Verräters darin, dass diese, im Sinne einer Strategie der Auslagerung, ein Kollektiv in die Lage versetzt, „den sozialschädlichen Hass einer Gemeinschaft zu kanalisieren und abzuführen“ (Brittnacher, 2014: 12). Projiziert man diese Ausführungen auf *Nineteeneightyfour*, zeigt sich anhand institutionalisierter Rituale⁷ wie dem Zwei-Minuten-Hass⁸ (vgl. Orwell, 2017: 16-25) oder der Hasswoche (vgl. Orwell, 2017: 180-190) der gemeinschaftsstiftende Effekt des Verrats (Brittnacher, 2014: 12). Paradigmatisch für den beschriebenen Zusammenhalt stiftenden ‚Sündenbock-Mechanismus‘, kann die Figur Emanuel Goldstein betrachtet werden, der Protagonist jedes Zwei-Minuten-Hasses:

Er war der Urverräter, der erste, der die Reinheit der Partei besudelt hatte. Alle nachfolgenden gegen die Partei gerichteten Verbrechen, alle Verrätereien, Sabotageakte, Häresien und Abweichungen von der Parteilinie entsprangen unmittelbar seinen Lehren. [...] Er verunglimpfte den Großen Bruder, er brandmarkte die Parteidiktatur, er forderte den sofortigen Friedensschluss mit Eurasien, er verfocht die Rede-, Presse-, Versammlungs- und Gedanken-freiheit, er keifte hysterisch, die Revolution sei verraten worden [...]. (Orwell, 2017: 19)

⁶ Die Dystopie extrapoliert vom Autor als negativ bzw. bedenklich empfundene Aspekte der jeweiligen zeitgenössischen Wirklichkeit in zeitkritischer Absicht (vgl. Pintér, 2010: 136).

⁷ Der Begriff wird nach Braungart, 1996: 94-99 verwendet. Braungart betont die entlastende Funktion von Ritualen, die sich allerdings nicht durch subjektive, selbst zu findende Sinnzuschreibungen vollzieht, sondern im gemeinsamen Vollzug gründet.

⁸ Der Zwei-Minuten Hass ist ein tägliches Ritual, in welchem Mitglieder der äußeren Partei einen Film über die Feinde des Regimes gezeigt bekommen und dabei ihren Hass aktiv zum Ausdruck bringen müssen (vgl. Orwell, 2017: 15-25).

Das Bild einer negativen Projektionsfläche, die alle der Regimeideologie widersprechenden Werte und Ideen in sich vereint, tritt hier in aller Deutlichkeit hervor.

2. Verrat als narratologisches Movens: Die erzähltheoretische Funktion des Verrats in *Nineteeneightyfour*

Nach Martínez/Scheffel kann ein Motiv einerseits ein Geschehnis im Sinn einer nicht intendierten Zustandsveränderung sein, oder Handlung im Sinn von Figurenhandlungen. In diesem zweiten Fall komme eine Situationsveränderung durch die Realisierung von Handlungsabsichten menschlicher oder anthropomorpher Agenten zustande. Umgemünzt auf den Beginn von *Nineteeneightyfour* ist die erste situationsverändernde Handlung in der Erzählung, aus der sich das gesamte weitere Geschehen (vgl. Martínez/Scheffel, 2016: 114-115) entspinnt, das Schreiben des ersten Tagebucheintrages. Es ist jenes Gedankenverbrechen⁹, ein *crimen maiestatis* im Sinne Enzensbergers, das *Nineteeneightyfour* erst erzählbar macht, da dieser erste Verrat den Protagonisten als Gegner des totalitären Regimes positioniert (vgl. Orwell, 2017:13-16) und die Konfliktlinie Außenseiter vs. System (vgl. Zeißler, 2007: 50-55) zu begründen scheint. Daraus entwickelt sich der eigentliche Stoff der Erzählung, jene Geschehnisse, die zu Winstons Wiedereingliederung und Tod führen (vgl. Phillips, 2014: 134-145). Diese Konstellation birgt allerdings einige Inkongruenzen. So wird im Laufe der Erzählung bald klar, dass nicht der Verrat in Gestalt der Niederschrift des ersten Tagebucheintrages den Konflikt des Protagonisten mit dem Regime initiiert, sondern der „endlose innere Monolog, der sich buchstäblich seit Jahren in seinem Gehirn abspulte“, dessen „Niederschrift kein Problem sein würde“ (Orwell, 2017: 14). Diese Passagen verdeutlichen die Tatsache, dass Winston als Figur in die Erzählung eingeführt wird, die dem Regime bereits vor dem Einsetzen der Romanhandlung feindlich gesonnen ist (vgl. Phillips, 2014: 136-137). Die Frage, warum der Tagebucheintrag trotz des Konzepts Gedanken-verbrechen als Katalysator fungieren muss, um Winston als Antagonisten des Regimes in Stellung zu bringen, mag an dieser Stelle legitim erscheinen. Der Verdacht, dass das erzähltheoretische Gefüge in Bezug auf die

⁹ Nach den Gesetzen Ozeaniens stellt ein Gedankenverbrechen eine Verletzung der herrschenden Ordnung dar. Es ist das Kardinalverbrechen, das alle anderen bereits in sich birgt, da buchstäblich alles als Abweichung von der Regimeorthodoxie gedeutet werden kann. Das bloße in Erwägungziehen von Gedanken, die von der offiziellen Doktrin abweichen, wird als Gedankenverbrechen gesehen und hart bestraft. Die Personen, die eines Gedankenverbrechens für schuldig befunden wurden, wurden vaporisiert, d.h. liquidiert (vgl. Orwell, 2017: 26).

Rolle dieses anfänglichen Verrates nicht ganz stimmig ist, erhärtet sich durch einen Umstand, der gegen Ende der Erzählung offengelegt wird: Nicht nur Winstons regimekritische Gedanken existieren bereits vor dem Einsetzen der Romanhandlung, sondern ebenso seine Observierung durch die Gedankenpolizei.¹⁰ Folglich scheinen Winstons, bereits vor der Romanhandlung begangene, Gedankenverbrechen¹¹ ebenso vor dem Anfang der Handlung entdeckt worden zu sein. Trotz der Einführung und Erklärung des Konzepts Gedankenverbrechen im Rahmen der Exposition, wird das Anlegen des Tagebuchs explizit als erster Schritt gekennzeichnet. Der physisch konkretisierte Akt des Schreibens initiiert die Handlung und nicht der innere Monolog, der sich seit Jahren angestaut hat (vgl. Orwell, 2017: 26). Dass letzteres ersteres bedingt, mag zwar den Gesetzen der Logik entsprechen, betont aber dennoch die Rolle des handlungsinitierenden Verrats als erzählerisch dynamisierendes Moment, das die Erzählung als eine Art Zündfunke in Gang bringt.

3. Fiktion und Projektion: Mechanismen des Verrats in *Nineteeneightyfour*

Die in Abschnitt 1.2 behandelte systemerhaltende Funktion des Verrats führt zu einem weiteren Aspekt, der die Rolle des Verrats als (totalitäres) Herrschaftsinstrument unterstreicht: den Mechanismen der Fiktion (vgl. Horn, 2007: 47) und Projektion (vgl. Enzensberger, 1978: 373-374/ 379-380).

Spätestens nach der Lektüre der Auszüge aus *Die Theorie und Praxis des oligarchischen Kollektivismus*¹², denen bescheinigt wird, als Tatsachenbericht korrekt und lediglich in Bezug auf die enthaltenen gesellschaftspolitischen Schlussfolgerungen Blödsinn zu sein (vgl. Orwell, 2017: 314), erschließt sich dem Leser die elementare Rolle von Fiktion¹³ im Herrschaftsapparat von Ozeanien. Auch wenn es Orwell gekonnt versteht, logische Lücken in der Erzählung mit dem fanatischen, radikalen Konstruktivismus (Mallon, 2019) der

¹⁰ O'Brien erklärt Winston, ihn bereits sieben Jahre lang zu beobachten. Nun sei die Zeit gekommen, ihn zu ‚heilen‘ (vgl. Orwell, 2017: 294).

¹¹ Jeder regimekritische Gedanke ist ein Gedankenverbrechen. (vgl. Orwell, 2017: 26)

¹² Der genannte Titel ist ein von Goldstein verfasstes regimekritisches Buch, in dem die Funktionsweise und Geschichte des Regimes und des politischen Systems Ozeaniens ausgeführt werden (vgl. Orwell, 2017: 314).

¹³ Der Begriff Verrat ist in Bezug auf die daraus gezogenen Schlussfolgerungen im Sinne von erfinden, erschaffen, formen, aber eben auch vorspiegeln, erlägen, vortäuschen zu verstehen (vgl. Horn, 2007: 47).

Regime-orthodoxie zu füllen, bleibt die Funktion der geschaffenen Projektionsflächen als Herrschaftsvehikel deutlich erkennbar:

,Existiert der Große Bruder?’ ,Natürlich existiert er. Die Partei existiert. Der Große Bruder ist die Verkörperung der Partei.’ ,Existiert er so wie ich existiere?’ ,Sie existieren nicht.’ [...] ,Ich denke, ich existiere,’ sagte er matt. ,Ich bin mir meiner Identität bewusst. Ich wurde geboren, und ich werde sterben. Ich habe Arme und Beine. Ich nehme einen bestimmten Platz im Raum ein. Kein anderer Gegenstand kann gleichzeitig denselben Punkt einnehmen. Existiert der Große Bruder in diesem Sinne?’ ,Das ist unwichtig. Er existiert. ,Wird der Große Bruder jemals sterben?’ ,Natürlich nicht. Wie könnte er sterben?’ (Orwell, 2017: 311-312)

Der Große Bruder wird dezidiert als unsterbliche Projektionsfläche gekennzeichnet, woraus sich seine Funktion in der herrschenden Ordnung erklärt: „Der Große Bruder ist die Verkörperung der Partei“ (Orwell, 2017: 311). Dem gegenüber wird die Frage nach der Existenz der Bruderschaft, Goldsteins geheimer Untergrundorganisation, bewusst im Dunkeln gelassen: „„Existiert die Bruderschaft?” ,Das, Winston, werden Sie nie erfahren. [...] Das wird Ihr Leben lang ein Rätsel für Sie bleiben“ (Orwell, 2017: 312). Wird der Große Bruder nun als religiöse, unsterbliche, allerdings fiktive Führungsfigur inszeniert,¹⁴ erweist sich ebenso sein Antagonist Emanuel Goldstein als fiktive Projektionsfläche, die als Negativ des Großen Bruders funktioniert. Diese, für die literarische Behandlung des Themas Verrat typische, Konstellation eines Helden und eines Verräters, die gegenseitig aufeinander bezogen sind, (vgl. Horn, 2007: 55) zeigt, wie sehr die propagandistische Funktion des Großen Bruders in einer unzertrennlichen Beziehung zu seiner Nemesis Goldstein steht (vgl. Orwell, 2017: 19). Hier zeigt sich, dass der bereits in 1.2 behandelte Sündenbock-Mechanismus als Mittel totalitärer Herrschaftspraxis¹⁵ auf bewusst geschaffenen Fiktionen und Projektionsflächen beruht: einer omnipotenten Führerfigur, der ein „Urverräter“ gegenübergestellt ist.¹⁶

¹⁴ Die Bedeutung (pseudo)religiös verehrter Führerfiguren wird in der Forschung stark betont (vgl. bspw. Maier, 1995: 396-401).

¹⁵ Der Umfang der praktischen Umsetzung des totalitären Anspruchs im Rahmen totalitärer Herrschaftspraxis wird im Ausmaß der Vernichtung des politischen, sozialen, ökonomischen und kulturellen Pluralismus sichtbar (vgl. Backes, 2013: 61-63). In *Nineteeneightyfour* ist eben jene Vernichtung äußerst weit fortgeschritten (vgl. Orwell, 2017: 49-61).

¹⁶ Die Konstellation Führerfigur und Urverräter erinnert stark an Judas und Jesus sowie aufgrund der nicht zufällig gewählten Analogien im Erscheinungsbild (wuchtiger Schnauzbart vs. Ziegenbart und runde Brille) an Stalin und Trotzki (vgl. Orwell, 2017: 19).

Die Funktion von Fiktionen als Mittel totalitärer Herrschaft beschränkt sich allerdings nicht darauf, Projektionsflächen für entlastenden, ritualisierten Kollektivhass zur Verfügung zu stellen. Die fingierte Rekrutierung von Winston und Julia für die Widerstandsbewegung der Bruderschaft durch den *agent provocateur* O'Brien (vgl. Orwell, 2017: 288) entpuppt sich ebenso als Fiktion im Sinne der Vorspiegelung falscher Tatsachen. Die Möglichkeit einer tatsächlichen Existenz jener ominösen Bruderschaft wird zwar nicht negiert, die Funktion der Bruderschaft als (fiktives) Fangnetz, um potentielle Dissidenten in die Arme der Gedankenpolizei zu treiben, wird jedoch dezidiert unterstrichen. Die Geschehnisse rund um Winstons Verhaftung suggerieren in aller Deutlichkeit, dass es sich bei Goldstein und der Bruderschaft um eine Erfindung des Regimes handelt: „Es gab keinerlei Beweise, bloß flüchtige Andeutungen, die alles bedeuten konnten oder nichts“ (Orwell, 2017: 25). Die Vorstellung eines real existierenden, organisierten Widerstands wird als Mittel gebraucht, um diesen bereits im Keim zu ersticken. Die Relevanz jenes fiktiven Widerstandes erschöpft sich daher im Romangeschehen in dessen Funktion als totalitäres Herrschaftsvehikel im Dienste einer möglichst tiefgehenden Durchherrsung¹⁷ der Gesellschaft.

Gezielte Fiktionen und die daraus resultierende Mythenbildung um den Großen Bruder und den Urverräter Goldstein erzeugen einerseits den bereits behandelten gemeinschaftsstiftenden, herrschaftssichernden Effekt. Andererseits offenbart sich im Vorhandensein negativer Projektionsflächen wie Goldstein oder den wechselnden Kriegsgegnern Ozeaniens ein weiterer Aspekt des Verrats: der Mechanismus der Projektion (vgl. Enzensberger, 1978: 373-374/ 379-380).

Das primäre Motiv der Projektion ist jenes des lachenden Dritten: Nach Enzensberger lässt sich zu jedem Verrat ein Profiteur finden. Dies sei die Logik der Paranoia (vgl. Enzensberger, 1978: 373-374). Auf *Nineteeneightyfour* projiziert zeigt sich, dass denunzierten Verrätern immer unterstellt wird, im Auftrag Goldsteins oder im Dienste des jeweiligen Kriegsgegners¹⁸ zu handeln. Der Terminus Verräter bzw. Gedankenverbrecher, um in der Politsprache Ozeaniens zu verbleiben, ist im Kosmos von Orwells Erzählung immer an einen der genannten möglichen Profiteure gekoppelt (vgl. Orwell, 2017: 19). In

¹⁷ Der Begriff der Durchherrsung bezeichnet den Grad der Durchdringung der Lebensrealität einer Gesellschaft durch die herrschende totalitäre Ideologie. In diesem Sinn gilt, dass eine Gesellschaft umso totalitärer beherrscht wird, je höher der Grad ihrer Durchherrsung ist. (vgl. Backes, 2013: 61-63).

¹⁸ Ozeanien führt in abwechselnden Allianzen Krieg gegen einen der anderen beiden Superstaaten der in drei Machtblöcke aufgeteilten Welt (vgl. Orwell, 2017: 45).

deren Dienst werden Sabotageakte und alle weiteren möglichen Formen des Verrates im Sinne eines *crimen maiestatis* begangen, wie beispielsweise auffällige Schuhe zu tragen (vgl. Orwell, 2017: 72). Umgekehrt stellt sich dem Verrat als Verletzung der Herrschaft der Verrat im Dienste der Herrschaft entgegen, im Zuge dessen Verräte zur Aufrechterhaltung der herrschenden Ordnung verraten werden. Hier zeigt sich, dass nicht nur omnipotenter Führer und Urverräte untrennbar aufeinander bezogen sind, sondern ebenso systemerhaltender Verräte und systemgefährdender Verräte.

4. Die Anderen als *black box*: Verrat, Verdacht und Überwachung in *Nineteeneightyfour*

Zum Unterbau, der im Theorem der doppelten Kontingenz vorausgesetzt ist, gehören hochkomplexe, sinnbenutzende Systeme, die füreinander nicht durchsichtig und nicht kalkulierbar sind. Dies können psychische oder soziale Systeme sein. Wir müssen von deren Unterschied einstweilen absehen und sprechen deshalb von ‚black boxes‘. Die Grundsituation der doppelten Kontingenz ist dann einfach: Zwei black boxes bekommen es, auf Grund welcher Umstände auch immer, miteinander zu tun. (Luhmann, 2002: 153)

Luhmanns Ausführungen zu doppelter Kontingenz und *black boxes* zeigen, wie kompatibel dieses Konzept mit der Darstellung zwischenmenschlicher Interaktion in der Lebensrealität von *Nineteeneightyfour*, einer „abgekapselten Einsamkeit“ (Orwell, 2017: 25), ist. Die Konstellation miteinander konfrontierter *black boxes* gilt keineswegs nur für die Romanfiguren, sondern ist integraler Bestandteil der aus Winstons Perspektive geschilderten Lebenswelt. Staatliche Überwachung, omnipräsente, propagandistisch geschürte Paranoia und gegenseitige Bespitzelung konstruieren eine gegenseitige Abschottung, die sich in Form minimaler sozialer Interaktion manifestiert, maßgeblich mit. Freundschaften oder starke soziale Bindungen scheint es in Ozeanien nicht zu geben, bzw. entspricht derartiges soziales Verhalten nicht der Parteilinie, denn „man hatte heutzutage keine Freunde, man hatte Genossen“ (Orwell, 2017: 62). Ausgehend von jener gegenseitigen Abschottung kann von einer Opazität der Anderen¹⁹ in *Nineteeneightyfour* gesprochen werden. Diese Nichteinsehbarkeit und Nichtkalkulierbarkeit der Anderen manifestiert sich beispielsweise darin, dass sich sowohl Julia als auch

¹⁹ Die Anderen sind in Bezug auf das hier Ausgeführte als psychisches System zu verstehen. Die Lebenswelt von *Nineteeneightyfour* ist als soziales System zu begreifen (vgl. hierzu Luhmann, 2002: 153-156).

O'Brien, die beiden anderen Hauptfiguren des Romans, als etwas offenbaren, das im Gegensatz zu Winstons anfänglicher Einschätzung steht. Die interne Fokalisierung (vgl. Genette, 2010: 121-124) auf Winston verstärkt das Motiv der Anderen als *black box*, da der Leser nur Winstons Wahrnehmung der geschilderten Welt kennt. Während Winston Julia zuerst für einen Spitzel hält und ihre Anwesenheit als bedrohlich empfindet, denn „speziell dieses Mädchen schien ihm gefährlicher zu sein als die anderen“ (Orwell, 2017: 17), glaubt er in O'Brien, in dessen Gesicht „nicht einmal Abweichlertum, sondern einfach Intelligenz geschrieben stand“ (Orwell, 2017: 18), einen potentiellen Verbündeten zu sehen.

Die Paranoia vor Verrätern (vgl. Enzensberger, 1978: 371-373) zeigt sich in Relation mit dem Motiv einer *black box* in zweifacher Weise. In die Lebensrealität von *Nineteeneightyfour* ist eine Paranoia des Systems vor Verrätern eingeschrieben, wie die omnipräsente Überwachung durch Teleschirm, Gedankenpolizei und Amateurspitzel zeigt. Aus dieser Omnipräsenz staatlicher Überwachungsorgane erwächst zusätzlich eine paranoide Struktur innerhalb der Gruppe der Beherrschten: die permanente Angst, anderen Bürgern Indizien für abweichendes Verhalten zu liefern:

Und doch war an der Tatsache nicht zu rütteln, dass, falls Syme – und sei es auch nur für drei Sekunden – die wahre Natur von seinen, Winstons, geheimen Ansichten erfasste, er ihn sofort an die Gedankenpolizei verraten würde. Das würde übrigens auch jeder andere tun. (Orwell, 2017: 70)

Die soziale Interaktion in *Nineteeneightyfour* beschränkt sich daher auf ein Minimum²⁰, ebenso ist die Angst vor Denunziation allgegenwärtig:

Es war entsetzlich gefährlich, in der Öffentlichkeit oder im Aufnahmebereich eines Teleschirms seine Gedanken schweifen zu lassen. Die geringste Kleinigkeit konnte einen verraten. Eine nervöse Gesichtszuckung, ein unbewusst-ängstlicher Blick, die Angewohnheit vor sich hin zu murmeln – alles, was auch nur den Hauch von Abweichung oder Heimlichkeit trug. Allein schon ein ungehöriger Gesichtsausdruck (zum Beispiel, bei einer Siegesmeldung eine ungläubige Miene zu machen) war ein strafbares Delikt. Es gab sogar ein Neusprechwort dafür: Blickdel. (Orwell, 2017: 78)

²⁰ Der Alltag im ozeanischen London wird als „abgekapselten Einsamkeit, in der man leben musste“ (Orwell, 2017: 25) bezeichnet.

Durch ebenjene permanente Angst wird die Konstellation miteinander konfrontierter *black boxes* erst konstruiert, da sich hinter jedem Anderen potentiell alles verbergen kann, die Fassaden allerdings nur regimetreue Bürger zeigen. Verstärkt wird das Motiv der Anderen als *black box* dadurch, dass sich sämtliche Spekulationen Winstons in Bezug auf das verborgene Innere anderer Figuren als falsch erweisen. Winstons Agieren im Geschehen (vgl. Martínez/Scheffel, 2016: 114) von *Nineteeneightyfour* kann daher als eine Reihe von Fehleinschätzungen verschiedener *black boxes* aufgefasst werden: O'Brien, zu dem Winston eine undefinierte Verbundenheit zu spüren glaubt, denn „etwas in seinem Gesicht legte diese Annahme unwiderstehlich nahe“ (Orwell, 2017: 18), offenbart sich als sein späterer Richter und Henker und sein Auftauchen in Winstons Leben als kalkulierte Strategie: „Ich (O'Brien Anm. d. Verf.) habe Sie sieben Jahre lang beobachtet. Jetzt ist der Wendepunkt gekommen. Ich werde Sie retten, ich werde Sie vollkommen machen“ (Orwell, 2017: 294). Julia hingegen erweist sich nicht als eine von jenen schönen, jungen Frauen, die im Besonderen die „bigottesten Anhänger der Partei stellten“ und „die willigsten Parolenschlucker, die fanatischsten Amateurspitzel und Gesinnungsschnüffler“ waren (Orwell, 2017: 17), sondern als diejenige, die ihn aus seiner „abgekapselten Einsamkeit“ (Orwell, 2017: 25) befreit.

Dasselbe Spiel funktioniert bei Mr. Charrington. Im Raum über dessen Antiquitätengeschäft finden Winston und Julia eine Art andere Welt vor, die nicht nach den Regeln des herrschenden Systems funktioniert. Im Kontext der Funktionsweise des Konzepts miteinander konfrontierter *black boxes* erweist sich jedoch auch dieser ideale, scheinbar von der Regimeüberwachung ausgenommene, Raum konsequenterweise als Falle des Regimes (vgl. Orwell, 2017: 265-269). Sogar bezüglich seinem Nachbar Parsons, „eines jener absolut bedingungslos ergebenen Arbeitstiere, von denen, mehr sogar noch als von der Gedankenpolizei, die Stabilität der Partei abhing“ (Orwell, 2017: 30), irrt sich Winston, als er diesen Prototyp des regimekonformen Bürgers in einer Gefängniszelle im Ministerium für Liebe wiedersieht: Anklagepunkt Gedankendelikt (vgl. Orwell, 2017: 281-283).

In einem totalitären System muss der Verrat zwangsläufig zum größten Feind des Regimes werden, da bereits jedes kleinste Detail, sei es eine innige sexuelle Beziehung oder das Schreiben eines Tagebuchs, eine möglichst tiefgehende Durchherrschung²¹ der Gesellschaft gefährdet. Davon ausgehend,

²¹ vgl. Fußnote 17.

konstruiert die allgegenwärtige Überwachung eine aus *black boxes* bestehende Gesellschaft, da die Angst, sich zu verraten, bzw. die Angst, verraten zu werden, die „abgekapselte Einsamkeit, in der man leben musste“ (Orwell, 2017: 25) erst generiert.

5. Der Körper verrät: leibliche Aspekte der Verratsmotivik in *Nineteeneightyfour*

In eine andere Dimension des Verrats führt der Aspekt der Körperlichkeit. So verweisen einschlägige Passagen des Romans nicht nur darauf, dass ein falsches Wort jemanden hinter Gitter bringen kann, sondern ebenso ein Zucken, ein Zwinkern, kurzum körperliche Regungen.

Die geringste Kleinigkeit konnte einen verraten. Eine nervöse Gesichtszuckung, ein unbewusst-ängstlicher Blick, die Angewohnheit vor sich hin zu murmeln – alles, was auch nur den Hauch von Abweichung oder Heimlichkeit trug. Allein schon ein ungehöriger Gesichtsausdruck (zum Beispiel, bei einer Siegesmeldung eine ungläubige Miene zu machen) war ein strafbares Delikt. (Orwell, 2017: 78)

Die Rolle der Körpersprache wird in *Nineteeneightyfour*²² deutlich betont: In einem System mit einer derartig weit fortgeschrittenen Sozialdisziplinierung scheint die einzige Möglichkeit der Gewinnung von Informationen über das Gegenüber in dessen Körper(sprache) zu stecken. Hier sei noch einmal auf das Konzept der *black box* rückverwiesen (vgl. Abschnitt 5). Im Zuge einer fast omnipräsenten staatlichen Überwachung kann die mentale Selbstkontrolle in *Nineteeneightyfour* als soweit fortgeschritten bezeichnet werden, dass der einzige nicht korrumptierte Output der *black box* Mensch wohl in der Körpersprache liegt, in jenen unbewussten Regungen und Affekten, mit denen Körper unvermittelt auf ihre Umwelt reagieren.

Am deutlichsten zeigt sich eine symbolhafte Metaphorik in der Schilderung von Winstons körperlichem Zustand. Die Hauptfigur wird als kränkliche und zerbrechliche Erscheinung mit einem auffälligen Krampfadergeschwür am Knöchel in die Erzählung eingeführt. Bereits Treppensteigen stellt eine körperliche Anstrengung dar (vgl. Orwell, 2017: 7-8). Weitere Beispiele für seinen desolaten körperlichen Zustand sind Winstons Schwierigkeiten bei der täglichen Morgengymnastik oder seine häufigen Hustenanfälle (vgl. Orwell, 2017: 43-48). *Nineteeneightyfour* ist in erster Linie als eine extrapolierte

²² Allgemein zu diesem Aspekt vgl. Jacobs, 2007.

Darstellung staatlicher Überwachung, totalitärer Herrschaftspraxis und deren Auswirkungen auf die Psyche des Individuums in die Literaturgeschichte eingegangen. Der physische Aspekt der Verratsmotivik zeigt allerdings, dass Winstons Körper und dessen Transformationen im Sinne eines Organdialekts²³ ein maßgebliches Element der Darstellung einer totalitären Gesellschaft bilden sowie die negativen Effekte totalitärer Herrschaft unterstreichen (vgl. Jacobs, 2007: 5). Winstons körperlicher Zustand bessert sich in seiner gemeinsamen Zeit mit Julia, sein Krampfadergeschwür verschwindet im Laufe ihrer Affäre fast vollständig, „das Leben war nicht mehr unerträglich (Orwell, 2017: 30). Die metaphorische Verknüpfung individuellen Glücks mit einer persönlichen Rebellion gegen das Regime verdeutlicht die Symbolhaftigkeit von Winstons gebessertem körperlichen Zustand in Gestalt des fast verschwundenen Geschwürs. Weiteren Aufschluss gibt das subversive Potenzial genossener Sexualität: „Ihre Umarmung war eine Schlacht gewesen, der Orgasmus ein Sieg. Es war ein gegen die Partei geführter Schlag. Ein politischer Akt“ (Orwell, 2017: 155). Diesem kurzfristigen Aufblühen steht Winstons körperlicher Niedergang im Zuge seiner Umerziehung bzw. Wiedereingliederung diametral gegenüber. Die Kapitulation vor dem Regime wird durch das Erkennen seines eigenen körperlichen Zustands eingeläutet:

„Sie sollen sich so sehen wie Sie sind. Ziehen sie sich aus.“ [...] Er war vor Schreck stehen geblieben. Ein gebeugtes, aschfahles, skelettartiges Etwas kam auf ihn zu. Der Anblick war erschreckend, nicht nur die Tatsache, dass er wusste, dass er sich selbst gegenüberstand. [...] Da und dort waren unter dem Schmutz verkrustete Narben zu sehen, und das Krampfadergeschwür beim Knöchel glich einem entzündeten Klumpen, von dem sich die Haut in Fetzen ablöste. Das wirklich erschreckende allerdings war sein ausgemergelter Körper. Der Brustkorb war so schmal wie der eines Skeletts, die Beine waren so abgemagert, dass die Knie breiter waren als die Oberschenkel. [...] Die Rückgratverkrümmung war unglaublich. (Orwell, 2017: 324-325)

Der ursprüngliche, konform leidende Körper des Protagonisten wird mit aller Vehemenz wiederhergestellt. Die deutlich erkennbare metaphorische Verwobenheit totalitärer Unterdrückung mit dem körperlichen Zustand des

²³ Der Begriff Organdialekt bedeutet, dass Menschen ihre psychischen Zustände und subjektiven Motivationen nicht nur durch Sprache sondern ebenso durch körperliche Symptome zum Ausdruck bringen. Grundlegend zum Begriff (vgl. Adler, 2015: 250-259).

Protagonisten eröffnet einen weiteren Aspekt der Verratsmotivik im Roman: der Körper als Risikofaktor, sich zu verraten.

Indiz hierfür ist die Funktion physisch-sinnlicher Eindrücke, die Orwell in die Beschreibung der Lebensrealität von *Nineteeneightyfour* einwebt. Erzählt wird eine Umgebung, die nur Ekel und Abscheu hervorrufen kann: Vom „ölichen, nach Salpetersäure schmeckenden Victory Gin“ (Orwell, 2017: 11), dem undefinierbaren Brei in der Kantine, in dem etwas herumschwimmt, das Fleisch sein sollte (vgl. Orwell, 2017: 64), bis zum allgegenwärtigen Kohlgestank in den Mietskasernen (vgl. Orwell, 2017: 7) präsentiert sich eine Welt, in der körperliche Sinne ausschließlich²⁴ negativ stimuliert werden. Winstons Körper ist, ebenso wie jene der anderen Mitglieder der äußeren Partei, permanent einer feindlichen Umgebung ausgesetzt. Umgekehrt verlangt die omnipräsente Paranoia²⁵ nach einer möglichst effektiven Affekt- und Instinktkontrolle, um durch eine derartig feindliche Umgebung hervorgerufene Reaktionen als mögliche Risikofaktoren zu unterdrücken. Die Orwellsche Realitätskontrolle (vgl. Orwell, 2017: 67) beschränkt sich daher nicht allein auf die Psyche der ozeanischen Bürger, sondern ebenso auf deren Körper. Der Körper kann innerhalb dieses Systems zum Verräter werden, da unmittelbare körperliche Affekte und Regungen einen Risikofaktor darstellen müssen, wenn bereits ein nervöser Blick oder eine ängstliche Zuckung jemanden verraten kann (vgl. Orwell, 2017: 78). Winstons Körper zeigt somit nicht nur die Effekte von Rebellion und Unterdrückung durch seine symbolhaften Transformationen an. Es wird zudem klar, dass ein integraler Aspekt der geschilderten dystopischen Alltagswelt im Bewusstsein über den eigenen Körper als Risiko besteht. Die im Roman dargestellte gegenseitige Abschottung ist daher ebenso physischer wie psychischer Natur.

In Anbetracht der Funktion der Körpermetaphorik in *Nineteeneightyfour*, scheint eine getrennte Betrachtung von Körper und Psyche wenig produktiv zu sein. Vielmehr bietet es sich an, von einer Ko-Autorschaft in Bezug auf die Konstruktion von Realität (vgl. Eder, 2004: 99) zu sprechen, wie sie beispielsweise bereits in Montaignes Essais begegnet: „Der Körper gehört ganz

²⁴ Dies gilt natürlich nicht für rebellierende Sexualität, welche allerdings verboten ist (vgl. Orwell, 2017: 155).

²⁵ Nach Enzensberger gibt es in der Logik der Paranoia keine Unschuldigen, nur Personen, die des Verrats noch nicht überführt wurden. Aus dieser Paranoiden Struktur erwächst ein Wahnsystem, das die jeweiligen Verschwörungsängste durch ein organisiertes Spitzelwesen bekämpft (vgl. Enzensberger, 1978: 366). In Bezug auf *Nineteeneightyfour* setzt sich dieses System aus der Gedankenpolizei, Amateurspitzeln und der Überwachung durch den Teleschirm zusammen (vgl. Meyers, 2012: 2-4).

zu unserem Wesen und bildet einen wichtigen Teil von ihm [...]. Die Lehre, welche unsere zwei Wesensteile scheiden und voneinander trennen will, hat sicher unrecht; es kommt im Gegenteil darauf an, sie wieder richtig zusammenzukoppeln und miteinander zu verbinden: von der Seele muss verlangt werden, nicht, dass sie sich abseits hält, sich nur mit sich selbst beschäftigt, auf den Körper herabsieht und nichts mit ihm zu tun haben will [...], sondern dass sie gemeinsame Sache mit ihm macht, ihn durchdringt, ihn liebt, ihm hilft, ihn leitet, ihn berät, ihn erhöht, ihn an der Hand nimmt, wenn er einen Irrweg geht, kurz, sich ihm vermählt und ihm dient wie ein Gatte dem anderen, damit sie nicht unabhängig voneinander und im Gegensatz zueinander nach außen wirken, sondern einheitlich und harmonisch.“ (Montaigne, 1984: 244-245 zit. nach Eder, 2004: 99)

Wird dem Umstand Rechnung getragen, dass im Zuge der dargestellten Herrschaftspraxis mentale und körperliche Disziplinierung Hand in Hand gehen, wie etwa bei der Morgengymnastik (vgl. Orwell, 2017: 43-48), zeigt sich ebenso in Winstons Folter die Vorstellung einer Verbindung zwischen Psyche und Soma.²⁶ Im Kontext der in diesem Abschnitt behandelten körperlichen Metaphorik werden Winstons körperlicher Zustand oder die Beschreibung der meisten Ozeanier als „klein, dunkelhaarig und ungestalt“ (vgl. Orwell, 2017: 76) als Organdialekte²⁷ lesbar. In scharfem Kontrast zum strahlenden, muskulösen Idealkörper der Regimepropaganda, „[...] großgewachsene, muskulöse Jungs und vollbusige Mädel, blond, vital, sonnenverbrannt, sorglos [...]“ (Orwell, 2017: 76), verraten diese Körperbeschreibungen im Sinne eines Organdialekts die negativen Effekte totalitärer Herrschaft auf die Bürger Ozeaniens.

6. Newspeak und Verrat: über die sprachlichen Bedingungen von Verrat in Nineteeneightyfour

,Begreifst du denn nicht, dass Neusperek nur ein Ziel hat, nämlich den Gedankenspielraum einzusperren? Zu guter Letzt werden wir

²⁶ Der Aspekt der Vorstellung einer Verbindung zwischen Körper und Geist zeigt sich in den angewandten Methoden bei Winstons Folter in Teil 3 des Romans, wo physischer Schmerz und „psychische Umpolung“ ergänzend eingesetzt werden, um den Protagonisten wieder in das System einzuführen. In der ersten Phase wird der Protagonist physisch maltraktiert, während die Phase der gedanklichen Umerziehung aus einer Mischung von Gehirnwäsche und der Androhung physischer Gewalt besteht. Die Verknüpfung der beiden Sphären zeigt sich hier ziemlich prägnant, da Winstons bis zu Unkenntlichkeit geschundener Körper (vgl. Orwell, 2017: 324-325) die Vorbedingung für seine Aufnahmefähigkeit der Regimeideologie darstellt. (vgl. Orwell, 2017: 273-357).

²⁷ vgl. Fußnote 23.

Gedankendelikte buchstäblich unmöglich machen, weil es keine Wörter mehr geben wird, um sie auszudrücken. Jeder Begriff, der jemals benötigt werden könnte, wird durch exakt ein Wort ausgedrückt sein, dessen Bedeutung streng definiert ist und dessen sämtliche Nebenbedeutungen eliminiert und vergessen sind. [...] Natürlich gibt es auch heute schon keinerlei Grund oder Entschuldigung für ein begangenes Gedankendelikt. Das ist lediglich eine Frage der Selbstdisziplin, der Realitätenkontrolle. [...] Die Revolution wird vollendet sein, wenn die Sprache perfekt ist. Neusprech ist Engsoz, und Engsoz ist Neusprech.' (vgl. Orwell, 2017: 67)

Eine Auseinandersetzung mit *Nineteeneightyfour* kann Newspeak natürlich nicht außer Acht lassen. Das obige Zitat, das die Prinzipien von Newspeak durch den Munde der Figur Syme in die Erzählung einführt, zeigt, dass Newspeak, wenn man so will, das totalitärste Herrschaftsvehikel in *Nineteeneightyfour* darstellt. Eine vollständige Implementierung von Newspeak, einer Sprache aus der alle sprachlichen Mittel der Regimekritik getilgt wurden, steht tatsächlich für die Idee eines konsequent zu Ende gedachten totalitären Staates, (vgl. Lange, 1982: 15) für einen idealen Totalitarismus (vgl. Zeißler, 2008: 40). Denn sofern Denken auf Sprache beruht, wird jede Regimekritik durch Newspeak nicht nur unsagbar sondern auch undenkbar und Verrat dadurch unmöglich.

Hier eröffnet sich allerdings ein im Roman nicht aufgelöstes Spannungsverhältnis. Die Ausführungen über Newspeak illustrieren eine zukünftige, tatsächlich totale Herrschaft des Regimes als die vom Regime angestrebte Vision. In Kontrast zu dieser Zukunftsvision bleibt in der Erzählung, trotz aller gattungstypisch extrapoliert²⁸ dargestellter Omnipotenz des totalitären Regimes, genügend Raum für Widerstand. Das Motiv des Verrats ist aber als Bedrohung der Herrschaft sowie umgekehrt als stabilisierendes Element in der erzählten totalitären Herrschaft allgegenwärtig, stellt also einen zentralen Aspekt der geschilderten Lebenswelt dar.

Hier mag der Gedanke angebracht sein, ob in Bezug auf das Vorhaben einer totalen Implementierung von Newspeak von einer Dystopie in der Dystopie gesprochen werden kann. Die Suspendierung einer tatsächlich vollständigen Kontrolle in die Zukunft kann als Versuch gedeutet werden, die Inkongruenzen des dargestellten Systems in *Nineteeneightyfour* zu umschiffen. Aufgrund des

²⁸ Die Dystopie extrapoliert vom Autor als negativ bzw. bedenklich empfundene Aspekte der jeweiligen zeitgenössischen Wirklichkeit in zeitkritischer Absicht (vgl. Pintér, 2010: 136).

Umstandes, dass das Geschehen der Erzählung nur durch eine Reihe von Freiräumen möglich ist (vgl. 3), ist ein „zu Ende gedachter totaler Staat“ (vgl. Lange, 1982: 15) wenigstens als angestrebte Utopie in der Erzählung präsent (vgl. Orwell, 2017: 67). Die vollständige Implementierung von Newspeak kann daher als eine weitere Extrapolation bereits dystopisch extrapoliert Elemente der Erzählung gelesen werden.

Conclusio

Haben die bisherigen Ausführungen Aufschluss über Rolle und Funktion des Verrats in *Nineteeneightyfour* gegeben, ist die Frage, ob der Verrat als ein subversives, die totalitäre Herrschaft unterwanderndes, Element zu betrachten, oder ob gerade der Verrat essenziell für deren Aufrechterhaltung ist, offen geblieben. Einerseits kann auf die systemstabilisierende Rolle des Verrats (vgl. 1.2) und die dafür eingesetzten Fiktionen und Projektionen als Herrschaftsvehikel verweisen werden (vgl. 3). Im Gegensatz dazu steht eine in Aussicht gestellte vollständige Implementierung von Newspeak, die einen Verrat im Sinne einer Herrschaftsverletzung undenkbar machen (vgl. 6) und die totalitäre Durchherrschaft²⁹ Ozeaniens abschließen würde. Ebenso würde jene vollständige Implementierung von Newspeak das gesamte in Abschnitt 1.2 thematisierte Spitzel- und Denunziantentum sowie die Gedankenpolizei als Instrument der Machtausübung obsolet machen. Dieser totalitären Utopie sind allerdings die Ausführungen O'Briens als Vertreter des Regimes entgegengestellt:

Den Ketzer, den Feind der Gesellschaft wird es immer geben, damit er immer wieder niedergeworfen und gedemütigt werden kann. Alles was Sie durchlitten haben, seit Sie uns in die Hände gefallen sind – all das wird weitergehen und noch schlimmer werden. Die Bespitzelung, die Verrätereien, die Verhaftungen, die Folterungen, die Hinrichtungen, die Verschleppungen werden niemals aufhören. Es wird sowohl eine Welt des Schreckens als auch des Triumphs sein.
(vgl. Orwell, 2017: 321)

Der in dieser Passage beschworene ewige Kampf zwischen dem Verräter und der Gesellschaft steht einer utopischen Zukunftsvision, in welcher Widerstand undenkbar bzw. unsagbar ist, dichotomisch gegenüber. Wenn die herrschende Ideologie darin besteht, Macht als Selbstzweck zu besitzen (vgl. Orwell, 2017: 313-321), muss ebenjene Macht auch ausgeübt werden. Offen bleibt daher

²⁹ vgl. Fußnote 17.

eine Aporie zwischen einem ewig zu führenden Kampf gegen den Verräter und der angestrebten Realisierung eines tatsächlich abgeschlossenen totalitären Staates durch die vollständige Implementierung von Newspeak (vgl. 6). Denn die grundlegende Bedingung für die Handlung von *Nineteeneightyfour* sind die kleinen Spielräume, wie Winstons, vom Teleschirm nicht erfasste, Nische (vgl. Orwell, 2017: 12), die Waldlichtung auf der sich Winston und Julia körperlich lieben (vgl. Orwell, 2017: 153-158) sowie Winstons Träume von der Vergangenheit (vgl. Orwell, 2017: 39-48), die von der totalitären Kontrolle im Roman ausgenommen zu sein scheinen. Der genretypische Konflikt zwischen einem Individuum und einem, in diesem Fall totalitären, System wird allein aufgrund von dessen Nicht-Abgeschlossenheit (vgl. Phillips, 2014: 136-37) erzählbar. Auch wenn diese Nicht-Abgeschlossenheit zumindest partiell als fingierte Falle für potentielle Dissidenten fungiert (vgl. 3), ist eine tatsächliche Nicht-Abgeschlossenheit Bedingung dafür, dass der Protagonist überhaupt widerständige Gedanken gegen das Regime entwickeln kann (vgl. Phillips 2014: 135). Die für totalitäre Staaten charakteristische Kluft zwischen postuliertem Herrschaftsanspruch und effektiv ausgeführter Herrschaftspraxis³⁰ (vgl. Backes, 2016: 19) gilt folglich ebenso für Orwells Ozeanien und ist grundlegende Bedingung dafür, dass das Motiv des Verrats in allen thematisierten Aspekten überhaupt in die Erzählung eingewoben sein kann.

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³⁰ Die Vernichtung des politischen, sozialen, ökonomischen und kulturellen Pluralismus mag in *Nineteeneightyfour* zwar äußerst weit fortgeschritten sein, allerdings birgt auch das ozeanische Regime einige, wenn auch minimale, Inkongruenzen, die den Roman überhaupt erst erzählbar machen.

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THE POWER OF WORDS AND IMAGES: THE POST-VICTORIAN CREATIVE BOOM¹

Carmen ARDELEAN

Abstract: In modern times, words and images have been endowed with the power of stirring human emotions. It all started in the first half of the 20th century, with its devastating conflicts and their effects on human lives and expectations, when a change of perspective was obvious in literature and arts. The discovery of hidden facets in the human personality resulted in intellectuals' quest for a different approach to life and relationships between people. Both literature and arts, albeit using different means of expression, aimed for free expression but were often met by the disapproval of a tired, still conservative society. Using a discourse analysis approach, this article aims to point out the influence of the cultural standards at the time and the response of new generations of writers and artists to these new challenges.

Keywords: *arts, challenge, cultural standards, literature, moral constraints*

1. Historical context in literature and arts

The post-Victorian years that marked the beginning of the 20th century drew a clear line of separation from the rigid norms maintained in literature and arts during Queen Victoria's reign. It was an intended break with the past and creators' need to find new paths and new means of expression, closer to real life and addressed to wider audiences.

The effects of the economic and political crises gave way to more democratic ideals, which were to leave their mark for most of the first half of the new century. During the Victorian age, the novel had already been acknowledged as the main literary genre, and characters were now more diverse, coming from different layers of society; but 20th century writers added a more open display of vice, decadence and human faults, while authors themselves experimented with language and challenged the still prudish, conservatory spirit specific after the turn of the century.

The fear of conflict and, later, the reality of war was a source of disillusionment and pain, that writers and artists were quick to grasp and refused to ignore in their works. More than anything else, disillusionment is a state of the mind, a painful reaction of human being confronted with the overwhelming,

¹ This paper is an extended version of a presentation made at the 2014 Round Table organized by the Department of Foreign Languages and Communication, Technical University of Civil Engineering Bucharest.

overpowering need to express freely what had been long refused by society in general.

Examples are many and relevant. In his novels and short stories, E.M. Forster, an outspoken sceptic, focuses on class conflicts and the hypocrisy resulting from the middle-class members' painful need to maintain a conservative hierarchy and distance from lower classes. Human feelings tend to be stifled, but they burst out nevertheless, bringing regret and frustration with them, as well as an often-destructive break from reality – as can be seen in *The Longest Journey* (1907) or *Howard's End* (1910). According to Forster's presentation by J. B. Beer, in *Encyclopaedia Britannica*:

Although the later Forster is an important figure in mid-20th-century culture, his emphasis on a kindly, uncommitted, and understated morality being congenial to many of his contemporaries, it is by his novels that he is more likely to be remembered, and these are best seen in the context of the preceding Romantic tradition. The novels sustain the cult of the heart's affections that was central to that tradition, but they also share with the first Romantics a concern for the status of man in nature and for his imaginative life. (Beer, 2019: 158)

Cultural contradictions and social conflicts based on the new political developments are central in Orwell's writings, not only in his *1984* (1949), but also in less known, earlier novels, such as *Keep the Aspidistra Flying* (1936). He is often quoted for saying: "War is peace. Freedom is slavery. Ignorance is strength." But one of the best examples of the depiction of post-Victorian and 20th century English morals can be found in D.H. Lawrence's short stories and novels.

The same trend was discernible in the field of fine arts. The abstract rendering of human feelings was a decisive choice for artists such as Henry Moore or Barbara Hepworth, both having graduated from the Leeds School of Art in the 1920s. Most artists considered that the 20th century was the right time for explosive experiments, for a new way of looking at the human body beyond physical or surface features. It is the clash of feelings growing in artistic minds which can, by way of its effects onto the outside world, bring up major changes and the eventual acceptance of genius.

As self-appointed critics of the political decay and crises more obvious than ever in the life of the Old Continent, writers and artists prefigured the break with tradition and expressed the feelings of frustration and disillusionment that

were to lead to the two World Wars. Before anything else, it set off their instinctive need to break away with traditional constraints and to conquer the right to freely express the essence of human nature and feelings. A return to what is most genuinely and intimately human in body and personality – be it judged as shameful or unreasonable, according to Victorian standards.

It was a starting point for a completely renewed perception of the self, seen in all its complexity of its relationship with the world within and, at the same time, with the outside world. Last but not least, the determination to discover the essence, the pure reality hidden under conventional forms.

Forster, Orwell, Lawrence and many others were ready to use the tools of psychoanalysis in order to render powerful emotions whose authenticity had long been placed under doubt by the society. The sadness and despair following the tragedy of the First World War added to the discontent of creators who continued to search for a re-evaluation of the approach to life and death, love and hate, creation and destruction by conscious human decision.

In art, prefiguring Bacon's distorted, figurative art, Rosemary Allan's watercolours, Gillian Ayres' abstractionism or the realist revival of Moore's, Barbara Hepworth's or Brancusi's sculptures, Graham Sutherland chose to express his feelings through a realist lens of contrasting colours and shapes, which were to carry the new art well into the clash of the Second World War and the post-war revival. He is also one of those who found fresh ways of rendering biblical symbols, and his Christ - tormented by questions and pondering between the curse of humanity and the purity of Heavens, balancing between two realms and unsure of his final choice – has become a fundamental statement for his entire artistic period.

2. A discourse analysis approach to literature and arts in the 20th century

While, where language and – more specifically – literature is concerned, linguistics provides an opportunity to assess meaning with the help of a system of codes and conventions familiar to readers (Wells, 2003: 110), arts largely rely on the viewer's ability to decode visual concepts which, especially in modern times, combine the artistic means with subliminal meanings. In response to a long period in which images rendered little, if any of the true essence of human feelings and relationships, the 20th century art set out to revolutionize traditional codes and fake representations of human morals and truth. Indeed, discourse analysis seems far easier in literature than in arts,

especially if we consider Eco's view that any analysis of language should place it at the core of culture in its multiple forms (Eco, 1984). With language, the focus is on the content; with images, the focus lies on interpretation, that is, on the reflection of images in viewers' minds.

In both literature and arts, the context underlying the discourse is critical. Schiffrin (1994: 41, 43) underlines its multimodal characteristics within a context in which "utterances" (that is, units of language) "are inherently contextualized". In turn, Roland Barthes (2003: 110, 115) views images as parts of an ample "common space" which needs to be perceived and interpreted correctly: "We read images, understand that they assemble in a common space a number of identifiable objects, not merely shapes and colours".

What brings together the two types of discourse, literary and artistic, is their social dimension, a feature which is thoroughly exploited by authors and artists of the 20th century. The writer and the artist are no longer invisible, silent witnesses of reality: they get involved in all the intricate threads of human relationships on a social background, they openly express personal attitudes and feelings. Indeed, the more we probe into the deeper layers of their works, the more obvious the writers' and artists' daring attitude becomes.

The first literary experiments of the 20th century may have shocked readers, and so did the art works of the same century, exploring new ways of visual expression, as well as a new attitude towards human relationships in a changing social environment. Often met by discontent and suspicion at first, they were here to stay, and became part of our modern culture.

Choosing only a few examples from a wide range of authors and artists is difficult; in our case, the choice was based on the personal interpretation of the above-mentioned features, viewed in the context of a century defined by a boost in creativity and a new vision of traditional topics. This study can open the door to future comparative research in these complex areas of culture.

Thanks to the contribution of the writers and artists mentioned in this study, among others, readers and viewers have learned to discern truth from fake, as well as to adopt a new perspective on human interrelationships and the display of their feelings.

3. Literary experiments with language and form

In the first decades of the 20th century, and especially after the tragic experience of the Great War, both writers and artists were ready to

acknowledge the new potential of attitude and the direct, unrestricted expression of emotions.

It was the age of literary and artistic aesthetic individualism, in which the daring personality of D.H. Lawrence could best express the intuitive, stifled depth of a whole generation, one that could no longer accept silence and submission. In this new era of human conflicts without restraint, Lawrence remained a sceptic, tormented by secret desires and despair. So are the characters in his novels and short stories, placing physical love above all religion but still managing to keep a fragile balance between the light and dark facets of their personality.

As with other intellectuals from the same generations, Lawrence's experiments left their mark on language and form, albeit aimed at discovering the complexity of human emotions hidden under words. His characters are attracted to one another, despise one another or remain indifferent, and they use complex language structures to express themselves. They wrap their emotions in a heavy cover of mystifying speech, in a reminder of the conformist society in which words are meant to hide, not to disclose.

Still, the individual torment, which eventually pierces through the hard core and bursts out to freedom strongly rejects traditionalism. Sad words and emotions do not need an audience; the tales of love and hate, of jealousy, disappointment or violence are too destructive to enjoy words.

Here is a relevant descriptive quote from *The Lovely Lady*, focusing on the power – and danger – of words:

Oh, especially in Italian Cecilia heard the poisonous charm of the voice, so soft and flexible, yet so utterly egoistic. She hated it with intensity as it whispered out of nowhere. Why, why should it be so delicate, so subtle and flexible and beautifully controlled, while she herself was so clumsy! (Lawrence, 2004: 120)

And more of the same, in *The Rocking-Horse Winner*:

They looked at her coldly, as if they were finding fault with her. And hurriedly she felt she must cover us some fault in herself. Yet what it was she must cover up she never knew. (Lawrence, 2004: 135)

Lawrence's short stories display the inner torment of human beings and their inability to relate to others, to view themselves sincerely and express all this through words. Fathers refuse their sons' bid for freedom; humiliated lovers

reject authority, but eventually succumb to it; a daughter breaks away from the cage of the family but ends up being enslaved by her husband. And every time, behind carefully chosen words, one senses the progressive awareness of disillusioning feelings, never clear or strong enough to heal.

Healing, suggests Lawrence, could come from a fresh reading of biblical symbols. The sacred leitmotifs offer Lawrence a new, fresh background in his quest to find an answer to human alienation. In *Samson and Delilah* (1923) the sin of false love is symbolically transposed into a small Nottingham mining community, one that was so close to his heart, since he himself was the son of a miner.

One of the most relevant examples comes from *The Man Who Died* (published in 1930, after the author's death). The story of Christ reborn is told in its actual historic context – first century Jerusalem – but Lawrence expresses his own doubts and frustrations through the Saviour's spoken words. During His short life on Earth, Christ's aim had been to enlighten and purify the souls and minds of people deformed by vanity and greed. Back from the world of shadows, for a short while, He contemplates a yet unchanged world and takes time for a retrospective look on His life, thoughts, hopes and expectations:

He was alone; and having died, was even beyond loneliness. Filled still with the thickness of unspeakable disillusion, the man stepped with wincing feet down the rocky slope, past the sleeping soldiers [...] [and] glanced down for a moment on the inert, heap-like bodies of the soldiers. They were repulsive, a slow squalor of limbs, yet he felt a certain compassion. (Lawrence, 2004: 176)

And more of the same:

At the edges of rocks, he saw the silky, silvery-haired buds of the scarlet anemone bending downwards. And they, too, were in another world. In his own world he was alone, utterly alone. These things around him were in a world that never died. But he himself had died, or had been killed from out of it and all that remained now was the great void nausea of utter disillusion. (Lawrence, 2004: 177)

The clash between the man's expectations and the insecure being still captive in Limbo is similar to Lawrence's insecurity in a world that is gradually changing, but to which he still feels incapable to adapt. He is a prisoner in the space between two worlds – one, the Victorian, triumphant world of stifled emotions, in which man dominated and subdued everything and everyone

around him, and another, the new world ready to admit imperfection and duality, but still fearful towards both.

To it all, with the risk of being accused of blasphemy, Lawrence adds an alternative of biblical inspiration, that of a second redemption through a rebirth of the Self – and that, in the spirit of pre-Christian tradition, through the love and care of a woman. In this case it is an Egyptian princess, a follower of Osiris. The connection between the man who had crossed the border between worlds and the living woman connected with the divine goes beyond words, worlds or boundaries of any kind. It is the search for the essence beyond appearance, the delicate balance between the love for a god that, in ancient times, Isis had lost in shape, but not in spirit – doubled, in an instance, by the love for a man in the process of becoming a god and who, in turn, had been momentarily rejected by his fellow human beings but was about to rediscover himself. By better understanding his human nature, Lawrence's Christ is ready to begin his ascension to Heaven, while the Egyptian priestess must, again, repress her earthly passion.

Thus, in a moving metaphor, the writer tells us that religion is not the answer, unless there is a perfect harmony with oneself. Learning to live with, and accept one's two facets of the personality coin, the light and shades allows one to become free in body and spirit.

Still, in his desperate search for a new ideal – more open to the world but, nevertheless, morally pure – he remained a sceptic. And so did his heroes, who raised ideal love above all feelings but failed to keep the fragile balance between daylight and the shadows they were attracted to.

It was a daring experiment with language and form, with the hidden purpose of untangling the complex knot of human feelings ready to burst on the background of this new world. The disillusionment beyond words is rendered in tales of love and treason, jealousy and disappointment and, occasionally, violence.

4. Human light and shade through wordless images

Visual artists who became famous in the first half of the 20th century were struggling with the same questions and inner conflicts as writers, but their means of expression were different. The new century opened the way for more artistic freedom and they were ready to embrace it, except for the fact that, as they readily found out, they were still prisoners of the recent past and traditions that they aimed to break from.

The means by which visual arts express feelings are different from those used by writers, but symbols often coincide; like literature, art has a participative quality by becoming a replica of everyday life. Specific signs and symbols, shades of colours concur in rendering the hidden part of human personality. Artists share with us a metaphor of the world, as they perceive it, and of the self in all its complexity.

Several decades later and in a similar way with Lawrence, but with a different set of tools, Graham Sutherland aimed at grasping the essence of the portrait and body in action. Lawrence used words to show the fragile strength of humans in action: Sutherland used colours and shades. The final image was by no means conventional, but an alternative reality or the fruit of perfective imagination. In a letter to a friend, written in the late 1930s² he confessed his view regarding the strong connection between life, real events and their display through art: "I have found out that I could express what I was feeling, by simply paraphrasing what I saw..." Indeed, his paintings bring with images what Lawrence had described in words: the disillusionment of a 20th century man in constant conflict with the rigidness and failure to express feelings of the society around him. People did not seem prepared to learn the truth about their hidden self and were often cast away in mediocrity and disillusionment. Sutherland's famous portraits (among which the lost portrait of Winston Churchill) were in pursuit of a hidden reality under the drapes of conventionalism.

According to John Hayes (1980: 64), for Sutherland the physical likeness to the model is "no longer essential or even important"; what matters is the effort to reveal "unexpected, yet truthful facets of a personality". For the artist it was impossible to falsify psychological truth and, therefore, the physical image had to be the mirror of it, not the other way around. Flattery is excluded, and so is caricature; this is a serious approach towards unveiling what is hidden from intrusive evaluation. Sutherland surprises the viewer and stirs emotions, like Lawrence's play with words. The transfiguration of a model at the aesthetic level can result in redemption from moral flaws. In Churchill's case, the result was disapproval and, eventually, the destruction of the painting. Others, among whom Somerset Maugham, Adenauer or Helena Rubinstein accepted the painter's ruling with an objective eye; the essence won the battle with surface form.

² The Graham Sutherland Letters to Felix Hans Man are the physical property of the Beinecke Rare Book and Manuscript Library, Yale University.

But the touch of the divine was not to escape Sutherland's keen search for truth, especially after his conversion to Catholicism in 1926. In his novels and short-stories, Lawrence had brought to the surface a more humane facet of a tormented Christ, along with other allusions to biblical characters. For Sutherland, the divine had to be at the core of any human quest – and he tried to express his own torment in colours. He approached the subject of the crucified Christ in several occasions and rendered it in painting and tapestry. In his first attempt, dated 1945 and now hosted by St. Matthews' Church in Northampton, he depicts a tragic Christ dishevelled by suffering – a reminder of soldiers' suffering in war. The artist brings mythical tradition to the present, as if to say that the suffering is present at all times in humans' life. The rest of the canvass is painted in flat colours, and no other living being is present; suffering is better born inside oneself, he seems to say. Held captive by a network of tubular railing at his feet, a replica to Lawrence's "chain" of unspoken words during the meeting between Christ and the priestess, the Saviour becomes a counterpart of the modern man. A later work of art by the same artist, the tapestry called *Christ in Glory*, woven for Coventry Cathedral and displayed there since the early 1960s seems to speak of the artist's achieved piece of mind, as if he had finally found an answer to all his questions.

Indeed, in the first half of the 20th century, through its futile search for freedom and its terrible local and international conflicts, human beings remained prisoners of their recent past, still yearning for the freedom of the future. Prisoners that were often finding it impossible to attain redemption because they were still indulging in a chain of lies, indifference and ignorance.

Conclusions

The present article aimed to bring more light to a complex period in the literary and artistic history of Europe, through the works of some of its most celebrated personalities.

Having broken away from the strict rules and morals of the Victorian era, the British writers and artists started on a path yet unfamiliar for them, in an attempt to reveal the inner mechanisms of the human personality, as well as man's place in this new type of society which did its best to give up conventionalism and dogmatism, although the first steps proved difficult.

Several decades separate the moments of highest creativity of the personalities mentioned in this study, from the turn of the century until the 1940s and 1950s. But, irrespective of their chosen tools of the trade, they tried

to rediscover the joy of living truthfully and sharing their experience through words or images, by projecting their characters on the background of a panoramic, spatial perspective which brought together conflicting images of past and present, stillness and motion, thought and action.

In a nutshell, the message they share with us is deeply similar and, whether or not this was one of their acknowledged goals, communication with audiences becomes the critical part of the creative attempt. The emotions of their time – discontent with reality, frustration or hope were meant to be shared. In a world that was still tributary to old, obsolete conventions, their conclusions may have arrived too soon. But it was a starting point that marked a new era in literature and arts on their way to modernity.

They were the rebels that placed a mirror for consciousnesses, and for whom the truth stood firm. In search of a new set of rules, arguably morally pure, they dared and often managed to defend their creative freedom, with the help of words or colours. They had the power to stand by their beliefs and the talent to see the hidden details behind the mask of traditionalism.

Indeed, despite obvious differences in style and means, talented creators remain linked through time by their relentless search for the essence in life - past, present or future. This search, like a quest for the Grail of artists, gives them the courage of choice between silent subordination to social and moral constraints, along with the frustration and disillusionment resulting from it, and the chance to truthfully rediscover and accept oneself.

There is a lot that can still be said and written about this period in the history of Europe. With its highs and lows, through peaceful and conflictual times, through crises and tolerance, Europe has managed to live on with the help of its writers and artists – the true judges of facts, actions, failures and achievements.

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MENTALITĂȚILE – O CALE SPRE ÎNȚELEGEREA IDENTITĂȚILOR CULTURALE DIN PERSPECTIVA SINCRONISMULUI

**(MENTALITIES - A WAY TO UNDERSTANDING CULTURAL
IDENTITIES FROM THE SYNCHRONIC PERSPECTIVE)**

Anca-Margareta BUNEA

Abstract: Anthropologically speaking, culture, by and large, marks the opposition culture vs. nature giving specificity to the human being way of existence. Cultural facts – knowledge, techniques, institutions, ways of behaviour, visions upon universe – sign of the culture's unity have an “acquired” character, they are created by the human kind and independent from the biological laws, they are not known outside the human being. They represent a new environment, different from the natural one. This new environment (equally material and spiritual) interposes between man and nature and among people within a collectivity; it moulds the relationship of the human being with the self and it is the result of the synchronicity of the relationship of the human being with the society.

Keywords: *culture and civilization, mentalities and cultural identities, humanity*

Introducere

Sincronismul cultural dintre Europa Occidentală și România are în principal, două semnificații. Prima dintre ele se situează în perspectivă epistemologică și se referă la statutul de construct mental al tuturor conceptelor, de rolul lor de a reține notele comune ale unor existențe concrete. Această accepție păstrează valabilitatea și utilitatea în cercetarea fenomenelor culturale care sunt stabilite prin asemănări și deosebiri de sisteme culturale care formează realitatea istoriei umane.

Cel de-al doilea sens al sincronismului cultural își are sorgintea în contextul interpretărilor din discursul unei culturi asupra altora. La nivelul mentalului comun, funcționează chiar și în ziua de azi, după atât de multe experiențe ale trăirii ca celălalt făcute atât de indivizi cât și de colectivități, ideea preconcepută potrivit căreia tipul cultural în care un individ a fost educat și cu care se identifică reprezintă cultura proprie. De aici, formele de rezistență în acceptarea alterității, în diferite momente istorice ajungând la prejudecăți de tipul perspectivei evoluționiste conform căreia cultura europeană este „leagănul umanității”, această perspectivă fiind desigur un reper total eronat.

Faptul că mediul fizic construit de om - unelte, locuințe, vestimentație etc. – mediază raportul omului cu natura este de domeniul evidenței.

1. Sincronismul, prolegomene antropologico-culturale

În *Eseu despre om, O introducere în filosofia culturii umane*, Ernst Cassirer preia un citat din Epictet: „Ceea ce îl tulbură și îl neliniștește pe om nu sunt lucrurile, ci opiniile și închipuirile despre lucruri” (Cassirer, 1994: 4) Ca urmare a exercitării capacitatei omului de a da sensuri și semnificații, de a institui convenții și coduri, de a elabora simboluri, realitatea umană nu devine doar mai vastă, ci capătă o nouă dimensiune:

Omul nu trăiește într-un univers pur fizic, el trăiește într-un univers simbolic. Limbajul, mitul, arta și religia sunt părți componente ale acestui univers. [...] Realitatea fizică pare să se retragă în măsura în care avansează activitatea simbolică a omului. În loc să aibă a face cu lucrurile însăși, omul conversează, într-un sens, în mod constant cu sine însuși. [...] El trăiește mai curând în mijlocul unor emoții imaginare, în speranțe și temeri, în iluzii și deziluzii, în fanteziile și visurile sale (Cassirer, 1994: 4).

Punctul de vedere al lui Ernst Cassirer cu privire la sfera culturii - domeniul „formelor simbolice”, nu și al creației materiale - este definiitoriu pentru perspectiva specificului sincronismului cultural. El nu contrazice însă cercetarea de tip antropologic, suportul nostru teroretic în demonstrarea sincronismului european prezent în cultura română.

Reunind antropologia fizică cu cea culturală, André Leroi-Gourhan, de pildă, urmărește evoluția concomitentă a mâinii și a creierului, a posibilităților de acțiune practică și de gândire abstractă, și ajunge la concluzia că abia atunci când se înregistrează trasarea și citarea simbolurilor, ne putem considera în posesia dovezii existenței unui univers complet umanizat. Si pentru el percepția lumii prin simboluri este expresia unui mod nou de raportare la lume, pentru că presupune distincția dintre lumea reală și lumea simbolurilor, precum și capacitatea de manevrare a reprezentărilor. Aceasta din urmă dă posibilitatea de exprimare dincolo de prezentul material și, prin urmare, conduce la constituirea de limbaje prin care se realizează conservarea gândirii individuale și colective. În acest fel ne putem explica o anumită ierarhie, consacrată în timp, a componentelor sincronismului cultural european. André Leroi-Gourhan afirmă că „lumea simbolurilor (estetice sau sociale) a prevalat întotdeauna asupra lumii tehniciilor, iar piramida socială s-a clădit într-un mod ambiguu

acordând supremătje funcțiilor simbolice asupra tehnologiei, ce constituie cu toate acestea motorul progresului” (Leroi-Gourhan, 1983: 255).

Componentele acestui nou mediu construit de om, creațiile culturale sunt conservate, transmise și îmbogățite din generație în generație, la nivelul unei colectivități, sunt preluate, mai mult sau mai puțin selectiv, în cursul contactelor dintre grupurile umane și în „dialogul” epocilor istorice. Un asemenea aspect este avut în vedere atunci când li se atribuie caracterul de „patrimoniu”.

Transmiterea experienței culturale condiționează însăși existența societății. Deși o dată cu consolidarea modului uman de existență variațiile individuale în cadrul progresului devin preponderente, aşa cum constată André Leroi-Gourhan, nu este de conceput coerentă și persistența unei colectivități în afara transmiterii cunoștințelor, a sistemelor de valori, a normelor de comportament, adică în afara procesului de socializare (inculturare) a individului. Acest proces se află la baza continuității istorice a unor comunități umane și a structurării într-un mod relativ stabil a componentelor culturii lor. Nu întâmplător, una dintre accepțiile termenului „cultură” – aşa cum și-a conturat sensul în secolul al XIX-lea, are, în primul rând, o dimensiune colectivă: exprimă aspectele intelectuale și morale ale societății germane burgheze, care dorea să se delimitizeze de mediul aristocratic, tributar influențelor francize (Elias, 2002: 17).

În calitatea sa de patrimoniu, cultura joacă rolul de factor de condiționare supra-biologică a comportamentului uman. Trebuințele umane au o dublă determinare: constrângeri naturale și achiziții culturale anterioare, transformări operate de acestea în modul de acțiune și gândire al oamenilor. „A trăi într-o civilizație”, notează Tudor Vianu, „înseamnă a fi solicitat de opere, înseamnă a simți cum sfera dorințelor personale se diferențiază și se amplifică. Se amplifică, dar se și limitează [...]” (Vianu, 1978: 533). Aceasta înseamnă că omul își satisfacă trebuințele, chiar și pe cele mai elementare, în moduri specifice, determinate de caracteristicile culturii proprii și nu de un raport practic direct. Omul „trăiește conform cu o schemă semnificativă pe care a forjat-o el însuși și care nu este niciodată singura posibilă” (Sahlins, 1980: 8). În raporturile omului cu natura și colectivitatea, cu sine însuși (practic ceea ce definește identitatea unui individ), se conturează o diversitate de răspunsuri posibile la trebuințe de același tip sau asemănătoare. Soluțiile sincronismului cultural, aşa cum se formează într-un loc și într-un anume moment, nu sunt niciodată singurele posibile, nu sunt căi unice.

În cazul individului sau al unor colectivități determinate, diversitatea soluțiilor sincronismului cultural se întemeiază pe cultura preexistentă care funcționează ca un dat obiectiv, ca o sursă de cunoștințe, aptitudini, deprinderi, semnificații, modalități de valorizare. În același timp, ea își află condițiile de posibilitate în capacitatea de inventie a grupului sau individului, în opțiunile acestora pentru anumite forme și mijloace de expresie, în atitudinea critică pe care o pot dezvolta în raport cu creația consacrată. În mod evident, amploarea diversității soluțiilor sincronismului cultural și noutatea lor diferă în funcție de tipul de societate (societăți tradiționale, puternic conservatoare și societăți moderne, deschise schimbări) și, mai ales, în funcție de domeniile abordate. Adaptarea curentă a omului la mediul existenței sale presupune o creativitate intermitentă și de mică anvergură, au un grad redus de individualizare, sunt puternic legate de creația anterioară. La polul opus se află creația artistică, gândirea filosofică, cunoașterea științifică, ce se impun atenției în măsura în care se distanțează sensibil de ceea ce există deja în domeniu.

La scară umanitară, ca determinare a acesteia, diversitatea este considerată o lege, un mod fundamental de a fi. Cercetările antropologilor identifică în diversitatea culturală un dat primordial (chiar dacă este greu de semnalat pentru epoci din care nu există documente referitoare la expresii simbolice) și un element fundamental al solidarității dintre firescul umanului și dimensiunea culturală. În ceea ce privește tema largă a identităților colective și relațiile interculturale, una dintre revendicările esențiale ale existenței umane este aceea de a se percepe în diferență sa ca identitate individuală și colectivă, și, prin această calitate, de a lua parte la crearea unei culturi.

Pluralitatea identităților culturale a fost pusă pe seama unor factori diferiți. Rasa, mediul, epoca, un anumit sentiment al spațiului sunt câteva dintre variantele explicative ale fațetelor multiple ale culturii. Sintezele cercetătorilor evidențiază două tipuri de baze ale diversității culturale: antropologic și istoric. Prima dintre ele se referă la conduită deschisă și inventivă a omului, la diversitatea formelor de activitate practică și spirituală în care el poate fi antrenat. A doua bază a diversității culturilor, cea istorică, sintetizează multitudinea de situații în care cadrele etnice, sistemele sociale, liniile evolutive diferite ale comunităților umane generează diverse modalități de creație și de valorizare, ritmuri diferite de dezvoltarea a culturilor.

În termenii demersului raționalist „clasic”, dar care a asimilat experiențele teoretice și practice ale lumii actuale, inteligibilitatea altor identități culturale decât cele de apartenență, precum și comunicarea dintre culturi cu configurații

diferite, se intermeiază pe unicitatea umanității, pe universalitatea culturii în calitate de constantă a oricărei colectivități umane, și, mai ales, pe recunoașterea universalității unor procedee logice de inferență și a unor elemente de percepție. Mai mult chiar, această orientare constată că evoluția istorică a raporturilor dintre culturi legitimează ideea existenței unor valori în care-și pot regăsi opțiuni morale, estetice etc. oameni din timpuri și locuri diferite. Dacă nu trăim în același fel valorile unei culturi căruia nu-i aparținem, aceasta nu înseamnă că ele rămân cu desăvârșire opace pentru noi.

Echivalența gândirilor omenești constituie un fapt ce ține de spațiu și timp totodată: în domenii care nu sunt legate de tehnică și contextul său istoric, gândirea unui african sau cea a unui gal sunt complet echivalente cu propria mea gândire. Aceasta nu înseamnă că ele n-ar avea particularități specifice, ci pur și simplu că, odată sistemul lor de referință cunoscut, valorile devin transparente (Leroi-Gourhan, 1983: 212).

Recunoașterea diversității identităților culturale antrenează, în mod necesar, preocuparea pentru identificarea criteriilor și conceptelor operaționale în procesul delimitării și descrierii diverselor culturi definite prin unitate și originalitate.

În ceea ce privește criteriile de delimitare, cel etnic și cel național-statal au constituit centrul de interes al studiilor tradiționale asupra tipologiilor culturale. Când s-au pus în evidență cele mai largi ansambluri de sisteme de valori, de modalități de viață și de creație în plan material și spiritual care păstrează o anumită coerentă s-a preferat, de regulă, conceptul de civilizație. În studiile lui F. Braudel, S. Huntington sau N. Djuvara, civilizațiile sunt prezentate drept cele mai ample identități colective.

Astăzi, demersul referitor la diversitatea culturală este orientat, cu predilecție, spre fenomenele care se manifestă în interiorul societăților delimitate național-statal și confruntate cu o mobilitate a populațiilor de dimensiuni necunoscute, până acum, în istorie. Criterii etnice, socio-demografice, profesionale descriu identitățile culturale care coexistă în societățile contemporane, ce par tot mai mult repliate în micro-social, confruntate cu tendințe de fragmentare identitară. O astfel de orientare este percepută de majoritatea comentatorilor ca o reacție de apărare, ca o retragere în zona unor identități mai securizante în raport cu tendințele de omogenizare culturală, de generalizare a modelului cultural dominant în mass-media.

Dezbaterea referitoare la pluralitatea identităților culturale nu se reduce la tema criteriilor de delimitare, ci se poartă și asupra unor concepte care fac inteligeibile culturile în unitatea și originalitatea lor.

Identitățile culturale desemnează suma evidențelor traduse în teme, forme, imagini, care domină un context istorico-socio-cultural determinat mai mult sau mai puțin arbitrar de către cei dedicați unor astfel de studii.

În pofida exceselor speculative, a tendințelor de a introduce o realitate infint de bogată și nuanțată în cadrele limitate (uneori și cam strâmbă) ale unor concepte și reprezentări, teoriile identității culturale se întâlnesc, în mod aproape neașteptat, cu demersul aplicat al istoricului mentalităților. Jacques Le Goff, de exemplu, consideră că notele caracteristice ale unui stil se regăsesc în profunzimile cotidianului, la nivelul mentalităților.

La rândul său, studiul mentalităților deschide căi multiple pentru înțelegerea diversității modurilor de viață și de gândire, iar miturile lumii noastre sunt unul dintre chipurile mentalităților specifice ei.

2. Sincronismul și caracterul său integrator în cadrul taxonomiilor diversității culturale

În sfera identității culturale, conceptele de valoare și valorizare indică însesi condițiile de existență. Cu ajutorul lor este descris și explicat fenomenul cultural ca raportare specific umană la mediul natural și social. Atât sensul larg, antropologic al conceptului de identitate culturală, cât și cel restrâns presupun valoarea ca principiu integrator. Cele mai diverse rezultate ale activității umane, de la unelte la scheme logice și simboluri artistice, sunt considerate fapte de cultură în măsura în care dobândesc semnificație, răspund unor trebuințe sau dorințe într-o anumită colectivitate.

În timp ce apelul la valoare relevă specificitatea faptelor de cultură și caracterul integrator al conceptului de cultură, ideea de identitate culturală conduce la o viziune integratoare asupra modalităților concret-istorice de existență a culturii. Ea indică faptul că, la nivelul unor contexte (mișcări culturale, epoci istorice, zone geografice sau etnografice) se conturează o anumită coerentă internă, pot fi identificate note pregnante de originalitate și individualitate. Identitatea culturală desemnează unitatea, adesea greu sesizabilă, între expresiile artei, moralei și științei dintr-o cultură, reliefeză ideea de corespondență, de reciprocitate între diversele componente ale unor contexte culturale, indicând prin aceasta, caracterul complex mediat al raporturilor dintre creație și condițiile sale. Pentru a surprinde unitatea în diversitate, la

nivelul marilor momente ale evoluției culturale a umanității, el permite caracterizarea acestora din perspectiva liniilor de fortă, a constantelor care definesc și, în același timp, oferă posibilitatea analizei fiecărei creații în contextul socio-cultural în care a apărut, singurul cadru în care își relevă pe deplin, semnificația. În perspectiva unei asemne de înțelegere, identitatea culturală apare ca un stâlp important al istoriei evenimentiale și a mentalităților, iar reliefarea dintre identitate națională și valoare poate reprezenta un demers util pentru întregirea caracterizării fiecăruia dintre aceste concepte și a explicației diverselor configurații culturale.

În cazul creației unui curent cultural, al unei epoci sau comunități etnice sau rasiale etc., unitatea internă, mai mult sau mai puțin marcantă, structurarea specifică, relativ stabilă a notelor definitorii săi, mai curând, de domeniul existențialului decât de acela al scării valorice. În această ipostază, identitatea culturală apare ca expresie a unei umanități determinată istoric, a capacitatei acesteia de a structura mediul în conformitate cu cerințele sale. Ca urmare, identitatea culturală regăsește raporturile de interferență dintre creația culturală și condițiile sale, dintre diferențele domenii ale creației și prin el se explică particularitățile unei culturi în raport cu o alta, unitatea sa interioară. Desprinderea caracteristicilor identității culturale echivalează, în acest caz, cu o descriere și o interpretare a unor aspecte ale fenomenului cultural, în vederea evidențierii asemănărilor și nu cu o apreciere.

Deși optăm pentru neutralitatea identității culturale, atunci când este vorba despre contexte culturale, nu putem considera ca total neîntemeiate punctele de vedere potrivit căror, și în aceste cazuri, se poate stabili o legătură între identitatea națională și împlinirea sa în plan valoric, cultural.

Concluzii

Între accepția neutră și aceea apreciativă există un anumit conventionalism. La nivelul identității culturale, distincția neutru-apreciativ este relativă, după cum relativă este și distincția dintre individual și supraindividual. Trăsăturile aparent neutre din punct de vedere valoric ale contextului cultural înglobează evaluările și opțiunile grupurilor reprezentative pentru respectivul context, iar constantele unui context nu pot fi rupte de creația individualizată de mare valoare.

Prin funcționarea caracteristicilor unei identități culturale drept criterii ale consacrării valorii, prin rolul lor de normă, identitatea culturală asigură stabilitatea unei culturi naționale în anumite limite spațio-temporale sau etnice

și manifestă o vizibilă funcție reproductivă prin sincronismul cultural. Aprecierea în acord cu normele unei identități culturale garantează unitatea cu o creație anterioară, constanța unor trăsături în context cultural.

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ENGLISH – THE T-REX OF MODERN TECHNICAL-SCIENTIFIC WRITING

Raluca GHENTULESCU

Abstract: Although it is well-known that, nowadays, English is the lingua franca of science and technology, just as Greek and Latin were in medieval times and French and German were at the beginning of the 20th century, the mechanisms through which this language has imposed not only its specialized vocabularies, but also its stylistic patterns in scientific communication around the world have not been thoroughly investigated. Therefore, this article aims at presenting the means through which English has conquered its supremacy in technical-scientific language, as well as the impact that this phenomenon, known as epistemicide, has on technical writing and specialized translations. How to reach the desiderata of conciseness, precision and clarity, how to comply with the stylistic norms, how to make your text sound natural in a language that is not your mother tongue – these are the practical issues that the current paper is going to deal with.

Keywords: *scientific discourse, lingua franca, epistemicide, scientific publishing and translation, stylistic patterns*

*English is a powerful carnivore gobbling up the other denizens of the academic linguistic grazing grounds (John Swales, *Genre Analysis: English in Academic and Research Settings*)*

Introduction

Throughout time, several languages have had the privilege to be considered the languages of culture and, implicitly, of science and technology. In the Middle Ages, due to their universal character of languages used in church, Latin and Greek were adopted by the scholars to communicate their ideas. As we know, these classical languages still have a major influence on scientific terminology, since most medical terms have either Latin or Greek etymology and the vocabularies of several sciences (e.g. biology, chemistry, astronomy) are strongly influenced by them.

Later on, at the beginning of the 20th century, German took precedence over the classical languages in the field of technology, as most of the discoveries in this field belonged to the Germans, especially in physics and chemistry. Nevertheless, after the First World War, the European and American scientists refused to read or write articles in this language, as a form of protest against

the German aggressions during the war. Consequently, French started to gain ground as the new language of science and, during the interwar period, it was highly appreciated by the most prestigious scientific journals in Europe.

After the Second World War, English emerged as the new lingua franca of science and technology, mostly due to the rise of the United States as a global power. Other factors that contributed to raising English to the status of a universal language were the prevalence of English in the talks of the UN and NATO, the fact that it is the language of instruction at the most prestigious universities in the world (e.g. Oxford, Cambridge, Eton, Harvard, Princeton), the fall of the USSR in the 1990s (between 1945 and 1989, Russian had a great influence on the style of the articles written in Eastern Europe), the ever increasing influence of the internet, which, in the beginning, had search engines only in English, and, more recently, the development of social networks, on which people communicate mainly in English.

Nowadays, the most important scientific journals demand authors to submit their articles in English. Since, in most of the cases, this is not their native language, these authors either struggle to write their articles in compliance with all the grammatical, lexical and stylistic rules of English or resort to the services of specialized translators.

Some scientists consider this practice beneficent for spreading their ideas at a global level, because, otherwise, their discoveries would be available only to a limited number of people who speak their language. Others, however, complain about the hegemony of English over the academic world and see this phenomenon as a way to discourage non-Anglophone scientists from publishing their ideas. From the latter perspective, English is seen as a T-Rex destroying everything around it just to preserve its supremacy.

The main purpose of this article is to present a balanced view on the two attitudes towards the hegemony of English in the field of science and technology and to provide a few examples of translation practices that might be influenced by this modern tendency towards linguistic universalism.

1. The “triumphalism” of English in technical-scientific language

Regarding the “triumphalism” of English in science and technology, there are several aspects that must be taken into consideration. First of all, the idea that the use of English stylistic conventions is “killing” the discourse practices of other languages relates to the concept of epistemicide, introduced by Karen

Bennett in an attempt to explain why more and more authors nowadays are trying to adapt their style to the norms of English, to the detriment of the patterns in their native language. Secondly, there is the dilemma whether the authors should write their articles directly in English, risking to make mistakes that may prevent their papers from being published, or to have their articles translated by professional translators, who know the linguistic norms better, but could be less experienced in dealing with the specific terminology or degree of complexity.

1.1. The issue of epistemicide

In 2007, when most scientific journals around the world were already publishing articles written only in English, Karen Bennett raised the academic community's awareness on some aspects related to this issue. First and foremost, she noted that the writing conventions in English, based on the three fundamental concepts of conciseness, precision and clarity, were against the rhetorical traditions of many countries. She gives the example of Portuguese authors, who were accustomed to a more intricate discourse model, but the situation is similar to the one in Romania after the Revolution in 1989.

Due to the previous Russian influence, the style of Romanian academic papers was more complex, with a lot of superfluous elements, which were part of the so-called "wooden language", typical of communism. Therefore, it was very difficult for the older authors, who used to write in accordance with the Russian stylistic principles, to adapt to the new conventions of English.

In such cases, in which an old rhetorical system had to die in order to make room for the English one, Bennett speaks about epistemicide, or the "killing" of a particular academic discourse model. Once again, English acts like a T-Rex, which devours other "species" just to prove its supremacy.

In both academic writing and translations, there are two opposite tendencies: some authors prefer to write or translate in compliance with the stylistic norms of their language, even if their texts sound awkward in English and risk being rejected by the prestigious scientific journals, whereas others struggle to comply with the English norms, even to the detriment of the traditional scientific discourse in their countries.

In Bennett's opinion, translators should not simply translate from the source language into English, but they should re-write the entire article, so that it would read like an original in English. This approach would benefit both the authors, who do not risk having their articles rejected by the journals they

want to publish in, and the journals themselves, which will have a more uniform style. In Bennett's words, the translators of scientific articles must fully understand the "epistemologies and genres at stake, so that they can subvert the hegemonic discourse when they have the opportunity to do so" (Bennett, 2013: 186).

1.2. To write or to translate into English?

Although they are not native speakers of English (in fact, only 5% of the entire academic community members are), many authors manage to write their articles directly in English, with a high rate of success (most of their articles are accepted to be published in international journals, with very few corrections from the peer reviewers).

Nevertheless, there are a lot of scientists who are not proficient enough to write their articles in English and, consequently, resort to either their bilingual colleagues or to translation services. In both cases, there are some disadvantages, because their fellow researchers may not have enough time to write their articles correctly and the paid translators may not have enough knowledge to provide an appropriate translation that can be accepted by a famous journal.

To prevent linguistic shortcomings of this kind from negatively affecting the quality of their publications, many editors of scientific journals nowadays have adopted two policies: they either offer specialized translation services in exchange for a publication fee that the authors have to pay (i.e. the so-called pay-to-publish model) or publish bilingual editions of their journals so that the readers could have access both to the original text and to its translation, thus facilitating their understanding or the possibility to compare and contrast the two texts.

In both cases, it is essential for the authors and translators to know the discourse patterns of scientific articles, in order to comply with the linguistic specificity of English. The next part of this article offers a comparative analysis of texts in Romanian and English, with a view to showing authors what conventions they should have in mind when writing their scientific articles.

2. Linguistic patterns of scientific articles in Romanian and English

For a non-native speaker of English, it is very difficult to write their articles directly in this language, because they are used to some linguistic structures that may sound awkward in English. In this sub-chapter, I intend to provide a

few examples of texts translated from Romanian into English by the doctoral students of the Technical University of Civil Engineering of Bucharest (UTCB), who tried their hand at writing articles in both languages. These examples are taken from the issues of the *Scientific Journal of UTCB* (i.e. *Buletinul Științific*), published in a bilingual edition in 2009.

In my opinion, they perfectly illustrate the idea that English is the T-Rex of modern scientific discourse, since it destroys the specificity of the Romanian language, with long sentences, full of subordinate clauses (mainly complex relative clauses), to the benefit of the conciseness and precision of the Anglophone style, given mostly by non-predicative moods, such as the infinitive, the participle and the gerund, as shown in the second part of my article.

2.1. The infinitive

The English infinitive covers a wide range of structures in Romanian, from passive forms to the imperative value, and from simple nouns to relative clauses. In so doing, it simplifies the syntax of a text, by reducing the number of subordinate clauses, and, at the same time, confers conciseness, as we can see in the examples below, where the structures in question, as well as their translation by means of an infinitive have been written in italics:

a. Passive form

Ro.: ... schița obiectivului, cu precizarea punctelor de frângere care *trebuie bornate sau semnalizate*. (Budea and Alecu, 2009: 28)

En.: ... the objective outline, indicating break points *to be borne or indicated by signs*

b. Infinitive of purpose

Ro.: Componenta tensiunii de întindere a fost utilizată *la calculul* lui ΔKI. (Andreescu, 2009: 7)

En.: The stretching stress component was used *to determine* ΔKI.

Ro.: *La determinarea* valorilor ΔKI în mod I și ΔKII în mod II s-a apelat la metodele dezvoltate în sursă. (Andreescu, 2009: 6)

En.: *To determine* the values of ΔKI in mode I, as well as of ΔKII in mode II, the methods derived from the source were used.

c. Infinitive as subject in impersonal statements

Ro.: Este necesară *rezemarea și ancorarea* lor pe utilajul de transport prin intermediul suporturilor tip să. (Sârbu, 2009: 10)

En.: It is essential *to place and tie* them onto the transport equipment with the help of saddle-type supports.

d. The infinitive as part of the predicate with copular verbs

Ro.: Singura posibilitate de implementare este *utilizarea* celor mai moderne tehnologii de măsurare. (Budea and Alecu, 2009: 22)

En.: The only possibility for implementing these works is *to use* the latest technologies for measuring.

2.2. Past participle

The use of Past Participle is highly recommended in the technical-scientific genre in English, since it perfectly complies with the requirement of conciseness. Being able to reduce an entire relative clause or passive construction to only one word, it is usually the first choice of many technical writers and translators. The Romanian authors of the articles quoted below have perfectly understood the stylistic potential of Past Participle and used it with many of its values, not only as a clause reducer, but also as part of a prepositional phrase, meant to compress a longer phrase from Romanian. As we can see in the first example below, the sentence in English is one line shorter than the one in Romanian, due to the reduction of a clause and the use of phrases.

a. As a reduced relative clause

Ro.: Măsurători ale fisurilor microstructurale scurte (< 5 µm) semieliptice de suprafață, *care sunt inițiate* pe cale naturală în microstructuri bimodale, arată că valorile de prag ΔGTH în mod mixt sunt mai coborâte în cazul fisurilor mari. (Andreescu, 2009: 7)

En.: Natural measurements of surface semi-elliptical short micro-structural cracks (< 5 µm), *initiated* in bimodal microstructures, show that the mixed mode ΔGTH threshold values are lower in the big cracks case.

b. Past Participle with prepositional value

Ro.: Sursa menționată detaliază aspecte *ale comportării* anumitor microstructuri ale eșantioanelor prelevate din aliajul Ti-6Al-4V. (Sârbu, 2009: 5)

En.: The above-mentioned source details aspects *related to the behaviour* of certain microstructures sampled from Ti-6Al-4V alloy.

Ro.: *Pe baza datelor* de la punctul (3.1), se va semna un proces-verbal de delimitare și vecinătate. (Budea and Alecu, 2009: 28)

En.: *Based on data* from point (3.1), a delimitation and neighborhood minutes will be signed.

c. As a reduced passive construction

Ro.: Pentru încărcarea în mod mixt, componenta de încărcare mod II a fost introdusă prin configurația de încovoiere asimetrică în patru puncte [...], *atăcum se arată* în fig.1. (Andreeșcu, 2009: 6)

En.: For the mixed mode loading, the mode II loading component was introduced by an AFPB (asymmetric 4-point bending) configuration, [...] *as shown* in Fig.1.

2.3. –ing constructions

The –ing constructions are among the most important features of technical-scientific texts, since they can cover, in a concise way, a variety of grammatical structures, from verbal nouns to present participles used in clause reduction and from adjectives to gerunds. Therefore, they are among the first options of technical writers and translators, who sometimes use them in excess, mainly as a way to reduce subordinate clauses (e.g. temporal, relative, of cause or of purpose). As shown below, only in the translation of the title of an article did the author use three –ing constructions, one with the value of an adjective and the other two as verbal nouns, in the structure of noun phrases:

Ro.: Concepte *referitoare* la comportarea aliajului Ti-6Al-4V la mod mixt *de încărcare* ciclică cu *fisurare* la oboseală (Andreeșcu, 2009: 5)

En.: Concepts *referring* to the behaviour of Ti6Al-4V alloy in the cyclical *loading* joint mode with fatigue *cracking*

a. Present Participle used in clause or phrase reduction

Ro.: *Dacă se substituie* în expresiile eforturilor unitare normale ce caracterizează starea de solicitare a tronsonului cilindric... (Sârbu, 2009: 18)

En.: *By making a substitution* in the expressions of normal unitary efforts, characteristic for a state of stress of the cylindrical part...

Ro.: În ceea ce privește ozonul, se observă că valorile concentrației înregistrează variații importante de la o stație de măsură la alta. (Ardelean, Iordache and Ionescu, 2009: 44)

En.: Talking about ozone, we can see that the concentration values record important variations from one measuring station to the other.

b. Present Participle with prepositional value

Ro.: În funcție de parametrul λ se disting două situații. (Sârbu, 2009: 15)

En.: Depending on parameter λ two cases are apparent.

Ro.: Corespunzător relației (20) cele două perechi de roți sunt în fază. (Sârbu, 2009: 15)

En.: According to equation (20) the two-wheel pairs are in phase.

c. Present participle with adjectival value

Ro.: fluid frigorific (Eremia, 2009: 66)

En.: cooling fluid

d. Gerund used as an adverbial phrase

Ro.: Un aport principal la stabilirea valorilor de prag ΔGTH în mod mixt oferă traectoria prefisurii. (Andreeșcu, 2009: 9)

En.: A major contribution for establishing the mixed mode ΔGTH threshold values is offered by the precracking trajectory.

d. Verbal noun

Ro.: Din variația comparativă se observă suprapunerea unei oscilații zilnice peste tendința generală de scădere a temperaturii din perioada calendaristică analizată. (Ardelean, Iordache and Ionescu, 2009: 47)

En.: In the comparative variation the overlapping of a daily oscillation with a general tendency of temperature drop can be observed from the analyzed calendar period.

Conclusions

The features of technical-scientific texts discussed in this article from both a grammatical and a stylistic point of view are meant only to demonstrate that the Romanian authors are trying more and more to comply with the patterns used in English, even to the detriment of the specificity of their own language. This is, in my opinion, an acknowledgement of the supremacy of English in the

technical-scientific genre or, metaphorically speaking, a form of surrendering to the mighty linguistic T-Rex.

The three non-predicative moods analysed in the paper are the most appropriate for proving that, by resorting to them in very many cases (all the articles in the analysed issue of the Scientific Journal abound in them), the Romanian authors have attempted to comply with the three major stylistic principles in technical-scientific English: conciseness, precision and clarity. The idea of publishing the Journal in bilingual editions was very good and it is a pity that the editors renounced it after only a few years. The bilingual editions published between 2009 and 2012 gave the readers the opportunity to compare and contrast the texts in Romanian with those in English and to see whether they were simply word-for-word translations or re-creations of the Romanian texts in a different style in English.

As we have noticed in many of the abovementioned examples, the texts in English are not just literal translations of their Romanian counterparts, but they are written in compliance with other norms, so that they would sound natural in the target language. In most of the cases, the authors' goal was to provide texts that could be meaningful to a native speaker of English and, consequently, that could be published in international journals without any risk of being rejected. Of course, not all the formulations are perfect, but the simple fact that the doctoral students who wrote the papers did their best to seem proficient in technical-scientific English is a sign that young Romanian researchers have embraced the international tendency to consider this lingua franca of science their own.

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SOME CONCEPTS AND DEFINITIONS IN BILINGUAL LANGUAGE ACQUISITION

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Abstract: The aim of the paper is to present some theoretical aspects of bilingual child language acquisition, to define and differentiate terms such as code-switching, language mixing, fusion, code-mixing, to identify the stages in acquiring the first and the second language during the early stages of life.

Keywords: *code-switching, language mixing, fusion, code-mixing, relief strategy*

Introduction

It is commonly thought that children learning two languages simultaneously during infancy go through a stage when they cannot differentiate their two languages. In fact, virtually all studies of infant bilingual development have found that bilingual children mix elements from their two languages. Researchers have proved that young bilingual children are psycho-linguistically able to differentiate two languages from the earliest stages of bilingual development and that they can use their two languages in functionally differentiated ways, thereby providing evidence of differentiated underlying language systems.

Code-switching is a common phenomenon among young bilinguals as well as among adults. Bilingual children often appear to use it as a kind of 'relief strategy' when the necessary linguistic material is more easily available in another language, e.g. when the topic of conversation falls within the domain of the other language. Children frequently seem to be aware they are switching languages, and they tend to correct themselves in situations of this kind. Normally, however, when switching is used not only as a relief strategy, it becomes more frequent as the child acquires more proficiency in both languages, i.e. its use increases with age and with developing competence in the two languages. Code-switching, in other words, is thus regarded as part of the bilingual's pragmatic competence.

Code-switching describes the bilingual's ability to select the language according to the interlocutor, the situational context, etc. This choice is constrained by the properties of the linguistic system, among other things, much in the same way as with adults.

Language mixing seems to occur most frequently in the lexicon whereas it is most unlikely to happen in the sound system. It is not possible to distinguish, in all cases between switching and mixing. At any rate, mixing is most likely to occur if one of the two languages is very dominant in the child's competence, and if the adults in the child's environment mix or switch quite freely in their own speech.

Assuming the developmental perspective, mixing is reported to happen most frequently during a very early phase of language acquisition before or around age 2, whereas later on, bilingual children easily separate the two linguistic system.

Mixing is not clearly distinguished from code-switching. Rather superficial definitions cannot but result in a terminologically motivated confusion. In fact, the few researchers who distinguish the two phenomena and who then explicitly ask which of the two occur in specific contexts, seem to agree that, in most cases, even lexical mixing has to be interpreted as code-switching, which frequently helps to improve communication.

Bilinguals are capable of differentiating grammatical systems; fusion is not a characteristic of bilingual language development, but mixing may occur until code-switching is firmly established as a strategy of bilingual competence.

Jürgen M. Meisel in his article "Early differentiation of languages in bilingual children" (1989) raised the problem whether it might be possible, in principle, that an individual exposed to two languages from early on should be capable of separating the two grammatical systems without going through a phase of temporary confusion. His findings lend strong support to the claim that this is indeed possible. The author reached the conclusion that the task of acquiring two grammatical systems simultaneously will be easier if the child focuses his attention on problems of form, rather than relying on semantic-pragmatic strategies alone. He showed that bilingual children consistently use different word order in both languages no later than with the appearance of two – or more – word utterances. At about the same time, they begin to mark for case and they also start using verb inflection to encode grammatical person, number, and tense. In doing so, they use what may be labelled syntactic subjects and whenever a subject is supplied, the verb agrees with it in person and usually also in number.

1. Theoretical aspects

1.1 Mixing, fusion and code-switching

Although code-switching is a well-studied phenomenon, a number of problems are not well understood. A set of question arises: How and when do children acquire grammatical constraints on code-switching? Do children violate such constraints at certain stages of language development? Similarly for sociolinguistic aspects of code-switching: When and how do children acquire the programmatic competence that enables them to switch adequately? How bilingual children acquire the necessary knowledge that enables them to use code-switching adequately, without violating the constraints that govern the adult switching.

Bilinguals are those individuals who acquired their two languages in early childhood, being exposed to both languages from early on, say before age 3;0. Language-mixing refers to all instances where features of two languages are juxtaposed, within a clause or across clause boundaries, irrespective of the ethology of these phenomena.

Fusion is a phenomenon related to grammatical competence; that is, the bilingual individual has integrated parts of the grammar of L1 into the grammar of L2.

Code-switching is defined as a specific skill of bilingual pragmatic competence, that is, the ability to select the language according to the interlocutor, the situational context, the topic of conversation and to change languages within an interactional sequence in accordance with sociolinguistic rules and without violating specific grammatical constraints.

Also, there is one more kind of mixing, which may be called code-mixing. This term refers to those instances where the speaker violates the constraints on code switching that normally govern the linguistic behaviour of bilingual community. These constraints can be defined in terms of grammar, discourse organization, or social rules. Sometimes, it is difficult to decide whether one has to do with code-switching or with code-mixing. Thus, both code-switching and code-mixing are performance phenomena, whereas fusion is explained in terms of the grammatical competence of the bilingual.

1.2. Code-switching at preschool age

Studies dealing with this subject are not abundant, but certain aspects have been investigated in detail, leading to a reasonably good understanding of

what triggers code-switching and what communicative function it serves at this age.

All studies seem to agree that, initially, the interlocutor is the most important single factor in the developing language decision system. This includes cases where a person influences the child's choice merely by his or her presence in the room, and the interlocutor may well be an animal or a toy. Another factor mentioned in most studies is that children mix as a kind of relief strategy when an expression in one language is not easily retrieved or if a true equivalent does not exist in the other language, as in the case of culturally bound expressions. Other factors determining language choice and switching familiar from the study of adult speech – for example, the topic of the conversation – soon begin to influence the children's linguistic behaviour. Literature on the topic appreciates that this happens either between 2;0-3;0 or between 5;0-6;0. Thus, according to these findings, children are able to use code-switching as early as age 2;0-2;6, but apparently acquire the more subtle pragmatic or sociolinguistic abilities only later, some as late as age 5;0 or after.

Early switching does not serve the full range of functions observed in adult usage. Language-mixing before approximately age 2;6-3;0 differs not only in function, but also in form from what we are used to call code-switching. The available literature indicates that bilinguals before age 3;0 tend to insert single lexical items from one language into the other, mostly nouns; while verbs are much less likely to be mixed into the other language.

In conclusion, all the studies mentioned agree that syntactic categories do not appear randomly in mixed elements. Rather, their distribution suggests that grammatical properties of the mixed expression are relevant from early on. Most notably, phrasal switches occur infrequently, and nouns and noun phrases are encountered most frequently, especially as compared to verbal elements. Also, most studies on child bilingualism confirm that mixing is more common during very early phases of bilingual language development.

High frequency of mixing due to limited competence in both languages should be expected to decrease as the child acquires knowledge about the two lexicons and the two grammars; but it may increase again, once the child has acquired sufficient knowledge in order to use adult-like code-switching.

Another prediction of the deficiency hypothesis is that mixing is expected to be related to whether the competence in using both languages is well balanced or not. Various studies have observed that early mixing consists mostly of

inserting elements from the stronger language into the weaker one, even though mixing into the stronger language is also possible.

Balanced bilinguals tend to use code-switching more frequently, and their mixed utterances differ in kind from less proficient or nonbalanced speakers; mixing occurs intrasententially, it is not restricted to single words, and it avoids transfer of bound grammatical morphemes. The notions of good linguistics knowledge and balanced bilingualism are related to the speakers' experience in using both languages, and consequently to the ease with which grammatical knowledge is implemented during speech. In other words, what has changed is not that the children acquired new knowledge, but rather that they became more confident in manipulating their knowledge. In this sense, then, balanced bilingualism is a performance phenomenon.

Jürgen M. Meisel (1994) proposes the hypothesis that increasing and decreasing frequencies of mixing are performance phenomena rather than the result of developing grammatical competence alone. He claims that the weaker language is the one used more reluctantly and with less developed performance skills. The author says that grammatical knowledge is also a prerequisite for code-switching. Switching as rule-governed behavior requires pragmatic as well as grammatical competence. In other words, whereas the frequency of mixing is primarily dependent on community norms and performance factors, the specific type of mixing, especially sentence-internal switches involving more than single words, requires grammatical knowledge in addition to the skills necessary to put it into use.

Constraints on code-switching cannot only be defined in terms of grammatical properties of the languages involved; rather, they should be regarded as principles of languages processing. Code-switching requires grammatical knowledge as well as a certain amount of experience in using the two languages.

Early mixing is characterized by mixes of elements that are only loosely connected to others by grammatical relations. Grammatical constraints on code-switching can only operate once the child has access to certain properties of grammars, most importantly to functional categories.

2. The lexicon of bilingual infants

Volterra and Taeschner (1978) assert that young bilingual children reject cross-language systems in their earliest lexicons. The rejection of translation equivalents is taken by Volterra and Taeschner as support for the idea that the

bilingual child possesses a single-language system which includes elements from both languages. According to this argument, if children already have a lexical representation for a concept in either language, they will not be motivated to learn or use the word's translation in the other. Only in a second stage, after the children's recognition that they are dealing with two languages, are they thought to begin learning translation equivalents, which they then acquire for 'almost every word', or for about a third of their vocabulary items.

This view of the early avoidance of doublets is reinforced by Clark's (1987) Principle of Contrast in lexical acquisition, which states that children assume each word must have a distinct meaning. According to Clark, the principle of contrast leads very young bilingual children to accept only one term from "whichever language they happen to pick up first", at least during the first few months of vocabulary acquisition, until the children have a vocabulary of about 150 words. A direct demonstration of the avoidance of doublets by young bilinguals would be to show that children actually reject learning some words in favour of using the already established equivalent in the other language.

However, at very early stages of lexical acquisition it is very hard to see how a child would be equipped to know when a potential synonym was in one language or the other. So, for some theoreticians the single lexicon without a principle of contrast remains a possibility. They consider that some children have a single language system and others have a two-language system, and that the two effects have cancelled each other in the outcomes reported. Some may seek doublets, and some may reject them, or an individual may vary in approach from month to month. The different patterns of bilingual vocabulary learning may mirror the myriad ways in which two languages can be organized in the child's environment.

Conclusions

Both grammatical competence and performance skills are equally necessary for the theory of code-switching presented here. Remember that balanced bilinguals appear to code-switch more frequently. They also switch in a way that reflects grammatical knowledge; that is, they frequently use intrasentential switches, they use phrases instead of single words, they avoid switching of bound morphemes, and so forth. One can therefore predict for children to be able to code-switch in a way similar to adults. Furthermore, the training effect will be as important as their access to grammatical knowledge about their languages.

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QUELQUES CONSIDÉRATIONS SUR LA TERMINOLOGIE DE LA PSYCHANALYSE

(CONSIDERATIONS ON THE TERMINOLOGY OF PSYCHONALYSIS)

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Abstract: This article, the result of our work as translator in the field, proposes the study of some terms of psychoanalysis, based on the observation and analysis of their occurrences in specialized texts. In order to better highlight the terminological specificity of psychoanalysis, we have opted for a lexicological approach.

Keywords: *terminology of psychoanalysis, translation, lexicology, languages for specific purposes*

Introduction

Généralement, la terminologie est définie comme une discipline linguistique qui étudie les concepts spécialisés et les termes qui les désignent en langue de spécialité. La terminologie présente une relation étroite avec d'autres disciplines scientifiques de la langue, par exemple, la lexicographie, la lexicologie et la sémantique.

La principale distinction entre la terminologie et la lexicologie réside donc dans la différence entre les termes spécialisés et les termes de la langue courante. Autrement dit, la lexicologie traite les unités graphiques simples tandis que la terminologie traite les unités graphiques complexes.

Le terme est une unité sémantique fondamentale de la langue savante (système et texte). En plus de son importance au plan lexico-sémantique, le terme est l'instrument essentiel de la cohérence des textes savants, le porteur des sèmes thématiques et du contenu (cf. Drozd 1987). Il représente les nœuds du réseau isotopique, reflète le niveau raisonné d'intellectualisation et le degré circonstancié de particularisation du texte. (Kocourek, 1991 : 5)

La terminologie est un ensemble de mots techniques appartenant à une science, une activité professionnelle, ou un groupe social. En tant qu'activité professionnelle, la terminologie c'est l'étude scientifique des concepts et des termes en usage dans les langues spécialisées.

Le concept est une unité de connaissance constituée par abstraction à partir de caractéristiques, traits, attributs ou propriétés communs à une classe

d'objets, de relations ou d'entités. Le terme (unité terminologique) peut être un mot, syntagme, symbole ou formule désignant un concept propre à un domaine d'emploi. L'usage est l'emploi effectif ou le fonctionnement réel d'un terme dans une communauté de spécialistes.

Les langues de spécialité sont les instruments de base de la communication entre spécialistes. La terminologie est l'aspect le plus important qui différencie non seulement les langues de spécialité de la langue générale, mais également les différentes langues de spécialités. La communication spécialisée diffère formellement de la communication générale par deux aspects : l'utilisation d'une terminologie spécifique et le type de textes écrits et oraux qu'elle produit. L'utilisation de termes normalisés contribue à rendre plus efficace la communication entre spécialistes. Les critères qui servent à évaluer les textes spécialisés ne sont pas les mêmes que pour les textes généraux. Dans ceux-ci, l'expressivité, la variété et l'originalité sont plus importantes que d'autres caractéristiques. En revanche, les textes spécialisés sont caractérisés par la concision, la précision et l'adéquation.

La terminologie joue un rôle primordial dans la réalisation de ces trois objectifs. D'un côté, les termes primaires qui servent à dénommer un concept spécialisé sont généralement très concis. En second lieu, l'emploi d'un terme et non d'une paraphrase contribue à la précision. L'emploi d'une terminologie normalisée, enfin, est le meilleur recours qu'ont les spécialistes pour se référer à un domaine de spécialité dont ils partagent la connaissance à des degrés variés.

Louis Guilbert (1973 : 5-8), en analysant la spécificité du terme scientifique et technique par rapport au lexique général, soulignait quelques critères différenciant le lexique général et les vocabulaires scientifiques et techniques : « l'opposition entre l'unicité du lexique général et la pluralité des vocabulaires techniques », « la spécificité du terme scientifique et technique qui doit être recherchée plutôt dans un mode de désignation spécifique », « l'opposition entre termes généraux et termes scientifico-techniques peut être envisagée sous l'aspect statique », « la stabilité relative du lexique général pourrait être opposée à un mouvement accéléré propre aux vocabulaires techniques », « ne peut caractériser aussi la terminologie scientifique et technique par opposition au lexique général selon le critère de la perméabilité aux emprunts aux langues étrangères », « la description exhaustive du lexique ».

Si le lexique général est exposé de manière naturelle à la créativité du langage à travers la polysémie, les langues de spécialité sont elles-aussi exposées à la

néologie suivant la découverte des réalités nouvelles, des concepts nouveaux appelant des mots nouveaux.

Pour mieux analyser le phénomène terminologique, Cabré (1991 : 58) souligne qu'« il faut faire la distinction entre trois couches de lexique du point de vue de la spécialisation : a) le lexique général, b) le lexique spécialisé ou lexique-charnière, c) la terminologie proprement dite. »

Si dans les langues de spécialité il y a un mélange de lexique commun, de lexique-charnière et de terminologie, « par contre, la terminologie proprement dite représente le bloc restreint du vocabulaire utilisé par des spécialistes communiquant entre eux. » (Cabré, 1991 : 59)

1. La psychanalyse, une langue de spécialité pas comme les autres

La psychanalyse, en tant que science, eut une histoire assez mouvementée, parfois imprégnée de romanesque. Elle voit la lumière à Vienne au XIXe siècle, avec les découvertes et les théories de Sigmund Freud et avec la transformation de la méthode cathartique de Josef Breuer, en rejetant l'hypnose et en introduisant l'association libre. L'année 1900 représente un tournant dans la naissance de la psychanalyse avec la parution de *l'Interprétation des rêves*, qui consacra le complexe d'Œdipe. À l'époque Sándor Ferenczi, Carl Gustav Jung, Karl Abraham, Ernest Jones, Otto Rank, Hans Sachs, contribuèrent eux-aussi au renforcement de la psychanalyse à travers leurs études sur l'hystérie, la démence précoce, la psychose maniac-dépressive, etc.

Mais avant de se consacrer comme nouvelle science, la psychanalyse subit dès son essor des attaques particulièrement de la part du milieu médical : elle aurait été un « tissu de sottises », une régression vers « l'irrationalité du Moyen-Âge », un « amas de cochonnerie » et son créateur, Sigmund Freud, fut considéré un libertin. (Perron, 2014 : 49)

Au début du XXe siècle, la psychanalyse connut un grand essor surtout dans les années folles, se répandant vite dans beaucoup de pays et contribuant à la santé mentale de la population. L'avènement du fascisme au pouvoir représenta l'interdiction de la nouvelle science dite psychanalyse. Selon Roudinesco et Plon, « parmi toutes les écoles de psychiatrie dynamique, la psychanalyse était la seule à avoir reçu en tant que telle le qualificatif de 'science juive' », et le « nazisme ajouta à son programme la destruction radicale de la psychanalyse, de son vocabulaire, de ses concepts, de ses

œuvres, de son mouvement, de ses institutions, de ses praticiens », ce qui conduit à bannir « tout ce qui pouvait évoquer la judéité sous quelque forme que ce soit : le mot psychanalyse ne devait plus être prononcé » et Göring, l'artisan de ce programme, vérifie « qu'aucun terme freudien n'est utilisé. On a remplacé tous les concepts de la psychanalyse par d'étonnantes synonymes et l'on prône une psychologie 'aryenne'. » (Roudinesco et Plon, 2011 : 1054)

Après la mort de Sigmund Freud en 1939, la science fut répandue par d'autres grands psychanalystes dont Wilfred Bion, Didier Anzieu, Jacques Lacan, Jean Laplanche, J.-B. Pontalis, etc., mais les critiques ne cessèrent jamais à l'adresse de cette nouvelle science, aboutissant en 1952 par le discours du pape Pie XII contre les « dangers » de la psychanalyse.

Aujourd'hui encore certains se méfient de la psychanalyse en tant que science bien que la formation d'un psychanalyste soit de très longue durée, requérant de vastes connaissances dans les sciences de l'homme, de la philosophie, de la littérature, de l'histoire, de la linguistique.

On se demande pourquoi la linguistique ? Premièrement parce que le psychanalyste débutant doit s'approprier la terminologie de cette science à travers de solides lectures théoriques, l'expérience d'une analyse personnelle à long terme et l'exercice de la profession sous le contrôle d'un analyste superviseur. Le psychanalyste traite les difficultés d'ordre psychologiques et névrotiques du patient et son rôle est de l'écouter, d'analyser son discours pour en comprendre le cheminement. C'est à travers l'écoute de ses histoires, ses rêves, ses souvenirs, ses fantasmes – qui dure parfois des années - que le psychanalyste donne l'interprétation permettant au patient de se libérer de ses tensions.

La psychanalyse est donc avant tout une question des mots même si les pauses, silences, lapsus et gestes s'avèrent du moins aussi significatifs que les mots, chargés d'images et d'émotions qui ne doivent pas échapper au psychanalyste : « Qu'elle se veuille agent de guérison, de formation ou de sondage, la psychanalyse n'a qu'un medium : la parole du patient. » (Lacan, 1966 : 247)

Comme toute science, la psychanalyse s'est forgé une langue de spécialité, en empruntant au lexique commun des mots tels moi, transfert, travail, pour les transformer en ses concepts-clé : *moi-corps*, *moi-peau*, *surmoi*, *idéal du moi*, *contre-transfert*, *travail* (analytique, psychique, du rêve, du fantasme, de deuil).

La psychanalyse n'est pas une science comme les autres. Science-carrefour, elle rallie médecine, psychologie, littérature, philosophie pour investiguer quelque chose qui semble échapper à toute investigation : l'inconscient humain. Les auteurs du *Vocabulaire de la psychanalyse* remarquent que « L'aversion contre la psychanalyse s'exprime parfois en sarcasmes visant son langage. » En fait, quand on dit psychanalyse la plupart des gens pense que pour Freud tout est sexuel : *libido, pulsions sexuelles, plaisirs, désirs, interdits*, etc. Selon Laplanche, Pontalis et Lagache, le langage de la psychanalyse s'est formé contre le sens commun, à travers l'invention de nouveau mots :

Méthode d'investigation et de traitement, théorie du fonctionnement normal et pathologique de l'appareil psychique, comment la nouveauté de ses découvertes et de ses conceptions se serait-elle formulée sans recourir à des termes nouveaux ? Qui plus est : de toute découverte scientifique, on peut dire qu'elle se forme non en se mouvant sur le sens commun mais malgré ou contre le sens commun ; le scandale de la psychanalyse est moins la place qu'elle a faite à la sexualité que l'introduction de la fantasmatique inconsciente dans la théorie du fonctionnement mental de l'homme aux prises avec le monde et avec lui-même ; la langue commune n'a pas de mots pour désigner des structures et des mouvements psychiques qui au regard du sens commun n'existent pas ; il a donc fallu inventer des mots dont le dénombrement – entre deux et trois cents – varie avec la rigueur de la lecture des textes et les critères de la technicité des termes. (Laplanche, Pontalis et Lagache, 1981 : 12)

Mais pensons aussi que la psychanalyse est une langue de spécialité assez compliquée car elle doit aussi beaucoup à la littérature : langage, rhétorique, tropes, récit. Prenons, par exemple, le cas des expressions célèbres : « l'homme aux loups », « l'homme aux rats », « le petit Hans », « le cas Dora ». Les cures décrites par Freud dans *Cinq psychanalyses*, renvoient les connaisseurs du domaine, dans un mécanisme métonymique, à la névrose obsessionnelle, à la névrose phobique, à l'hystérie.

Nous empruntons la définition de Cabré pour souligner les traits particuliers des langues de spécialité :

[...] nous parlons de langues de spécialité (ou langues spécialisés) lorsque nous faisons référence à l'ensemble des sous-codes – qui coïncident partiellement avec le sous-code de la langue commune – caractérisés par un certain nombre de traits particuliers, c'est-à-dire propres et spécifiques à chacune d'entre elles, comme le sujet, le type d'interlocuteurs, la situation de communication, l'intention du locuteur,

le mode de chaque échange communicatif, le type d'échange, etc. Les situations dans lesquelles on emploie les langues de spécialité peuvent être considérées, dans ce sens précis comme « marquées ». (Cabré, 1998 : 115)

Tout d'abord, le sujet de la psychanalyse est assez spécialisé, peu accessible aux non-initiés, souvent confondu avec la psychologie. Ses contenus notionnels ne sont pas partagés par l'ensemble des locuteurs et, comme nous l'avons souligné, nécessitent un apprentissage particulier et de longue durée.

Les interlocuteurs de la psychanalyse sont d'habitude – sauf les cas des rencontres spécialisées des psychanalystes : congrès, colloques, conférences, etc. - l'émetteur, l'analyste, et le destinataire, le patient. Il convient de souligner à ce point que l'un et l'autre utilisent la langue générale et que l'analyste se configurent mentalement les conclusions de son analyse en termes spécialisés pour les rendre ensuite au patient en langue générale car leur degré d'abstraction est assez grand et l'analyste risquerait de brouiller encore plus les pistes.

La situation de communication dans la psychanalyse fait que ses acteurs changent souvent de place : si au début l'émetteur du message est principalement le patient et le récepteur est l'analyste, à la fin les rôles s'échangent. En ce qui concerne le contexte physique, l'analyste doit assurer un environnement privé et le cadre d'une discussion privée à une discussion qui est en réalité professionnelle. Les contextes psychologiques et relationnels qui influencent la communication des deux acteurs devraient être toujours régis par l'analyste. Le patient utilise beaucoup d'enjeux, à travers des stratégies conscientes ou inconscientes : expression de son identité, pouvoir, séduction, influence. Cette situation de communication est particulièrement caractérisée par « le bruit » : maintes fois le message manque de structuration logique, de système de référence, double langage, etc.

Il y a un fort chevauchement entre la langue générale et la langue de la psychanalyse car la psyché humaine s'éclaircit à travers le récit. Le patient raconte à sa manière son vécu tandis que l'analyste l'interprète de façon professionnelle à travers des termes bien précis :

La nature de la langue est telle que la langue générale et les langues de spécialité peuvent coexister dans une seule langue naturelle ; les caractéristiques fondamentales de la langue se manifestent aussi bien en anglais que dans la langue du génie chimique, aussi bien en français que dans la langue de la physique. Entre la langue générale

et les langues de spécialité, il existe une différence de degré plutôt que de nature : à savoir le degré auquel les caractéristiques fondamentales de la langue sont plus ou moins exploitées dans les langues de spécialité. [...] Celles-ci sont employées de façon plus consciente que la langue générale et les situations de leur emploi intensifient les préoccupations linguistiques de l'utilisateur. C'est donc au niveau de l'usage que se manifeste la spécificité des langues de spécialité. (Sager, Dungworth et McDonald, cités dans Cabré, 1998 : 111)

En ce qui concerne l'usage, la plupart des patients utilise donc la langue générale dans un récit fort métaphorisé que l'analyste doit déchiffrer à l'aide d'une terminologie consciente, acquise pendant sa formation, afin de se formuler parfois dans un texte les causes des troubles psychiques de son patient. Mais cette tâche s'avère très difficile car même au niveau de la langue, au-delà des expériences racontées, peuvent se manifester des défis tels : la métaphore, le double langage, l'ambiguité, l'émotivité. Lorsque l'analyste décrit une situation thérapeutique au public restreint de ses confrères, son approche est conceptuelle, en exprimant un jugement et en se servant d'une démarche objective, neutre et impersonnelle. Habituellement, ce type de texte spécialisé se présente sous la forme d'un article descriptif, ayant un résumé, une introduction théorique, la description de la situation analytique, le commentaire spécialisé de la situation analytique, les conclusions.

Dans ce type de texte appartenant à la langue de spécialité de la psychanalyse, nous signalons donc : l'emploi du nous de modestie, des verbes surtout aux temps passés, la concision, le rôle important des syntagmes nominaux, l'aspect formel du texte par l'intermédiaire des formules du type à notre avis, nous pensons que, l'emploi des éléments de type métalinguistiques comme les explications et la définition des concepts.

D'habitude, sauf le cas d'un texte très théorique, l'analyste délivre une communication spécialisée qui n'est pas dépourvue de style, bien au contraire, il fait souvent appel à la fonction poétique du langage, tandis qu'il analyse l'émotivité du langage du patient.

2. Le texte psychanalytique : une approche lexicale

La terminologie française de la psychanalyse est le résultat de la traduction des termes consacrés par l'allemand car les concepts de cette science renvoient presque toujours aux œuvres fondatrices de Sigmund Freud. Le travail de premiers traducteurs a consisté dans une quête acharnée des

équivalences : par exemple, *das Es* traduit en français par le *ça*, terme difficile pour un non initié, signifiant : « Une des trois instances distinguées par Freud dans sa deuxième théorie de l'appareil psychique. Le ça constitue le pôle pulsionnel de la personnalité ; ses contenus, expression psychique des pulsions, sont inconscients, pour une part héréditaires et innés, pour l'autre refoulés et acquis. » (Laplanche, Pontalis et Lagache, 1981 : 59)

D'ailleurs, dans les vocabulaires et les dictionnaires psychanalytiques, les auteurs proposent pour première entrée le terme allemand, l'expliquant ensuite tant du point de vue linguistique, historique, sémantique.

Afin d'avoir un aperçu sur la terminologie en psychanalyse et en même temps sur le sens et l'emploi des termes, nous avons consulté des outils terminologiques tels que le *Vocabulaire de la psychanalyse* par Jean Laplanche, J.-B. Pontalis et Daniel Lagache et le *Dictionnaire de la psychanalyse* par Elisabeth Roudinesco et Michel Plon.

Nos observations terminologiques relèvent de l'analyse de deux articles de la psychanalyse, « Rêve, échange interanalytique et fin de traitement » (Coblence, 2015) et « Tentation suicidaire, Une tentative d'hystérisation » (André, 2016).

Dans « Préface : raisons et histoire de cet ouvrage », les auteurs du *Vocabulaire de la psychanalyse* expliquent leur démarche terminologique, ainsi que les difficultés liées à la traduction des formules simples de l'allemand, à l'imperfection du vocabulaire freudien, à la polysémie :

La terminologie technique de la psychanalyse est pour le principal l'œuvre de Freud [...] mais c'est surtout dans l'allemand qu'il va chercher ses mots et ses formules, puisant dans les ressources et les commodités que lui offre sa propre langue. Il arrive qu'une traduction fidèle soit difficile et que la terminologie analytique donne alors une impression insolite que la langue de Freud ne donne pas, sans que les ressources de la langue du traducteur soient toujours exploitées ; dans d'autres cas, c'est la simplicité de l'expression freudienne qui fait échapper sa technicité. [...] Sans énumérer les types de difficultés qui se rencontrent, on peut se borner à dire qu'il en est de la terminologie analytique comme de bien des langages ; la polysémie et les chevauchements sémantiques n'en sont pas absents ; plusieurs mots n'appellent pas toujours des idées très différentes. (Laplanche, Pontalis et Lagache, 1981 : 13)

Nous y ajouterons une autre difficulté, à savoir le symbolique propre à la psychanalyse que Lacan place à côté de l'image et des identifications et qui est en continuité avec le langage. Il se transforme en mot lorsqu'il est libéré de la contingence d'une matérialité trop forte et que s'associe à lui la permanence d'un sens, d'un concept. Ainsi naît l'univers du sens. (Lacan, 1966 : 276)

Comme nous avons souligné ci-dessus, il y a des différences importantes entre la langue générale et la langue de spécialité, qui se font aussi jour à travers leur structure lexicale. En linguistique générale, le terme lexique désigne « l'ensemble des mots qu'une langue met à la disposition des locuteurs » (Picoche, 1977 : 44) Mais, selon les lois de la statistique, le lexique s'oppose au vocabulaire car tandis que la définition du lexique se réfère à la langue, celle du vocabulaire se réfère au discours : « l'ensemble des mots utilisés par un locuteur donné dans des circonstances données. » (Picoche, 1977 : 44) D'ailleurs chaque vocabulaire particulier n'est qu'un échantillon du lexique général, et pourtant ce dernier, très perméable aux enrichissements et aux appauvrissements, ne saurait être connu qu'à travers les vocabulaires particuliers.

Les termes du lexique scientifique général sont porteurs d'une information plus largement utilisable. Les termes spécialisés sont souvent des mots empruntés au lexique général et redéfinis en vue de leur utilisation dans tel ou tel domaine particulier :

[...] il ne faut pas croire que les termes techniques et scientifiques sont régulièrement et simplement le résultat d'une transposition métaphorique du « sens premier. » [...] dès qu'ils ont été introduits dans un domaine spécialisé, les termes empruntés au lexique usuel commencent à vivre d'une vie autonome et il devient parfois même très difficile de trouver un lien de parenté entre leur « sens premier » et le/les sens spécialisé(s) nouvellement acquis. (Cunită, 1980 : 32-33)

Le terme *peau*, « Membrane résistante, imperméable et élastique qui recouvre le corps des animaux vertébrés et de certains invertébrés » (peau, s.d.) appartenant au lexique général est effectivement redéfini dans le langage de la psychanalyse : le *moi-peau* est un concept clé de la psychologie et de la psychanalyse développé par Didier Anzieu en 1974. Il a été exposé dans divers travaux dont en 1985 un livre précisément nommé *Le Moi-Peau*. Le moi-peau y est présenté comme étant davantage qu'une théorie psychanalytique : il

s'agit d'une façon de penser le psychisme depuis la naissance de l'humain jusqu'à son âge adulte, au moment où les névroses et psychoses s'expriment le plus activement.

Le lexique scientifique de la psychanalyse est lui-aussi, comme tout lexique scientifique, un lexique de fonctionnement. Les catégories les plus importantes qu'on y trouve sont les suivantes :

- les verbes « primaires » qui appartiennent au lexique fondamental : « Le contre-transfert, une fois analysé, peut donc éclairer les liens manquants ou cachés », « La supervision, l'écoute en second ou l'échange interanalytique permettent vraiment de déployer l'analyse du contre-transfert et d'éclairer la clinique. » ;
- les substantifs désignant des opérations qui impliquent l'intervention humaine : élaboration, agression, suicide, travail ;
- des catégories de la pensée : espace, temps ; des concepts : évolution, résistance, valeur, effet, cause ; des notions scientifiques fondamentales : mouvement, base, foyer. (Coblence, 2015)

La grande majorité de termes de la psychanalyse appartient au lexique général de la langue. Mais, considérés en tant qu'unités signifiantes isolées, ils se caractérisent par l'appartenance simultanée à deux types de lexique, le sens qu'ils prennent dans le texte scientifique est parfois bien différent de celui qu'ils ont dans la langue commune.

En ce qui suit, nous ferons la comparaison entre les définitions de quelques termes en langue commune et en langue spécialisée.

a. objet

Définition en langue commune : « Chose solide, maniable, généralement fabriquée, une et indépendante, ayant une identité propre, qui relève de la perception extérieure, appartient à l'expérience courante et répond à une certaine destination » (objet, s.d.).

Définition en langue spécialisée (psychanalyse) : A) En tant que corrélatif de la pulsion : il est ce en quoi et par quoi celle-ci cherche à atteindre son but, à savoir un certain type de satisfaction. Il peut s'agir d'une personne ou d'un objet partiel, d'un objet réel ou d'un objet fantasmatique. B) En tant que corrélatif de l'amour (ou de la haine) : la relation en cause est alors celle de la personne totale, ou de l'instance du moi, et d'un objet visé lui-même comme totalité (personne, entité, idéal, etc.) ; (l'adjectif correspondant serait

« objectal »). C) Dans le sens traditionnel de la philosophie et de la psychologie de la connaissance, en tant que corrélatif du sujet percevant et connaissant : il est ce qui s'offre avec des caractères fixes et permanents, reconnaissables en droit par l'universalité des sujets, indépendamment des désirs et des opinions des individus (l'adjectif correspondant serait « objectif »). Collocations spécifiques : objet partiel, objet transitionnel, choix d'objet, amour d'objet, perte de l'objet, relation d'objet. (Laplanche, Pontalis et Lagache, 1981 : 363)

b. représentation

Définition en langue commune : « Action de rendre quelque chose présent à quelqu'un en montrant, en faisant savoir. » (représentation, s.d.).

Définition en langue spécialisée (psychanalyse) : Terme classique en philosophie et en psychologie pour désigner « ce que l'on se représente, ce qui forme le contenu concret d'un acte de pensée » et « en particulier la reproduction d'une perception antérieure ». Freud oppose la représentation à l'affect, chacun de ces deux éléments subissant, dans les processus psychiques, un sort distinct. Collocations : représentation-but, représentation de mot, représentation de chose. (Laplanche, Pontalis et Lagache, 1981 : 506)

c. transfert

Définition en langue commune : « Déplacement, transport (de personnes ou de choses) d'un lieu à un autre selon des modalités précises. » (transfert, s.d.)

Définition en langue spécialisée (psychanalyse) : désigne le processus par lequel les désirs inconscients s'actualisent sur certains objets dans le cadre d'un certain type de relation établi avec eux et éminemment dans le cadre de la relation analytique. Collocations : névrose de transfert, pensée de transfert, résistance de transfert, transfert maternel, fraterno. (Laplanche, Pontalis et Lagache, 1981 : 596)

Les auteurs du Vocabulaire de la psychanalyse soulignent d'ailleurs la difficulté linguistique d'un terme unique en français : « On notera que les psychologues de langue anglaise disposent de deux termes : transfer et transference, et semblent avoir réservé le second pour désigner le transfert au sens psychanalytique (cf. English et English, articles 'Transfer' et 'transference'). » (Laplanche, Pontalis et Lagache, 1981 : 867)

Nous souhaiterions nous arrêter à présent sur quelques mots propres que la psychanalyse a transformés en adjectifs ou en noms communs.

d. complexe d'Électre

Terme utilisé par Jung comme synonyme du complexe d'Œdipe féminin, pour marquer l'existence d'une symétrie chez les deux sexes, mutatis mutandis, de l'attitude à l'égard des parents. (Laplanche, Pontalis et Lagache, 1981 : 115)

e. complexe d'Œdipe

Ensemble organisé de désirs amoureux et hostiles que l'enfant éprouve à l'égard de ses parents. Sous sa forme dite positive, le complexe se présente comme dans l'histoire d'Œdipe Roi : désir de la mort de ce rival qu'est le personnage du même sexe et désir sexuel pour le personnage de sexe opposé. Sous sa forme négative, il se présente à l'inverse : amour pour le parent du même sexe et haine jalouse du parent du sexe opposé. En fait ces deux formes se retrouvent à des degrés divers dans la forme dite complète du complexe d'Œdipe. Collocations : attachement préœdipien, phase préœdipienne, structure préœdipienne, crise œdipienne, relations œdipiennes et préœdipiennes. (Laplanche, Pontalis et Lagache, 1981 : 116)

f. narcissisme

Par référence au mythe de Narcisse, amour porté à l'image de soi-même. Le terme de narcissisme apparaît pour la première fois chez Freud en 1910, pour rendre compte du choix d'objet chez les homosexuels ; ceux-ci « ... se prennent eux-mêmes comme objet sexuel ; ils partent du narcissisme et recherchent des jeunes gens qui leur ressemblent qu'ils puissent aimer comme leur mère les a aimés eux-mêmes ». Collocations : narcissisme primaire, narcissisme secondaire, névrose narcissique, état narcissique premier, expérience narcissique, identification narcissique. (Laplanche, Pontalis et Lagache, 1981 : 471)

g. psyché

Psyché (en grec ancien Ψυχή / Psykhē, souvent traduit par âme) est un personnage qui apparaît dans un roman qu'Apulée a écrit entre 160 et 180, les *Métamorphoses*. La psyché est une théorie en psychologie analytique, qui désigne l'ensemble des manifestations conscientes et inconscientes de la personnalité d'un individu. Le terme psychisme est souvent employé en français dans le même sens. Collocations : corps et psyché, état de la psyché, psyché et soma. (Laplanche, Pontalis et Lagache, 1981 : 852)

h. thanatos

Dans la mythologie grecque, Thanatos (en grec ancien Θάνατος / Thánatos)

est la personnification de la Mort. Terme grec (la Mort) parfois utilisé pour désigner les pulsions de mort, par symétrie avec le terme d'Eros ; son emploi souligne le caractère radical du dualisme pulsionnel en lui donnant une signification quasi mythique. L'emploi du terme Thanatos vient accentuer le caractère de principes universels que prennent, dans la dernière conception freudienne, les deux grandes sortes de pulsions. (Laplanche, Pontalis et Lagache, 1981 : 844)

La terminologie française de la psychanalyse reste tributaire à l'allemand dont elle met en vedette et conserve parfois les termes : « Ce qui, n'étant pas de l'ordre de la représentation, et ne parvenant pas à la conscience par la remémoration, se trouve en effet 'agi', au sens que Freud donne à *l'Agieren* en 1914 dans *Remémoration, répétition, perlaboration*. Il faut prendre en compte la nature d'*acte* de l'Agieren pour saisir qu'il correspond à un fragment d'action au sens pulsionnel. L'Agieren n'est pas un signifiant, mais une réalisation hallucinatoire. » (Coblence, 2015)

Selon le critère lexicologique de l'origine, les termes employés dans la psychanalyse en tant que langue de spécialité, se caractérisent par une grande diversité :

- des mots savants repris au latin ou au grec : abréaction, abstinence, anaclitique, aphanisis, libido, étayage, paranoïa, schizophrénie, etc. ;
- des emprunts faits à certaines langues étrangères, surtout à l'anglais : insight, transition, addiction, etc. ;
- des calques (éventuellement des calques partiel) sur un terme d'origine étrangère, d'habitude formés selon le modèle allemand : accomplissement du désir (allemand : Wunscherfüllung), couple d'opposés (allemand : Gegensatzpaar), complexe paternel (allemand : Vaterkomplex), choix d'objet (allemand : Objektwahl), etc. (Laplanche, Pontalis et Lagache, 1981).

Dénommés de plusieurs façons, *dénomination* — lexies composées ou complexes (Pottier), *synapsies* (Benveniste), *unités syntagmatiques ou unités de signification* (Guilbert), *unités phraséologiques* (Dubois), etc., les mots-composés, présentant un certain degré de figement, se retrouvent aussi dans le langage de la psychanalyse : allo-érotisme, après-coup, auto-analyse, auto-érotisme, contre-transfert, moi-plaisir, moi-réalité, perception-conscience.

Nous nous arrêterons maintenant sur le composé sur préposition « après-coup » lequel a été conceptualisé en psychanalyse.

i. après-coup

Définition en langue commune : « Postérieurement à quelque chose » (coup, s.d.)

Définition en langue spécialisée (psychanalyse) : Terme fréquemment employé par Freud en relation avec sa conception de la temporalité et de la causalité psychiques : des expériences, des impressions, des traces mnésiques sont remaniées ultérieurement en fonction d'expériences nouvelles, de l'accès à un autre degré de développement. Elles peuvent alors se voir conférer, en même temps qu'un nouveau sens, une efficacité psychique. (Laplanche, Pontalis et Lagache, 1981 : 61)

Vue la difficulté de la traduction d'une langue à l'autre, la psychanalyse contient aussi des lacunes lexicales. Nous proposons l'analyse de la locution anglaise *acting out*, qui recouvre toute l'ambiguïté de ce que Freud désigne par le mot *Agieren* qui a été traduit en anglais par *to act out* (forme substantive : *acting out*).

j. acting-out

Terme employé en psychanalyse pour désigner les actions présentant le plus souvent un caractère impulsif relativement en rupture avec les systèmes de motivation habituels du sujet, relativement isolable dans le cours de ses activités, prenant souvent une forme auto- ou hétéro-agressive. Dans le surgissement de l'*acting out* le psychanalyste voit la marque de l'émergence du refoulé. Quand il survient au cours d'une analyse (que ce soit dans la séance ou en dehors d'elle), l'*acting out* est à comprendre dans sa connexion avec le transfert et souvent comme une tentative de méconnaître radicalement celui-ci. (Laplanche, Pontalis et Lagache, 1981 : 29)

Les auteurs du *Vocabulaire de la psychanalyse* signalent les problèmes terminologiques posés en français par ce terme, qui conduisent aussi à des troubles de signification :

En français, il semble difficile de trouver une expression qui rende toutes les nuances précédentes (on a pu proposer *agissement*, *actuation*). Le terme « passage à l'acte », qui est l'équivalent le plus souvent retenu, a entre autres l'inconvénient d'être déjà reçu en clinique psychiatrique où on tend à le réserver de façon exclusive à des actes impulsifs violents, agressifs, délictueux (meurtre, suicide, attentat sexuel, etc.) ; le sujet passant d'une représentation, d'une tendance, à l'acte proprement dit. D'autre part, il ne comporte pas,

dans son usage clinique, de référence à une situation transférentielle.
(Laplanche, Pontalis et Lagache, 1981 : 28)

Selon Guilbert, les termes techniques constituent un découpage de l'univers et des connaissances de l'univers dans une vision encyclopédique. (Guilbert, 1973 : 5)

Conclusion

Il arrive maintes fois que le traducteur fasse appel aux connaissances terminologiques d'un psychanalyste et même alors la traduction fidèle est difficile et semble assez insolite à cause de ce type de terminologie analytique. Aussi, le traducteur se heurte-t-il à l'existence de plusieurs langages au sein de cette science, de la polysémie et des chevauchements sémantiques.

Qu'il s'agisse de la multitude des désignations et des instances du Moi - Ego, Soi, Surmoi, Je - ou de la difficulté des termes tels de-métaphorisation, clivage, tiercéité, deliaison, étayage, (re)psychisation, etc., la terminologie de la psychanalyse reste sans doute un vrai défi tant pour les étudiants et les débutants que pour les traducteurs chevronnés du domaine.

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APPROACHES IN TRANSLATING NOUN PHRASES IN CIVIL ENGINEERING TEXTS

Liliana-Florentina RICINSCHI

Abstract: The article presents, investigates and analyses a series of aspects related to the difficulties that a translator faces when translating specialized texts, more specifically texts belonging to civil engineering. The issues that arise during the process of translation are multiple and complex and involve different levels of the text. Out of these difficulties, the morphological ones are of special importance. As a sub-category of morphological aspects, noun phrases need to be paid particular attention, both due to their length and to the complex relationships that are formed within the same noun phrase. An important concept connected to noun phrases is that of nominalization and the way it helps build meaning inside nominal compounds. The last part of the article explains and examines the way in which these noun phrases are rendered into the target text.

Keywords: *noun phrase, nominalization, prepositional phrase, specialized translations, modification*

Introduction

The last decades have witnessed a gradual change in the way translators are seen, from mere instruments for replacing words from a certain language with words in another language, to professionals who need to have a variety of skills and a considerable amount of knowledge which enables them to render words, concepts and message at different levels, not only from a source language to a target language, but from a source culture to a target culture, as well. These abilities of translators are precisely the focus of theories regarding translations and translation processes:

In the history of translation studies, the tendency at one stage was to dwell on translation and texts. Translation studies compared source texts and target texts to see what happened and used the results of the analysis to form prescriptive or descriptive laws (depending on the school) of systemic change. In more recent times, there has been a greater focus on translation and translators. (Cronin, 2003: 9-10)

Translators and their abilities deeply influence the quality of the translation as a product, since a translator must be familiar with the subject, be in the same cultural background with the author, have the same attitude as the author to be able to reproduce the same idea to the reader as that of the original text, otherwise the translator will not be able to think into the author's mind and fully understand their intention, as Nida (1964) put it.

"The difficulty in debates around translation and culture in the global age is arguably a failure to distinguish between translation as communication and translation as transmission" (Cronin, 2003: 20). Translation is not just a transfer of knowledge from one language to another, but also a way of communication. It is important that the readers understand the same message from the translated text as they would if they read the original version.

1. Specificity and difficulties in specialised translations

The process of translating civil engineering texts requires the translator to make choices at several levels: morphological, syntactic, terminological and lexical level, text and discourse level. This is when the choices of discourse pattern and translation method are decided, and so on.

When discussing the specificities of technical translations, Newmark (1993) emphasises the tendency of using highly specialised terminology, disregarding the target reader and the level of expertise they have. We concur with Newmark in that translations should be adapted to the audience's needs and that one and the same text may be translated differently for laymen and for experts or academic staff. In the end, an informative text should give "the information clearly, neatly and elegantly (that is its 'literary' quality), preferably in professional language (technical and ordinary). It need not give all the information explicit in the original, provided it is implicit in the translation, and that the reader is likely to grasp it (Newmark, 1993: 2).

The same criticism with respect to the disregard of the end audience is highlighted by Dollerup (2006), this time about the difficulty the ordinary customer has in understanding the description of a pharmaceutical product. Despite the fact that the specifications of the law are such that the language used in these leaflets should be understandable to the ordinary customer, there is often only one translation available, the one addressing the pharmacist.

Newmark links the difficulties with which a translator is faced with the applicability of translation methods:

Briefly, a translation problem arises from a stretch of text of any length which is not readily amenable to literal or word for word translation. Therefore there will be a choice of translation procedures, depending on the relevant contextual criteria. Even after arriving at a preferred solution, there may well be approximately synonymous solutions of equal merit; much translation is a compromise between one solution and another; a juggling act, a toss up, a tightrope; it is often subject

to a change of mind within any space of time on the translator's or reader's or critic's part. (Newmark, 1993: 2)

The necessity for assessing the typology of texts is considered to play a critical part for translators by other authors as well. We concur here with Reiss in that "observing the type of text represented, which has significant implications for a valid translation, and then consider both the linguistic and non-linguistic factors which are of essential significance for the translation process" (2014: 16). The translators need to realize what kind of text they are translating before they begin the actual process. Following Reiss's line of thought, we can argue that a "typology of texts that is sensitive to the necessities of the translation process and also includes all the varieties of text that are encountered is accordingly a non-negotiable prerequisite" (Reiss, 2014: 16) for any objective approach to choosing the adequate translation method.

With respect to the difficulties encountered during the translation process, Croitoru (1996) considers that "in translating and interpreting, difficulty is [...] both a psycholinguistic and a linguistic matter, if not linguistic to a much greater extent" (1996: 133). Croitoru goes further and identifies as possible stages at which difficulties may occur, namely the level of language competence both receptively and productively. Another aspect which may mislead the translator is the apparent surface similarity between the source text (ST) and the target text (TT), as in the case of false friends.

It is therefore necessary for the translator to master to a high degree the formal structures of the ST and the communicative context. Beside the lexical and grammatical structures with which a translator must operate, the phraseology and collocation patterns of the TT must also conform to the target language norms.

The current paper focuses on identifying a specific sub-category of difficulties that arise when translating civil engineering discourse, namely complex Noun Phrases. The corpus on which the analysis is based consists of a set of different bilingual documentation used in several sub-domains of civil engineering. All translations represent official translations, published at some time in specialised journals or representing working documents for design structures. For the corpus of texts translated into English, two scientific articles were selected: Jocea, 2006 and Oprițescu, 2007. As regards the English to Romanian translations we chose three Eurocode Standards: BS EN 1538:2000 Execution of special geotechnical works - Diaphragm walls; EN 1993-1-1:2005 Eurocode 3: Design of steel structures - Part 1-1: General rules and rules for

buildings and EN 1991-1-4:2005 Eurocode 1: Actions on structures - Part 1-4: General actions Wind actions.

2. Noun phrase translation analysis

When translating specialised texts, especially highly specialised ones, a very difficult issue is the length of the noun phrases. English complex noun phrases, called "noun strings" by Trimble (1985), were usually made up of juxtaposed nouns without any preposition that would identify their semantic connections.

We cannot undergo an analysis on noun phrases without connecting it to the process of nominalization (Halliday, 2004b). He considers nominalization, together with grammatical metaphor and lexical density as three main traits distinguishing between general and scientific English. Halliday defines nominalization as "decoupling 'qualities' and 'processes' from their congruent realizations as adjectives and verbs, and recoupling both these meanings with nouns. The cross-coupling here is not between words (lexical items) but between grammatical classes" (Halliday, 2004a: xvi). The result of the process, the nominal group, is a unit with an important quantity of meaning, mainly because of its possibility to be extended.

As part of scientific and technical language, the language used in civil engineering makes significant use of nominalization. In terms of lexical density, namely the number of lexical items vs. the number of functional items, civil engineering discourse contains sentences of up to 15 lexical items, while according to Halliday spoken language uses only 4-5 such lexical items per sentence. The significant difference in number between spoken language and written scientific and technical discourse, in this case civil engineering discourse, triggers a series of questions, such as: where do the other lexical units go, from these highly dense forms of discourse if we are to turn such texts into spoken language? Another legitimate question would be: how would ten or more content words be distributed within one clause? Halliday's answer to both these questions is: the nominal group:

The answer to this has already become clear: they go inside nominal groups. [...] In other words, as one moves from the clausal mode of grammar to the nominal mode, one tends to gain in discursive power; but by the same token one tends to lose most of the ideational-semantic information, because all that the nominal group provides is a long string of modifying words. These can be obscure and highly ambiguous if one does not know what they mean in advance.
(Halliday, 2004b: 195-197)

As for translators, noun phrases cause both morphological and semantic problems, such as ambiguity. Some sentences could be given two interpretations as a result of the arrangement of words. It was not the number or words that caused the problem, but the multiplicity or confusion of grammatical roles and relationships. It was very important to identify the relationships within the elements of the structure. These relationships, as identified by Croitoru (1996) can be made more difficult to grasp because of deletion of information from surface structure, such as a preposition, or a relative clause which could have clarified the meaning.

The following examples contain some of the complex noun phrases encountered in our corpus, together with their solutions and a detailed analysis of both structures.

- (1) a. Raionarea geotehnică se efectuează cu scopul de a facilita **caracterizarea geotecnică preliminară a unei zone** dar și de a permite comparații pentru evidențierea unor **modificări ale caracteristicilor geotehnice ale terenului de fundare** survenite în timp ca urmare a schimbării condițiilor de mediu.

b. Geotechnical mapping is made with the purpose of facilitating **the preliminary geotechnical characterization of an area**, but also of enabling comparisons with a view of outlining certain **changes in the geotechnical characteristics of the foundation ground** occurred in time as a result of the change of environmental conditions. (Orițescu, 2007)

This is an example of translation with Romanian as ST. The first noun phrases in this excerpt, *caracterizarea geotecnică preliminară a unei zone*, is made of a series of two adjectival modifiers and genitival noun modifier of the head *caracterizarea*. Its rendering into English is an instance of what Newmark (1988) called faithful translation, namely it reflects the message of the ST while considering the grammatical constraints of the TT. Therefore, the English noun phrase is headed by the noun *characterization*, which is pre-modified by two adjectives, *preliminary* and *geotechnical*, and post modified by a prepositional phrase headed by the preposition *of*.

As for the second noun phrase, it reflects the Romanian predisposition towards a more analytical structure with respect to nominal compounds, as opposed to English, which is more synthetic. Thus, when translating into English prepositions such as the *de* linking noun phrase elements in examples such as *terenul de fundare* above tend to be deleted, resulting in a construction in which the head *ground* is pre-modified by a noun, *foundation*.

- (2) a. Un laser scaner terestru presupune **existența unui mecanism de deviație a fasciculului laser în două direcții diferite pentru măsurarea unui spațiu al unui obiect oarecare.**
- b. A terrestrial laser scanner requires **the presence of a laser beam deviation mechanism in two different directions for surveying a certain region of a given object.** (Jocea, 2006)

The example given in (2a.) contains an extremely long noun phrase headed by the noun *existența*, which is post-modified by a string of noun phrases and prepositional phrases each modifying the previous phrase. The English translation of the aforementioned noun phrase is somewhat more condensed, since Romanian exhibits a more analytical structure with respect to these structures, while English favours more synthetic compounds. However, the resulting English noun phrase is still composed of a string of nominal and prepositional phrases which modify the previous structures.

- (3) a. Self-hardening slurries are generally used in **the precast concrete diaphragm wall technique**, for reinforced slurry walls and slurry cut-off walls. (BS EN 1538:2000 Execution of special geotechnical works - Diaphragm walls)
- b. Noroalele autointaritoare sunt in general folosite in **tehnica peretilor mulați de beton prefabricați**, pentru pereti de noroi armat si pereti de etansare din noroi. [sic!] (SR EN 1538: 2002 - Execuția lucrărilor geotehnice speciale PEREȚI MULAȚI)

Examples with English as ST, such as the one provided in (3) above present a surface structure somewhat different from the cases already discussed. If, when translating from Romanian, the usual procedure is to create shorter noun phrases with nouns pre-modifying other nouns, the situation, when translating into Romanian, is reversed. That is to say, the need arises to add information to the noun phrases. The nominal string highlighted above illustrates the situation described in the previous sentence. The English noun phrase *the precast concrete diaphragm wall technique* was translated into Romanian by supplying the necessary preposition, *de*, which was deleted from the surface structure of the English phrase.

- (4) a. **A reinforced concrete capping beam** is usually constructed along the top of reinforced concrete diaphragm walls, where it is necessary to distribute loads or minimize differential displacements. (BS EN 1538:2000 Execution of special geotechnical works - Diaphragm walls)

b. Pentru pereții mulati de beton armat, când este necesar să se transmită eforturi și să se reducă la minimum deplasările diferențiale, în mod obișnuit, la partea superioară, se realizează **o grindă de coronament din beton armat**. (SR EN 1538: 2002 - Execuția lucrărilor geotehnice speciale PEREȚI MULATI)

Another example which support the statements made above is given in (4). In this case, the noun phrases *a reinforced concrete capping beam*, which is headed by the noun *beam*, pre-modified by another noun phrase, *reinforced concrete*, and by the participle *capping*, was rendered into Romanian through a string of two prepositional phrases, one headed by *de*, the other one headed by *din*.

(5) a. This does not apply to the case of **diaphragm walls with continuous horizontal reinforcement across the joints**. (BS EN 1538:2000 Execution of special geotechnical works - Diaphragm walls)

b. Aceasta prevedere nu se aplică în cazul **pereților cu armare orizontală continuă care traversează rosturile**. (SR EN 1538: 2002 - Execuția lucrărilor geotehnice speciale PEREȚI MULATI)

The example in (5a.) contains a noun phrase, *diaphragm walls*, modified by a long prepositional phrase which is headed by *with* and which contains another prepositional phrase modifier, headed by *across*. The last prepositional phrase in the ST was rendered in the TT by means of a defining relative clause, *care traversează rosturile*. From the point of view of translation procedures, it represents an illustration of transposition (Vinay and Darbelnet, 1995), since one grammatical category, the prepositional phrase, was translated through another, a clause.

(6) a. The force coefficients, $cf,0$, given in 7.6 to 7.12 are based on **measurements on structures without free-end flow away from the ground**. (EN 1991-1-4:2005 Eurocode 1: Actions on structures - Part 1-4: General actions Wind actions)

b. Coeficientii de forță, $cf,0$, definiți de la 7.6 pana la 7.12 au fost determinați pe baza **măsurărilor pe structuri fără curgere liberă la capete**. (SR EN 1991-1-4: 2006 - Eurocod 1: Acțiuni asupra structurilor- Partea 1-4: Acțiuni generale. Acțiuni ale vântului.)

Both the ST and the TT in (6) contain noun phrases modified by strings of prepositional phrases. The order of constituents in this string above was

changed so as to respect the Romanian grammatical rules whilst keeping the meaning from the ST.

- (7) a. For **the specification of the intended design working life of a permanent building** see Table 2.1 of EN 1990. (EN 1993-1-1:2005 Eurocode 3: Design of steel structures - Part 1-1: General rules and rules for buildings)
- b. Pentru **precizarea duratei de viață a unei clădiri permanente, prevăzută prin calcul**, a se vedea tabelul 2.1 din EN 1990. (SR EN 1993-1-1: 2006 - Eurocod 3: Proiectarea structurilor de oțel Partea 1-1: Reguli generale și reguli pentru clădiri)

The last case described here contains a long noun phrase headed by the noun specification and modified by a prepositional phrase. In case of the noun phrases and prepositional phrases string above, the noun design, functioning as a modifier, was rendered through a participle and a prepositional phrase.

Conclusions

After having undertaken an analysis of different types of nominal structures a translator can come across when translating civil engineering texts, there are several conclusions that become apparent. One of the most difficult aspects in translating civil engineering discourse is the translation of noun phrases, which were present in abundance in our corpus.

The noun phrases that were offered in support of our statements were very long and complex structures, with more than one modifier belonging to different grammatical categories. The advantage of using noun phrases was that they allow "complex information to be compressed into a word. And it also allows a high level of abstraction" (Parkinson, 2013: 165). Yet, the disadvantage was that the semantic explicitness was sacrificed on behalf of linguistic economy, with consequences on degree of complexity of the skills that a translator must possess in order to render the message faithfully.

In conclusion, translators must have a set of qualities in order to make a good translation: they must master the language, be able to find equivalents even for untranslatable words, be loyal to the source text, be creative, have extensive knowledge in the field and, last but not least, like their profession and do it with pleasure. Situations when the translation represents an improvement on the original text are not rare occurrence, particularly in what Newmark (1991) names communicative translation. In this case, the translator's role of communication and transmission is successfully completed.

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THE USE OF *SHALL* IN LEGAL TRANSLATIONS: HOW TO IDENTIFY AND WHEN TO REPLACE IT WITH OTHER VERB FORMS IN ROMANIAN-ENGLISH TRANSLATIONS

Marina-Cristiana ROTARU

Abstract: The use of mandatory *shall* in legal texts is a distinct feature of the conservatism of legal language. This linguistic conservatism has been challenged by the literature in the past years, more and more voices supporting the view that mandatory *shall* can often be replaced by the modal verb *must* while the mandatory meaning remains unaltered. However, mandatory *shall* continues to hold ground in legal language. For Romanian legal translators, identifying when to use mandatory *shall* represents a serious challenge. Some knowledge in legal drafting may often be of help. But there may also be other clues that help spot places in a legal text where *shall* is required. This paper aims to identify some such clues that help signal to the translator that *shall* is not to be missed. Furthermore, the article illustrates situations when mandatory *shall* can be replaced by other verb forms.

Keywords: *shall*, mandatory value, legal texts

If new laws are to have broad public acceptance and enhance the quality of the statute book, they must be accessible and understandable (The Law Commission of New Zealand, Legislation Manual)

Introduction

Shall is a distinct feature of legal language which often causes trouble for both legislators and translators. Although *shall* is considered archaic, it is still used extensively in a multitude of legal documents, ranging from legislative texts to contracts, from wills to conveyances and court decisions. However, numerous voices have been pleading for a simplification of legal language and, in countries like the United States or countries that are part of the British Commonwealth, such as New Zealand, for instance, *shall* has started to be replaced by other modal verbs that express obligation.

In an effort to make legislation “accessible and understandable” to the common individual (NZLC R35, 1996: 1), the Law Commission of New Zealand

issued a report entitled *Legislation Manual – Structure and Style*¹, which advocates the simplification of legal drafting. The document emphasizes that there are words and phrases, among which the modal verb *shall*, that “must be used with care, because their meaning is often misunderstood” (NZLC R35, 1996: 40). Hence, the manual acknowledges the fact that *shall* has been less and less used in everyday language, partly due to its multiple meaning-related values, which makes it “difficult to use correctly” (NZLC R35, 1996: 43). Instead, the modal *must* can replace mandatory *shall* because “it is clear and definite, and commonly understood” (NZLC R35, 1996: 43). Furthermore, the Law Commission proposes that *shall*, when used to express “authority and obligation”, can be replaced by the present tense because the present tense “is often more appropriate” (NZLC R35, 1996: 43). For example, in the sentence “A parent *shall* be entitled to appear...”, the modal verb *shall* can be replaced by the present indicative of the verb *to be*: “A parent *is* entitled to appear ...” (NZLC R35, 1996: 43).

As for the legal dilemmas caused by the use of *shall* in legal provisions, there are numerous cases that mirror the legal confusion that may be created by the presence of *shall*. The Hong Kong case of *HKSAR² v David Ma Wai-kwan*, often referred to by the literature, illustrates the embarrassment caused by the overuse of *shall* in a constitutional context. The case revolved around a matter of law, mainly the preservation of the British Hong Kong legal system in the HKSAR (Wesley-Smith, 2000: 175). More precisely, what was questioned was how to interpret the meaning of the modal verb *shall* used in a particular provision, which also triggered doubts on the lawfulness of the provision, namely Article 160 of Hong Kong’s Basic Law, which is “the HKSAR’s codified (or written) constitution” (Wesley-Smith, 2000: 176).

According to Article 160 of Hong Kong’s Basic Law, “Upon the establishment of Hong Kong’s Special Administrative Region, the laws previously in force in Hong Kong shall be adopted as the laws of the Region ...” (Butt, 2013: 264) (our emphasis). The ambiguity of the meaning of *shall* springs from two possible interpretations:

¹ According to the Law Commission of New Zealand, the document entitled *Legislation Manual – Structure and Style* may be cited as NZLC R35. This is how the document is cited in this paper.

² HKSAR is the acronym for the Hong Kong Special Administrative Region, a former British territory that was returned to China in 1997. HKSAR has retained a separate government and economic system from mainland China according to the principle “one country, two systems”, as illustrated by Instrument A301 – Joint Declaration of the Government of the United Kingdom and Northern Ireland and the Government of the People’s Republic of China on the Question of Hong Kong.

- The laws previously in force in the British Hong Kong call for “a positive act of adoption” (Butt, 2013: 264), which means the adoption of a new act of legislation that clearly specify that the former laws are maintained as the laws of Hong Kong under the new Chinese sovereignty.
- The laws in force in the British Hong Kong before the Handover remain the laws of Hong Kong under Chinese sovereignty. Hence, the modal verb *shall* was used “not in the sense of requiring a future action, but in a present, declaratory sense” (Butt, 2013: 264). From this perspective, the modal verb *shall* could have simply been replaced by a verb in the present indicative form, such as “[...] the laws previously in force in Hong Kong become the laws of the Region”, and the ambiguity of meaning would have easily been removed (Butt, 2013: 264).

The Hong Kong Court of Final Appeal ruled in favour of the second interpretation: that the laws in force before the Handover remain the laws of Hong Kong under Chinese sovereignty. Hence, the modal verb *shall* was used “not in the sense of requiring a future action, but in a present, declaratory sense” (Butt, 2013: 264). From this perspective, the modal verb *shall* could have simply been replaced by a verb in the present indicative form, such as “[...] the laws previously in force in Hong Kong become the laws of the Region”, and the ambiguity of meaning would have easily been removed (Butt, 2013: 264).

1. Various meanings of *shall* in legal texts

1.1. Some purposes of *shall* in legal documents

Shall with a mandatory meaning is characteristic of documents with a legal character, and in such contexts *shall* accompanies second-person and/or third-person subjects. Due to its mandatory value, in such documents the modal verb *shall* can be replaced by *must* (expressing obligation) or “by the ‘quasi-imperative’ *will*” (Leech, 2004: 89).

The mandatory meaning of *shall* is illustrated by various nuances, such as:

- “To impose a duty: ‘The Distributor shall keep in good and saleable condition a stock of Goods’” (Butt, 2013: 263).
- “To negate a duty: ‘The Vendor shall not be bound to show any title to boundaries fences ditches or walls’” (Butt, 2013: 263).
- “To grant a right: ‘A purchaser shall have the right to cancel the purchase transaction until midnight’” (Butt, 2013: 263).

- “To negate a right: ‘Such statement shall be deemed to be correct and shall be binding on the Client’” (Butt, 2013: 263).
- “To create a condition precedent (a ‘precondition’): ‘If the Vendor *shall* within one month of the receipt of such notice give written notice ...’”. (Butt, 2013: 263).

In legal documents, *shall* may also be used to express:

- “present intention: ‘The said wall when erected *shall* be deemed to be a party wall’” (Butt, 2013: 263).
- “the future: ‘The waiver of the observance and performance of the said covenant *shall* terminate on the disposal of the said property’”. (Butt, 2013: 263).

A particular use of *shall* is also manifest in wills, namely in the so-called “common disaster clause”, which contains “the testator’s wishes in the event that he or she is not survived by the named beneficiary” (Alcazar and Hughes, 2002: 142). Let us look at the following example:

If my spouse, or any other person named in this Last Will and Testament, *shall* die as a result of a common disaster with me, then my spouse or such other person(s) *shall* be deemed to have survived me [or predeceased me]. (our emphasis) (Alcazar and Hughes, 2002: 142)

The modal verb *shall* which is present in the conditional clause (shall die) is used “to stress the remoteness or contingency of the possibility described” (Alcazar and Hughes, 2002: 142). The modal verb *shall* present in the main clause (shall be deemed) is used “to convey a forceful idea of finality or command” (Alcazar and Hughes, 2002: 142).

1.2. The pluri-semantic character of *shall*: cause of confusion in interpreting the law

As illustrated above, the modal verb *shall* can be used for various purposes (to express obligation, duty, entitlements, to grant rights, etc.). The various shades of meaning may often create confusion in interpreting the law. As far as judicial powers are concerned, there are two sets of interpretations which add to the complexity of understanding legal aspects. The first set makes a distinction between *shall* expressing futurity and *shall* expressing a precondition. The second set makes a distinction between *shall* expressing an obligation and *shall* expressing a direction (Butt, 2013: 264).

As far as the distinction between futurity and precondition is concerned, “context and common sense” contribute to the identification of the intended meaning (Butt, 2013: 265). In the example “Upon my demise, my said son Archibald shall be entitled to all my movable and immovable assets ...”, *shall* expresses futurity.

Let us take another example which expresses a payment provision in a services contract: “The Contractor shall be entitled to interim payments or to the payment of the final balance in accordance with the procedures, schedule and time limits stipulated in the contract as and when the services are provided and accepted.” (General Conditions for Services Contracts, 1990: 22).

Things get more complex when the modal verb *shall* is used to indicate “a triggering event which gives rise to rights or obligations” (Butt, 2013: 265). The question raised is whether the triggering event has already occurred by the time the provisions of the document start to apply. Some voices maintain that the triggering event cannot be considered to have occurred before the document comes into force. Therefore, the provision refers only to the period starting with the date the document comes into force, so *shall* manifests a futurity value. Other voices disagree with the view and maintain that such a provision “is a mere description of a state of affairs, whenever occurring” (Butt, 2013: 265).

The second set of interpretations refers to the modal verb *shall* when used to express an obligation or a direction (Butt, 2013: 267). When a piece of legislation expresses an obligation, it manifests a mandatory value. If the piece of legislation manifests a directory value, it means that the provision does not have an imperative character. Depending on the peculiarities of each case, courts may decide whether a particular piece of legislation has an obligatory or directory character (Butt, 2013: 267-268).

The points discussed above are meant to highlight the complexity of the use of *shall* in legal documents and the pitfalls that are caused when *shall* is used in excess. Such aspects are of interest not only for legal drafters, but also for translators whose job is to render an English text into Romanian. They need to know whether a provision should be translated using the present tense (if the provision expresses an obligation) or the future with “will” (if futurity is expressed).

2. Translating legal documents from Romanian into English

One of the challenges in the translation of Romanian legal documents into English is to make sure to identify those pieces of information that manifest an obligatory value and convert them using the modal verb *shall*. According to Romanian legislation, namely Article 38 (2) of Law no. 24/2000 regarding the norms of legislative technique for the elaboration of legal norms (Legea 24 din 27 martie 2000 privind normele de tehnică legislativă pentru elaborarea actelor normative, articol 38, alineat 2) when drawing up a legislative act, "the verbs are used in the present indicative, the affirmative form, in order to underline the imperative character of the respective provision"³. Translation practice, obviously, boosts confidence, and experienced translators may more easily identify those paragraphs with an imperative character, where mandatory *shall* must be used. Moreover, the advice of a legal professional is also helpful, but it may not always be at hand.

Nevertheless, some legal information about the structure of various normative acts (such as statutes, laws, decrees) and other legal documents (such as court decisions) may help translators identify those paragraphs in a legal document where obligatory actions are mentioned and where mandatory *shall* is expected to be used.

2.1. Legal norms

The legal norm (which is a binding rule) is structured into three parts: (a) the hypothesis; (b) the provision, which states what type of conduct is imposed, what people are allowed and not allowed to do, and (c) the sanction (Stoichițoiu-Ichim, 2000: 76). Drawing on the previous literature, Stoichițoiu-Ichim emphasizes the prescriptive character of legal norms, which justifies the imposition of sanctions whereby the voice of authority enforces its will (Stoichițoiu-Ichim, 2000: 74).

Legal norms can be grouped into three main categories, depending on their purpose: there are norms that express obligation (generally specific to civil law), norms that express interdictions (generally characteristic of criminal law) and norms that express permission (Stoichițoiu-Ichim, 2000: 74). When translating norms that express obligation and norms that express interdictions, the use of *shall* is mandatory, being justified by the binding character of the

³ All the translations of the legal documents from English into Romanian and from Romanian into English are ours.

norm. Norms that express permission can be translated using the modal auxiliary *may*.

Let us look at Article 2 (3) of the British Forestry Act 1967 regarding the establishment of the Forestry Commission.

The Commissioners *shall* by order *appoint* committees for England, Scotland and Wales respectively, whose membership shall consist of persons who are Forestry Commissioners or officers of the Commissioners and partly of persons, not exceeding three in number, who are not Forestry Commissioners; and the Commissioners *may delegate*, subject to such restrictions or conditions as they think fit, any of their functions to a committee so appointed (our emphasis).

Paragraph 3 of Article 2 contains a provision with an obligatory character: "The Commissioners shall by order appoint committees ...". In accordance with Romanian legislation regarding the norms of legislative technique, this provision is translated using the Present Tense as: "Comisarii *numesc*, prin ordin, comisii ...". The second provision has a permissive character: "The Commissioners *may delegate*, subject to such restrictions as they think fit, any of their functions to a committee so appointed". It is translated as "Comisarii *pot delega*, sub rezerva restricțiilor pe care le consideră adevărate, oricare dintre funcțiile lor unui comitet astfel numit".

Now, let us have a look at a norm written in Romanian: "Omorul săvârșit cu premeditare *se pedepsește* cu detenție pe viață sau închisoare de la 15 la 25 de ani și interzicerea exercitării unor drepturi" (Codul Penal 2009, art. 189, al. 1, lit. a). The use of mandatory *shall* is required in the Romanian translation of the provision in order to render the prescriptive character of the information: "The murder committed with premeditation *shall be punished* by life imprisonment or no less than 15 years and no more than 25 years of imprisonment and some disqualifications" (our emphasis).

Laws represent a distinct category of normative acts and have their own internal structure: (a) title; (b) preamble; (c) introductory formula; (d) general provisions; (e) content provisions; (f) final provisions; (g) transitory provisions; (h) annexes (Stoichițoiu-Ichim, 2000: 43). As far as the articles that make up the respective piece of legislation are concerned, it is important for the translator to make the difference between subdivisions that give linguistic form to a description and those that give linguistic form to a prescription. Although the difference between description and prescription may easily be understood,

it may not always be easy to discriminate between description and prescription in the text of a law.

The Constitution of a state is a particular type of law, a fundamental law made of principles that govern a country. Let us have a look at some subdivisions of the Constitution of Romania and try and make the distinction between description and prescription. Title I of the Constitution, entitled General Principles, makes reference, among other things, to the Romanian State, its sovereignty, citizenship, national symbols, national language. Let us analyse the five paragraphs of Article 1 entitled "The Romanian State".

ARTICOLUL 1

(1) România este stat național, suveran și independent, unitar și indivizibil.

(2) Forma de guvernământ a statului român este republica.

(3) România este stat de drept, democratic și social, în care demnitatea omului, drepturile și libertățile cetățenilor, libera dezvoltare a personalității umane, dreptatea și pluralismul politic reprezintă valori supreme, în spiritul tradițiilor democratice ale poporului român și idealurilor Revoluției din decembrie 1989, și sunt garantate.

(4) Statul se organizează potrivit principiului separației și echilibrului puterilor - legislativă, executivă și judecătorească - în cadrul democrației constituționale.

(5) În România, respectarea Constituției, a supremăției sale și a legilor este obligatorie. (Rom. Const. of 2003, art.I, §1, §2, §3, §4, §5)

The main difference between description and prescription is the difference between '*what is*' and '*what ought to be*'. Paragraphs 1 and 2 describe what *is* as a matter of fact: Romania as a national, sovereign, independent, unitary and indivisible state. Regarding the form of government, Romania is a republic. Therefore, the present simple tense is used in the translation of the first two paragraphs: (1) "Romania is a sovereign, independent, unitary and indivisible National State". (2) "The form of government of the Romanian State is a Republic".

Paragraph 3 of Article 1 is more complex than the previous two paragraphs because it both describes and prescribes. The first part is a description of the

new Romanian State liberated from communism. In the second part of the paragraph, rights are granted to the Romanian citizens. Hence, the translation of the paragraph will include a Present Tense simple form in the description part, and a mandatory *shall* in the part granting rights: (3) "Romania is a democratic and social state, governed by the rule of law, in which human dignity, the citizens' rights and freedoms, the free development of human personality, justice and political pluralism represent supreme values, in the spirit of the democratic traditions of the Romanian people and the ideals of the Revolution of December 1989, and shall be guaranteed".

Paragraph 4 manifests a mandatory value which derives from the previous paragraph that states that Romania is a democratic state, governed by the rule of law. Therefore, such a state must be organized in a certain way in order to reflect the democratic values it claims to uphold. In order to stress the imperative nature of paragraph 4, mandatory *shall* must appear in the translation: (4) "The State shall be organized based on the principle of the separation and balance of powers – legislative, executive, and judicial – within the framework of constitutional democracy".

In Paragraph 5, the imperative nature of the provision is clearly manifest in the word "obligatorie" (mandatory), so *shall* must be used in translation: (5) "In Romania, the observance of the Constitution, its supremacy and the laws shall be mandatory".

2.2. Court decisions

According to Article 425 (1a), (1b), (1c) and (3) of the Romanian Code of Civil Procedure (Codul de Procedură Civilă, 2010), a court decision has three distinct parts:

- (a) an introductory part (known as "practicaua" in Romanian). This part must provide information about the name of the court, the file number, the date the court decision was issued, the full name of the members of the court and of the court's clerk as well as the full name of the prosecutor if he/she has attended the hearing.
- (b) The second part deals with the motivation of the court for the decision reached. The court is expected demonstrate, in writing, why the decision being reached is the correct one, to justify why the claims of one party were supported while the claims of the other party were rejected, to justify why some pieces of evidence were considered conclusive while others were found inconclusive and to justify the

application of this or that norm and the interpretation given to the norm applied.

- (c) The provision of the court, which includes: the names of the parties involved and the decision of the court. As far as the court decision is concerned, it must be mentioned whether the decision is final or is subject to an appeal. The paragraph including the provision also contains the signatures of the members of the court and of the court's clerk as well as the date the decision was given.

As far as the translation of such a document is concerned, in the motivation section of the court decision, any tense required by the logic of the paragraph is to be used.

The part dealing with the court decision can easily be identified in the body of the document because it is introduced by the following phrase, written in capital letters: PENTRU ACESTE MOTIVE, ÎN NUMELE LEGII, **DECIDE:** (FOR THE ABOVE-MENTIONED REASONS, IN THE NAME OF THE LAW, THE COURT **DECIDES:),** which is followed by the decision.

Let us have a look at a Romanian court decision (the text of the decision is shortened in this paper and the focus is on the provision of the court decision)⁴:

Tribunalul Prahova [...], PENTRU ACESTE MOTIVE, ÎN NUMELE LEGII,
DECIDE:

Admite apelul formulat de apelanții-reclamanți X și Y, cu domiciliul în
...

Anulează sentința apelată și trimită cauza aceleiași instanțe de fond în vederea rejudicării, potrivit considerentelor prezentei decizii.

Definitivă.

Pronunțată astăzi, 10.11.2016, prin punerea soluției la dispoziția părților prin intermediul grefei instanței.

The final decision of a court has an imperative character, hence mandatory *shall* would be expected to be used in the English translation of the text. The English version of the Romanian paragraph above could be as follows:

⁴ In order to protect the identity of the parties involved in this case, the file number and the date of the decision have been removed or replaced with fictional information.

Prahova Tribunal [...], FOR THESE REASONS, IN THE NAME OF THE LAW, **DECIDES**:

The appeal made by the plaintiffs-appellant X and Y, domiciled in ...
shall be admitted. (our emphasis)

The appealed decision *shall be annulled* and the case *shall be sent to* the court of first instance for re-examination, according to the motivation of this decision. (our emphasis)

The decision *shall be* final. (our emphasis)

Issued this 10 November 2016, by making the decision available to the parties through the Court Registrar.

However, the translation suggested above may not be the only option. By browsing the HUDOC, a database that allows access to the case-law of the European Court of Human Rights, one may come across other ways of translating a court decision. For each case, the court decision is introduced by the formula: FOR THESE REASONS, THE COURT, UNANIMOUSLY ..., which is then followed by the decision itself.

Let us have a look the Case of Delijorgji v. Albania, in which the applicant, an Albanian citizen, Mihal Delijorgji, claimed that he was wrongly accused of murder during an explosion at a demilitarisation facility and that he was remanded in custody with no time-limits on the length of his detention. The applicant also claimed that, in his case, there was a breach of Article 5 § 1 (c) and Article 5 § 4 of the European Convention for Human Rights referring to the rights to liberty and security and the right to a fair trial. The decision reads as follows:

FOR THESE REASONS, THE COURT, UNANIMOUSLY,

1. *Declares* the application admissible;
2. *Holds* that there has been a violation of Article 5 § 1 of the Convention as regards the applicant's detention from 24 November 2010 to 12 March 2012;
3. *Holds* that there has been a violation of Article 5 § 4 of the Convention;
4. *Holds*

(a) that the respondent State is to pay the applicant, within three months from the date on which the judgment becomes final in accordance with Article 44 § 2 of the Convention, EUR 15,600 (fifteen thousand six hundred euros), plus any tax that may be chargeable, in respect of non-pecuniary damage, to be converted into the currency of the respondent State at the rate applicable at the date of settlement;

(b) that from the expiry of the above-mentioned three months until settlement simple interest shall be payable on the above amounts at a rate equal to the marginal lending rate of the European Central Bank during the default period plus three percentage points;

5. *Dismisses* the remainder of the applicant's claim for just satisfaction. (our emphasis)

Notice that in the judgment passed by the European Court of Human Rights, each decision taken by the court in relation to the case mentioned above is introduced with a Present Tense verb form (declares, holds, dismisses) instead of the mandatory *shall*. If the rule of mandatory *shall* were applied, then, the first decision of the European Court would have been written as: FOR THESE REASONS, THE COURT, UNANIMOUSLY DECIDES that the appeal *shall be admitted* (our emphasis). Hence, in the European document, there is a preference for the use of Present Simple (in the affirmative form) when introducing court decisions. There is, still, a line in the court decision where mandatory *shall* is used: "[...] interest shall be payable on the above amounts [...]” – which signals the obligation incumbent upon the Albanian State to pay a particular amount of money to the applicant.

If the writing conventions of the European Court were applied to the decision of the Prahova Tribunal, then the decision of the Romanian court could be translated as:

The Prahova Tribunal [...], FOR THESE REASONS,

1. *Declares* the application admissible;

2. *Annuls* and sends the appealed decision to the court of first instance for re-examination, according to the motivation of this decision;

3. *Declares* this decision final. (our emphasis)

The European document above shows that the deontic value of *shall* used in legal contexts can also be manifest in the use of Present Simple Tense since this tense has been considered to manifest "the performative force of 'doing something' and changing reality" (Witezak-Plisiecka, 2009: 103).

Conclusions

The debate over the use of *shall* in legal texts (and its replacement by the present simple tense or other verb forms) is far from over. Although the modal auxiliary *shall* remains a feature of legal language, its use has been relatively restricted in order to avoid the legal ambiguity which mandatory *shall* sometimes manifests, as exemplified above. The campaign for plain English in legal documents has led to a larger support for the use of the Present Simple Tense when giving voice to the authority of the law (Wydick, 2005). The formulation of the text of the decision of the European Court for Human Rights tallies with the recommendations of the Law Commission of New Zealand, which proposes the use of the Present Simple instead of mandatory *shall* to express authority. It seems that the aim of this innovation is not change for change's sake, but the simplification of the legal language in order to make the message more concise and transparent to the benefit of the public at large.

Legal translation remains a challenge for translators. Yet, they can put to good use some knowledge about legal documents and their particular features. Being able to identify the parts of a court decision, the various purposes of *shall*, the ability to differentiate between the prescriptive and descriptive character of a legal norm may often ease translators' task, as this paper has tried to illustrate.

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BARRIERS TO INTERCULTURAL COMMUNICATION

Andra VLĂDUŞEL

Abstract: The present paper aims to provide the reader with a general view on the multitude of obstacles which may hinder intercultural communication, starting with the generic ones, and then moving on to emphasize the barriers inherently linked to cross-cultural dialogue. With a view to the crucial role of communication in the present multicultural societies, it is important to distinguish and analyse behaviours and practices which may impede coherent and fruitful relations. To this extent, the following paper lists some of the most dangerous such barriers and tries to offer a deeper understanding of their causes, the negative processes they may entail, as well as examples meant to highlight the importance of accurately interpreting non-native cultural cues.

Key words: *communication, barriers, cross-cultural dialogue, cultural cues*

Tolerance, inter-cultural dialogue and respect for diversity are more essential than ever in a world where peoples are becoming more and more closely interconnected.

Introduction

The world is a smaller place than it used to be - borders have become, for the most part, mere formality check points to flash our ID through, we are confronted by a multicultural atmosphere in most workplaces while our everyday source of information and entertainment, the internet, brings together people of different cultures like never before. This new reality makes it impossible to ignore the importance of intercultural communications and its role in all aspects of our lives, be it the formal working environment or our personal private space.

Despite the high degree of multiculturalization achieved by today's society, communication is not always perfect or as fluent as it could be. This state of cultural cohabitation is dependent on functional intercultural relations which in turn rely on the ability to create an environment which promotes communication and respect towards diversity. Although the developments in technology and economics are leading all countries on a common path, an analysis of the cultural values from different countries and geographical locations highlights their divergent nature. This is where communication comes into play, enabling a dialogue and cooperation relations among groups with

different identities. However, this dialogue can be hindered by an array of factors, ranging from the most benign and objective ones such as understanding accents to the more complex ones like cultural differences and finally ethnocentrism, stereotypes and prejudice.

1. Possible barriers in intercultural communication

Intercultural communication faces some standard difficulties which can be addressed with minimal effort such as:

- Physical disabilities such as hearing problems or speech difficulties
- Anxiety prompted by the new environment or by the lack of proficiency in a second language
- Language differences, such as understanding unfamiliar accents
- Lack of attention and/or interest
- The use of jargon and over-complicated terms
- Physical barriers to non-verbal communication.

However, there is a second set of obstacles, inherently linked to intercultural communication, which may hinder the dialogue. These barriers stem from the unique character of each culture and require more complex methods of addressing them, such as an understanding of the phenomenon (in the case of culture shock) or research into the new culture in order to identify cultural differences or the difference in perception.

1.1 Failing to identify cultural differences

Failure to familiarize oneself with the customs of the culture you are interacting with will prove devastating to the communication and the interaction process. Results may vary from being label insensitive or rude to failure in communication and an impossibility to establish fruitful relations.

This is particularly evident in the case of business relations where we can see many examples of marketing blunders caused by a failure to become aware of local customs. An example involves numbers and their different interpretations across different cultures. Number four is ill-regarded in Japan because its English pronunciation is very similar to the Japanese word for "death". Ignoring such implications, a company producing golf balls tried to sell sets containing four balls on the Japanese market and found itself in a tight spot. Similarly, a refreshment producing company offended an Arab state by using a six-pointed star on the label of their product, which was understood on the target market as proof of a pro-Israel attitude.

Assuming similarity among cultures is another trap one can easily fall into. With little or no information about a new culture, assuming there are no differences might come naturally. A Danish woman did just that when she left her 14-month-old baby in a stroller outside a Manhattan restaurant while she was inside, assuming leaving unattended children outside businesses was as common in the US as it was in Denmark. The authorities were involved, and the child was placed in foster care, prompting the woman and the Danish consulate to wire pictures to the police showing strollers left outside restaurants while the parents were eating inside, in an attempt to convince them of the Danish customs.

However, the contrary can also act as a barrier: assuming difference instead of similarity will render you unable to identify important elements that both cultures share. For that reason, the correct way of action would be to stop assuming and instead start researching the new culture.

1.2 Cultural shock and the resentment it can entail

Culture shock consists of the psychological reactions to an unfamiliar environment and is one of the inevitable realities of being exposed to a different culture. Individuals suffering from culture shock will experience a breakdown in communication and will find themselves unable to cope with the situation, becoming isolated as a result. In an attempt to manage the situation, the people afflicted by this will develop defensive behaviors (which sometimes shift into offensive ones), in order to shelter themselves from the confusing new situation. As a result, they can face several emotional and mental difficulties, becoming extremely frustrated, and rejecting the new culture onto which they project their own negative feelings of inadequacy. Culture-shocked people may begin to idolize their home country, with everything about it seeming wonderful compared to their existing environment, a feeling which can rapidly turn to resentment. A common coping mechanism of people suffering from culture shock is their self-removal from the social aspects of the new culture and retreating into the comfort of their home, where they surround themselves with familiar things from their native country. For example, it is a common practice for people working in a different country to seek accommodation which cater to their precise nationality in terms of shops specializing in products from their native country, cable tv from said country and even same nationality neighbors or roommates, in an attempt to create their own cultural bubble and reject the new, foreign environment.

However, a correctly managed culture shock can be beneficial for the individual and result in profound self-awareness and growth. Peter Adler's approach identifies the process and sequence of stages an individual subjected to culture shock undergoes, presenting the phenomenon in a more neutral manner which, if handled correctly, can result into positive outcomes.

1.2.1 The transitional experience

1.2.1.1 Contact

The individuals come in contact with the second culture while still functioning in their own native environment and welcome the new reality with excitement and euphoria. They become captivated by the new culture and they focus more on the positive similarities between the two cultures than the differences.

1.2.1.2 Disintegration

The second stage is characterized by confusion and disorientation, as the individuals begin to register the differences between cultures, leading to feelings of inadequacy and isolation. Depression, alienation and withdrawal set in, disintegrating the individual identity as perceived in the new environment.

1.2.1.3 Reintegration

Stereotyping and judgmental attitudes lead to a strong rejection of the new culture, as the individuals become hostile to realities they cannot understand and assimilate through familiar patterns. The second culture is perceived as responsible for all personal difficulties, and individuals seek shelter in the familiar, surrounding themselves with people from their own culture. At this stage, individuals will either surrender to the urge to reject the new culture and the negative feelings it ensues by abandoning the new environment and returning home, or they will use these precise emotions as a foundation for new intuitive, emotional and cognitive experiences, as they begin to reconcile with the second culture.

1.2.1.4 Autonomy

Having acquired an understanding of the new culture, the individuals are now capable of successfully facing their new environment and interacting both verbally and nonverbally with their peers. The newfound confidence in their skill and understanding of the new culture, be it at times overestimated, results from "the ability to survive without cultural cues and props from the home culture and from the ability to experience new situations". (Adler, 1975: 17). The individuals can now fully assume their roles in the new culture and embrace their statuses as insiders and outsiders in two different cultures.

1.2.1.5 Independence

The final stage of the transition sees the individual as able to accept both cultural similarities and differences and learn from them, as they find themselves equipped with a heightened sense of self, as a result of the transitional process. They are capable of undergoing further transitions in their life while understanding and further exploring the human diversity. Adler emphasizes the true meaning of this stage, which goes beyond the process of adapting (or not) to a new culture:

Where an individual is independent, he or she is capable of experiential learning that is holistically incorporated into identity, while at the same time capable of again having preconceptions, assumptions, values and attitudes challenged. (...) The individual learns that behavior rises out of a complex of motivations and intentions that stem predominantly from his or her cultural vocabulary. Feelings, and the ways in which the world is experienced, are reflected in the abilities to communicate, to enter interpersonal relationships, to perceive and deal with differences, and to behave in new situations for which there is no personal precedent (Adler, 1975:18,20).

1.3 Ethnocentrism

Ethnocentrism is one of the fundamental concepts in psychology and social sciences, described as the belief in the intrinsic superiority of the nation, culture, or group to which one belongs, often accompanied by feelings of animosity towards other groups. This leads to a self-centered dialogue where the initiators use their own cultural standards to evaluate and communicate with the other dialogue participants, resulting in dysfunctional relations or even a breakdown in communication.

Considering that an individual's cultural background shapes all his/her interactions and acts as a filter for both verbal and nonverbal messages, all communication suffers from some degree of ethnocentrism. To minimize its effects, diversity should be embraced and recognized as a positive motivational tool which can strengthen relations as well as achieve a better level of competitiveness in the work environment.

Individuals adhering to ethnocentric ideologies twist the notion of patriotism or loyalty to their own culture and, arguably, in misguided attempts to seek self-validation, postulate theories which place it above other civilizations or cultures. The almost chronic state of imbalance which has characterized Romania in the latest decades has given birth to a resurgence of several

theories of this kind, such as the ones focusing on the Thracians and Dacians, which can prove dangerous not only to the spirit, through their simplistic self-aggrandizing approach, but also to intercultural communication.

1.4 Differences in perception and viewpoint

One should remember that different cultures have different value systems, and what may be seen as positive to a group of people may very well seem shocking to another. When interacting with another culture, understanding their specific perceptions and viewpoints is crucial. Let us take family, for example, a concept characteristic to all cultures. During a study, men from Asia and the U.S. were asked who they would save if they were traveling at sea with their wife, child and mother, the ship began to sink and they were the only ones able to swim but could only save one person. Out of the U.S. group, 60% responded that they would save their son, while 40% would save the wife. None of the American men indicated that they would save their mother. The Asian opted with an overwhelming 100% for saving their mother, motivating that one can remarry and have more children, but a mother is irreplaceable. Despite both groups being family oriented, their perspective was completely different: the U.S. group valued family unity, while the Asian one put their predecessors first, two different perspectives, each potentially shocking and unacceptable to a different culture. When interacting with a foreign culture, it is important to research it with an open mind in order to understand how its perceptions, although different than ours, are just as valid.

1.5 Stereotyping

Expectations, past experiences and prejudice lead to false assumptions and stereotyping, one of the biggest barriers in the way of intercultural communication. Stereotypes are a reality and have influenced both humanity and the sciences observing it, with Montesquieu famously arguing that the residents of warmer climates are more vivacious and emotionally expressive than those living in the northern parts. Today's stereotypes come in many types, ranging from positive ones – German engineering being superior, Asians being good at Math – to neutral ones – Swedes are tall, Brits talk about the weather a lot – to negative ones – the Dutch are marijuana-smoking libertines, fathers do not make suitable single parents.

As opposed to villainizing stereotypes, it is important to understand them first. In terms of how stereotypes come into being, scientists have shown that children become aware of differences in ethnicity and gender and begin categorizing their peers based on this at the ages of 3 and 4. According to

psychology, stereotypes serve a purpose, that of "cognitive shortcuts", acting as a (conscious or unconscious) method of evaluating a situation when facing a low-information condition. Intercultural communication can entail situations in which individuals face language barriers, anxiety and a low-information context, triggering the use of stereotypes to reduce information to a manageable size in order to "simplify and make sense of a confusing and complex barrage of perceptual information" (Hill & Augoustinos, 2011: 259).

The negative effects of stereotyping are undeniable as they lead to prejudice and a biased, inefficient dialogue, initiated on the wrong premise. Although abundant research proves that stereotyping is impossible to eliminate, raising cultural awareness can enable individuals to understand cultural differences and manage stereotypes to a certain extent.

Conclusions

In the context of today's multicultural society, where coherent intercultural communication is crucial, it is important to make a shift from accepting the dialogue as flawed by default and attempt to look at the causes. However, simply pinpointing the factors which hinder cultural communication is insufficient, and their deeper analysis and understanding is required. In many cases, advising empathy is far from enough, as these factors are embedded in the human psyche, such as stereotyping and the negative reactions to culture shock. Instead, both at individual level and at the level of company/institution/entity which mediates these intercultural relations, an attempt towards education in matters like cultural awareness and cultural differences should be made.

Lastly, with individuals being to some extent the product of their native culture, this "complex whole which includes knowledge, belief, art, morals, law, custom and any other capabilities and habits acquired by man as a member of society" (Tylor, 1871: 1), the ultimate goals for a functioning multicultural society – openness, empathy and a lack of prejudice – prove unattainable for now, as we are inherently flawed and prejudiced by design. Considering that all these barriers in the way of a coherent and fluent intercultural dialogue are innate, a better approach for minimizing them would be education in the form of research and observation of other cultures, paired with a self-imposed state of open-mindedness and impartiality – to the degree to which our human nature allows it.

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**RECENZII DE CARTE –
BOOK REVIEWS**

Seneca. (2014). *Alt timp nu am*. Traducere de Ioana Costa, Vichi-Eugenia Dumitru și Ștefania Ferchedău, desene de Ștefan Procopie, coordonator Anastasia Staicu. București: Editura Seneca Lucius Annaeus.

Reviewed by Mirel ANGHEL

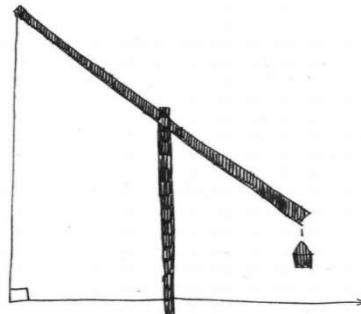
SENeca
alt timp nu am



Despre scurțimea vieții
Despre viața fericioasă

Deși sunt vechi de mai bine de 2.000 de ani, scrierile stoicului Seneca rămân actuale. Seneca a fost unul dintre cei trei mari filozofi stoici, alături de Epictet și Marc Aureliu, fiind cunoscut și pentru apropierea de Nero. Scrierile lui sunt readuse acum la lumină de editura cu același nume. Ca o bună introducere la recenzia cărții *Alt timp nu am*, aş vrea să zăbovesc puțin asupra poveștii editurii Seneca Lucius Annaeus pentru a o punе într-un context mai larg și a înțelege demersul educațional al fondatorilor ei.

Editura Seneca Lucius Annaeus a fost creată atât din dragoste de înțelepciune, cât și din iubire de natură. Poate vi se pare mult supus, dat fiind faptul că o carte este văzută ca un inamic al naturii, căci e nevoie de tăierea copacilor pentru a produce hârtie. Însă, povestea frumoasă a acestei „edituri verzi” abia acum începe. Suma de doi lei din prețul fiecărei cărți este donată pentru protejarea naturii, iar hârtia este folosită responsabil, în special datorită paginării și dimensionării eficiente a cărților. În plus, tehniciile de „tipar responsabil” ajută la economisirea resurselor planetei. Grafica acestor cărți este deosebită și chiar premiată la nivel național, ea fiind realizată de studenții Universității Naționale de Arte București.



NU ESTE PUȚIN TEMPUL PE CARE IL AVEM,
CI MULT CEL PE CARE L-AM PIERDUT.

Trecând la cartea propriu-zisă, ea se afirmă că o soluție de evadare din strânsorile cotidianului. Experiența, în primul rând senzorială, pe care o ai la o primă interacțiune cu această scriere te îndeamnă spre mai mult și devii curios să vezi ce se găsește între paginile frumos scrijelite cu desene și citate inspirate tocmai din ideile filozofului antic.

Vremea filozofiei nu a apus, iar cea a cărților cu atât mai puțin. Deși suntem luați de valul tehnologiei, de rețele de socializare, notificări, like-uri, etc., simțim mereu nevoie de a ne întoarce în trecut. Citind *Alt timp nu am* al stoicului Seneca, am avut adesea sentimentul că am în față pagini ale Ecclesiastului din Vechiul Testament, ambele scrisori prilejuind o analiză nemiloasă a vieții și condiției umane. Timpul nu este o resursă reversibilă, fiecare om are o singură șansă de a-l trăi aşa cum se cucine, iar dacă nu se lasă subjugat de plăcerile lumești și nu e robul propriilor vintre, atunci el va fi stăpânul propriei vieți.



*Niciată nu ne trece prin minte
fragilitatea noastră.*

Alt timp nu am este o operă în urma căreia vei reflecta mai mult asupra a ceea ce ești chiar în acest moment, te vei opri, te vei uita în jurul tău și îți vei pune întrebarea ce rămâne cu adevărat în urma ta după ce totul se termină și pojghița propriei superficialități dispare. Este, practic, o privire în viitor ce ne poate da măsura adevăratului sens al vieții, în care amăgirea materialismului nu face decât să ne distra de la valorile morale cu adevărat importante. Cele două dialoguri ale cărții (*Despre scurtarea vieții și Despre viața fericită*)

conturează „un fel de time management care te îndeamnă să nu uiți că Tu ești beneficiarul final al vietii și al timpului tău” (Seneca, 2014: 9), noi fiind cei care trebuie să îl prețuim și astfel *să trăim*, nu doar *să existăm*.

Despre scurtimea vietii este o lecție despre viață al cărei destinatar este Paulinus. Cercetând mai bine biografia sa, aflăm că numele lui complet este Pompeius Paulinus. Acesta avea un rol foarte important în Roma, fiind senator și *praefectus annonae*, cel responsabil de aprovisionarea cu grâne a Romei. E lesne de înțeles, printre altele, de ce Seneca îl alege pe el, căci astfel îl îndeamnă să facă tranziția spre lucrurile imateriale ale vietii.

Despre viața fericită este dedicat fratrei lui Seneca, Annaeus Novatus, cunoscut și sub numele de Iulius Galius (Seneca, 2014: 166). Seneca îl îndeamnă să nu urmeze „turma” celor ce își construiesc viața numai din convenții și să meargă pe căi neîncercate de alții pentru a găsi sensul vietii, căci o bună conduită în viață este „să căutăm (...) ce este mai bine să facem, și nu ce este mai obișnuit; ce ne va aduce în posesia unei fericiri durabile, și nu ceea ce găsește aprobare în rândul vulgului, cel mai rău interpret al adevărului” (Seneca, 2014: 82).



*"Partea din viață pe care
o trăim cu adevărat este subțire."*

E de amintit aici și sfârșitul filozofului, căci ilustrează cel mai bine învățăturile lui. În anul 65, Nero îi ordonă lui Seneca să se sinucidă, după ce îl suspectase de participarea la o conpirație. Momentul este notat de Tacit (*Annales*, XV, 63-64): „Una dintre gărzile care îl păzeau i-a dat vestea condamnării. Seneca a cerut atunci câteva tăblițe pe care să-și scrie testamentul iar, la refuzul centurionului, s-a întors către prietenii și le-a spus că, în cazul acesta, le va lăsa singura avuție care îi rămase, dar și cea mai valoroasă – modul lui de viață –, pe care, dacă ei și l-ar aminti, ar deveni renumiți pentru demnitate morală și prietenie statornică” (Seneca, 2014: 161).

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